

Congressional Budget Justification

FY 2011



Homeland
Security

Department of Homeland Security

Departmental Management and Operations



Fiscal Year 2011
Congressional Justification

i. Summary of FY 2011 Budget Estimates by Appropriation

**Department of Homeland Security
Departmental Management and Operations
Summary of FY 2011 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)**

Budget Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
² Office of the Chief Information Officer	98	336,535	203	338,393	309	398,459	106	60,066	-	58,235	106	1,831
Office of the Secretary and Executive Management	551	125,663	603	147,818	645	157,041	42	9,223	-	11,407	42	(2,184)
DHS HQ Consolidation	-	-	-	-	-	362,800	-	362,800	-	362,800	-	-
Under Secretary for Management	421	212,521	637	254,190	1,046	266,969	409	12,779	150	18,585	259	(5,806)
Office of the Chief Financial Officer	128	\$43,900	173	\$60,530	202	\$65,552	29	5,022	-	3,272	29	1,750
National Special Security Event	---	---	---	---	---	20,000	---	20,000	-	20,000	-	---
³ Office of the Federal Coordinator for Gulf Coast Rebuilding	9	1,900	10	2,000	---	---	(10)	(2,000)	-	---	(10)	(2,000)
Subtotal, Enacted Appropriations and Budget Estimates	1,207	\$720,519	1,626	\$802,931	2,202	\$1,270,821	576	\$467,890	150	\$474,299	436	(\$4,409)
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	1,207	\$720,519	1,626	\$802,931	2,202	\$1,270,821	576	\$467,890	150	\$474,299	436	(\$4,409)

Note: ¹ FY 2009 Actuals includes obligations from prior year funding

² The FY 2010 Enacted was 94 FTP/FTE.

³ OFCGCR will be closing on March 31, 2010

American Recovery and Reinvestment Act (ARRA)	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
St. Elizabeths	---	199,688	---	---								
Total	0	\$199,688	0	\$0								

¹ The FY 2009 ARRA supplemental was appropriated in the amount of \$200M.

ii: Homeland and Non-Homeland Allocation

Department of Homeland Security
Departmental Management and Operations
 Homeland and Non-Homeland Allocation by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	2009 Actual						2010 Enacted						2011 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Office of the Chief Information Officer	68	270,221	30	66,314	98	336,535	142	272,060	61	66,333	203	338,393	216	336,414	93	62,045	309	398,459
Salaries and Expenses	68	19,808	30	66,314	98	86,122	142	20,579	61	66,333	203	86,912	216	20,682	93	62,045	309	82,727
Information Technology Services	---	59,883	---	---	---	59,883	---	51,417	---	---	---	51,417	---	56,079	---	---	---	56,079
Infrastructure and Security Activities	---	134,133	---	---	---	134,133	---	152,403	---	---	---	152,403	---	185,644	---	---	---	185,644
Wireless Activities	---	2,543	---	---	---	2,543	---	---	---	---	---	---	---	---	---	---	---	---
National Security Systems	---	53,854	---	---	---	53,854	---	47,661	---	---	---	47,661	---	74,009	---	---	---	74,009
Office of the Secretary and Executive Management	386	87,964	165	37,699	551	125,663	422	103,473	181	44,345	603	147,818	452	109,929	194	47,112	645	157,041
Immediate Office of the Secretary	6	2,142	2	918	8	3,060	8	3,243	4	1,518	12	5,061	8	3,799	4	1,628	12	5,427
Immediate Office of the Deputy Secretary	4	1,002	2	429	6	1,431	4	1,267	2	543	6	1,810	4	1,382	2	592	6	1,974
Office of the Chief of Staff	10	1,789	4	767	14	2,556	11	1,817	5	779	15	2,595	11	2,561	5	1,097	15	3,658
Office of the Executive Secretary	30	5,014	13	2,149	43	7,163	39	5,460	17	2,340	55	7,800	41	6,277	17	2,690	58	8,967
Office of Intergovernmental Affairs	---	---	---	---	---	---	12	1,960	5	840	17	2,800	19	2,945	8	1,262	27	4,207
Office of Policy	132	33,398	57	14,313	189	47,711	127	36,095	55	15,469	182	51,564	131	34,865	56	14,942	187	49,807
Office of Public Affairs	22	4,259	9	1,825	31	6,084	27	4,194	11	1,797	38	5,991	27	4,918	11	2,108	38	7,025
Office of Legislative Affairs	22	3,765	9	1,614	31	5,379	22	4,758	9	2,039	31	6,797	22	5,040	9	2,160	31	7,200
Office of the General Counsel	68	12,498	29	5,356	97	17,854	60	16,820	26	7,208	86	24,028	60	17,054	26	7,309	86	24,363
Office for Civil Rights and Civil Liberties	46	13,457	20	5,767	66	19,224	56	14,773	24	6,331	80	21,104	70	17,191	30	7,368	100	24,559
Citizenship and Immigration Services Ombudsman	17	3,476	7	1,490	24	4,966	25	4,680	11	2,006	36	6,685	25	4,805	11	2,059	36	6,864
Privacy Office	20	4,806	9	2,060	29	6,866	21	5,580	9	2,391	30	7,971	24	6,383	10	2,735	34	9,118
Office of Counterterrorism Enforcement	9	2,358	4	1,011	13	3,369	11	2,528	5	1,084	15	3,612	11	2,710	5	1,162	15	3,872
DHS HQ Consolidation	---	---	---	---	---	---	---	---	---	---	---	---	---	217,680	---	145,120	---	362,800
DHS HQ Consolidation - Mission Support	---	---	---	---	---	---	---	---	---	---	---	---	---	45,000	---	30,000	---	75,000
DHS HQ Consolidation - St. Elizabeths	---	---	---	---	---	---	---	---	---	---	---	---	---	172,680	---	115,120	---	287,800
Under Secretary for Management	253	163,675	108	48,846	421	212,521	382	190,791	186	63,399	637	254,190	628	191,527	315	75,442	1,046	266,969
Immediate Office of the USM	7	1,483	4	988	11	2,471	8	1,718	5	1,146	13	2,864	8	1,662	5	1,108	13	2,770
Office of Administration	39	26,282	26	17,521	65	43,803	48	26,695	32	17,796	80	44,491	52	26,365	35	17,577	87	43,942
DHS HQ NAC Project	---	29,068	---	---	---	29,068	---	5,500	---	---	---	5,500	---	5,500	---	---	---	5,500
Office of Human Capital	26	12,891	17	8,594	43	21,485	53	15,284	36	10,189	89	25,473	65	14,999	43	10,000	108	24,999
Office of Human Capital - Human Resources Information Technology	---	9,149	---	6,099	---	15,248	---	10,279	---	6,852	---	17,131	15	10,279	10	6,852	25	17,131
Office of Procurement	91	23,464	61	15,643	152	39,107	169	41,123	113	27,415	282	68,538	332	59,858	222	39,905	554	99,763
Office of Security	90	61,338	---	---	150	61,338	104	90,193	---	---	173	90,193	155	72,864	---	---	259	72,864
Office of the Chief Financial Officer	77	\$26,340	51	\$17,560	128	\$43,900	104	\$36,318	69	\$24,212	173	\$60,530	121	\$39,331	81	\$26,221	202	\$65,552
National Special Security Event	---	---	---	---	---	---	---	---	---	---	---	---	---	20,000	---	---	---	\$20,000
Office of the Federal Coordinator for Gulf Coast Rebuilding	6	1,330	3	570	9	1,900	7	1,400	3	600	10	2,000	---	---	---	---	---	
Total Direct Appropriations and Budget Estimates	789	549,531	358	170,989	1,207	720,519	1,057	604,042	500	198,889	1,626	802,931	1,416	914,881	682	355,940	2,202	1,270,821

iii. Status of Congressionally Requested Studies, Reports, and Evaluation				
Department of Homeland Security Departmental Management and Operations				
Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009	16-Aug-09	House Report 110-181	3rd Quarter Data Center Migration Report	Pending Clearance
2009	16-Nov-09	House Report 110-181	4th Quarter Data Center Migration Report	Pending Clearance
2010	28-Dec-09	P.L. 111-83 p. 3 Senate Rpt. 111-31 p. 20	OCIO Expenditure Plan Report	Pending Clearance
2010	6-Apr-10	House Rpt. 110-181 p. 28	CIO Led Information Technology Acquisitions	Pending Clearance
2009	15-Nov-08	Senate Rept. 110-396	CNE: Report no later than 45 days after the date of enactment, containing: (1) FY08 counternarcotics enforcement achievements, including: (a) an analysis of efforts to track and sever connections between illegal drug trafficking and terrorism, (b) an update on the National Southwest Border Counternarcotics Strategy implementation with an overview of objectives and recommendations that have not been implemented to date, (c) a strategy to counter increased usage of submersibles and low flying aircraft to smuggle illegal drugs; and (2) Office performance goals for FY09.	Pending Clearance
2010	15-Jan-10	Joint Exp. Statement p. 53 Senate Rpt. 111-31 p. 8	Office of Counternarcotics Enforcement Activities: Submit a report no later than 60 days after the date of enactment of this act to include: a detailed description of the Department's counternarcotics activities; whether those activities were sufficient to meet the Department's responsibility to stop the entry of illegal drugs into the United States; and recommended changes to those activities to improve the Department's counternarcotics performance.	Pending Clearance
2010	15-Jan-10	Joint Exp. Statement p. 53 House Rpt. 111-157 p. 15-16	Potentially Shifting Office of Counternarcotics Enforcement Functions to Office of Policy: Report by January 15, 2010, on whether it is appropriate to shift this office's functions into the Office of Policy or other Departmental office under this title.	Pending Clearance
2010	28-Dec-09	P.L. 111-83 p. 2 Joint Exp. Statement p. 53 Senate Rpt. 111-31 p. 9	FY10 Expenditure Plan - Office of Policy: \$15,000,000 shall not be available for obligation for the Office of Policy until the Secretary submits an expenditure plan for the Office of Policy for fiscal year 2010. Provide an expenditure plan no later than 60 days after the date of enactment of this Act, as outlined in the Senate report. The conference report includes a statutory provision withholding \$15,000,000 until the expenditure plan is submitted. The conferees require a detailed explanation of how and for what purpose these funds are being allocated as part of the fiscal year 2010 expenditure plan. The plan shall provide a full explanation for each activity of this Office and accompanying costs.	Pending Clearance
2010	28-Dec-09	Joint Exp. Statement p. 54 House Rpt. 111-157 p. 17	Office of Intergovernmental Affairs, Organizational Plan: The conference agreement provides \$2,800,000 for the Office of Intergovernmental Affairs as proposed by the House instead of \$2,600,000 as proposed by the Senate. The name of this office has been modified as proposed by the Senate. This office has been moved from the Federal Emergency Management Agency as requested, and is assuming a new role. The Secretary is required to present a detailed organizational plan for the office as outlined in the House report. Present a detailed organizational plan for this new office within 60 days of enactment of this bill. The plan should outline the cost savings and efficiencies this reorganization is expected to create.	Pending Clearance
2010	28-Dec-09	Joint Exp. Statement p. 54 Senate Rpt. 111-31 p. 10	FY10 Expenditure Plan - Office of Civil Rights and Civil Liberties: Submit an expenditure plan no later than 60 days after the date of enactment of this Act, as outlined in the Senate report.	Pending Clearance

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2010	contingent	Joint Exp. Statement pp. 126-127	Principal Federal Official (PFO): Sec. 522. Statutory language has been modified to allow the Secretary to waive the prohibition on the use of funds for a PFO or successor position under a Stafford Act declaration. After exercising this waiver, the Secretary must report to the Committees on Appropriations, as well as the House Transportation and Infrastructure Committee, and the Senate Homeland Security and Governmental Affairs Committee with the following information: (1) an explanation of the circumstances necessitating the waiver, including a discussion of how this action does not deviate from the role of the FEMA Administrator as the principal advisor on emergency management to the President, the Homeland Security Council, and the Secretary, as defined in P.L. 109-295 (6 U.S.C. 313); and (2) a discussion of the role in the field, or in headquarters, of staff deployed pursuant to the waiver, including measures taken to ensure compliance with subsection (c) of 6 U.S.C. 319.	TBD
2009	6/30/2009	Explanatory Statement	May 09 - Monthly Report to the Committee - Office of the Chief Human Capital Officer: The Office is directed to provide monthly reports to the Committees on Appropriations detailing; vacancies requested, by office, that have not been processed; vacancies announced, by office; and the amount of time after a vacancy has closed before a selection list is sent back to the requesting entity.	Pending Clearance
2009	7/31/2009	Explanatory Statement	Jun 09 - Monthly Report to the Committee - Office of the Chief Human Capital Officer: The Office is directed to provide monthly reports to the Committees on Appropriations detailing; vacancies requested, by office, that have not been processed; vacancies announced, by office; and the amount of time after a vacancy has closed before a selection list is sent back to the requesting entity.	Pending Clearance
2009	8/31/2009	Explanatory Statement	Jul 09 - Monthly Report to the Committee - Office of the Chief Human Capital Officer: The Office is directed to provide monthly reports to the Committees on Appropriations detailing; vacancies requested, by office, that have not been processed; vacancies announced, by office; and the amount of time after a vacancy has closed before a selection list is sent back to the requesting entity.	Pending Clearance
2009	9/30/2009	Explanatory Statement	Aug 09 - Monthly Report to the Committee - Office of the Chief Human Capital Officer: The Office is directed to provide monthly reports to the Committees on Appropriations detailing; vacancies requested, by office, that have not been processed; vacancies announced, by office; and the amount of time after a vacancy has closed before a selection list is sent back to the requesting entity.	Pending Clearance
2009	10/31/2009	Explanatory Statement	Sept 09 - Monthly Report to the Committee - Office of the Chief Human Capital Officer: The Office is directed to provide monthly reports to the Committees on Appropriations detailing; vacancies requested, by office, that have not been processed; vacancies announced, by office; and the amount of time after a vacancy has closed before a selection list is sent back to the requesting entity.	Pending Clearance
2010	11/30/2009	Explanatory Statement	Oct 09 - Monthly Report to the Committee - Office of the Chief Human Capital Officer: The Office is directed to provide monthly reports to the Committees on Appropriations detailing; vacancies requested, by office, that have not been processed; vacancies announced, by office; and the amount of time after a vacancy has closed before a selection list is sent back to the requesting entity.	Pending Clearance
2010	12/31/2009	Explanatory Statement	Nov 09 - Monthly Report to the Committee - Office of the Chief Human Capital Officer: The Office is directed to provide monthly reports to the Committees on Appropriations detailing; vacancies requested, by office, that have not been processed; vacancies announced, by office; and the amount of time after a vacancy has closed before a selection list is sent back to the requesting entity.	Pending Clearance
2010	1/31/2009	Explanatory Statement	Dec 09 - Monthly Report to the Committee - Office of the Chief Human Capital Officer: The Office is directed to provide monthly reports to the Committees on Appropriations detailing; vacancies requested, by office, that have not been processed; vacancies announced, by office; and the amount of time after a vacancy has closed before a selection list is sent back to the requesting entity.	Pending Clearance
2008	11/15/2008	Senate Report 110-84	CHCO: 4th Qtr FY08 Detailee Report - The Committee continues and expands reporting requirements set forth in the joint explanatory statement of managers accompanying the fiscal year 2005 conference report (Report 108-774). The following reporting provisions are added: (1) a summary table which annotates, by component agency and office, the number of employees detailed "in" and "out"; (2) an explanation for detailee "indefinite" assignments; and (3) an explanation for detailee positions that are deemed to be "reimbursable".	Pending Clearance

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009	2/15/2009	Senate Report 110-396	CHCO: 1st Qtr FY09 Detailee Report - The Committee requires the Department to continue the quarterly detailee report. These reports shall be drafted in accordance with the revised guidance set forth in Senate Report 110-84.	Pending Clearance
2009	5/15/2009	Senate Report 110-396	CHCO: 2nd Qtr FY09 Detailee Report - The Committee requires the Department to continue the quarterly detailee report. These reports shall be drafted in accordance with the revised guidance set forth in Senate Report 110-84.	Pending Clearance
2009	8/15/2009	Senate Report 110-396	CHCO: 3rd Qtr FY09 Detailee Report - The Committee requires the Department to continue the quarterly detailee report. These reports shall be drafted in accordance with the revised guidance set forth in Senate Report 110-84.	Pending Clearance
2009	11/15/2009	Senate Report 110-396	CHCO: 4th Qtr FY09 Detailee Report - The Committee requires the Department to continue the quarterly detailee report. These reports shall be drafted in accordance with the revised guidance set forth in Senate Report 110-84.	Pending Clearance
2009	1/31/2009	Conference Report 109-241	ANNUAL REPORT: (CSO) SSI Document Annual Update -- Not later than January 31 of each succeeding year, starting on January 31, 2007, the Secretary shall provide annually a similar report to the Committee on Appropriations of the Senate and the House of Representatives on the titles of all DHS documents that are designated as SSI in their entirety during the period of January 1 through December 31 for the preceding year.	Pending Clearance
2009	9/30/2009	Explanatory Statement	CAO - Greenhouse Gas Emissions: By September 30, 2009, the Secretary shall provide to Congress a detailed inventory of DHS's greenhouse gas emissions and a plan to reduce these emissions.	Pending Clearance

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
Departmental Management and Operations**

Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2011 Request
	Fiscal Year	Amount	Amount	Amount
Office of the Chief Information Officer				398,459
Salaries and Expenses				82,727
Information Technology Services				56,079
Infrastructure and Security Activities				185,644
National Security Systems				74,009
Office of the Secretary and Executive Management				157,041
Immediate Office of the Secretary				5,427
Immediate Office of the Deputy Secretary				1,974
Office of the Chief of Staff				3,658
Office of the Executive Secretary				8,967
Office of Intergovernmental Affairs				4,207
Office of Policy				49,807
Office of Public Affairs				7,025
Office of Legislative Affairs				7,200
Office of the General Counsel				24,363
Office for Civil Rights and Civil Liberties				24,559
Citizenship and Immigration Services Ombudsman				6,864
Privacy Office				9,118
Office of Counternarcotics Enforcement				3,872
DHS HQ Consolidation				362,800
DHS HQ Consolidation - Mission Support				75,000
DHS HQ Consolidation - St. Elizabeths				287,800
Under Secretary for Management				266,969
Immediate Office of the USM				\$2,770
Office of Administration				43,942
DHS HQ NAC Project				5,500
Office of Human Capital				24,999
Office of Human Capital - HRIT				17,131
Office of Procurement				99,763
Office of Security				72,864
Office of the Chief Financial Officer				65,552
National Special Security Event				20,000
Total Direct Authorization/Appropriation		\$0	\$0	1,270,821
Fee Accounts				
Student Exchange & Visitor Fee		---	---	---
Breached Bond				
Immigration User Fee				

Department of Homeland Security

Departmental Management and Operations

Office of the Secretary and Executive Management



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

DEPARTMENTAL MANAGEMENT AND OPERATIONS OFFICE OF THE SECRETARY AND EXECUTIVE MANAGEMENT

I. Appropriation Overview

A. Mission Statement for Appropriation Name:

The Department of Homeland Security (DHS) Office of the Secretary and Executive Management (OSEM) supports the Department and all of its components by providing leadership, direction, and management to the Department. OSEM establishes and implements policy and provides various support functions and oversight to all entities within the Department. The Department continues to work toward integration and consolidation of its resources and operations to create a seamless organization that shares services, information, and best practices across previously stove-piped organizations.

B. Budget Activities:

OSEM is a separate appropriation within Departmental Management and Operations that provides resources for thirteen separate Programs, Projects and Activities (PPA's) including: Immediate Office of the Secretary, Immediate Office of the Deputy Secretary, Chief of Staff, Executive Secretariat, Intergovernmental Affairs, Office of Policy, Office of Public Affairs, Office of Legislative Affairs, Office of the General Counsel, Office for Civil Rights and Civil Liberties, Office of the Citizenship and Immigration Ombudsman, Privacy Officer, and the Office of Counternarcotics Enforcement. Below are brief descriptive summaries of the thirteen PPA's.

Immediate Office of the Secretary: The Office of the Secretary's role is to provide executive leadership, management and direction, and oversight for the Department's 28 components. The Secretary represents the Department of Homeland Security to the President, to Congress, and to the general public.

Immediate Office of the Deputy Secretary: The Office of the Deputy Secretary supports the Secretary by providing leadership to the Department especially regarding internal management and direction.

Chief of Staff: The Chief of Staff is responsible for the coordination of policy initiatives and other actions of the Department Components directorates and offices.

The Office of the Executive Secretary: The Office of the Executive Secretary supports the Office of the Secretary and Office of the Deputy Secretary with management of their correspondence, decision documents, and other written communications, including briefing books. The Executive Secretariat is especially charged with ensuring that all materials presented to the Secretary and Deputy Secretary for signature has been thoroughly cleared with all relevant Components.

Intergovernmental Affairs: The Office of Intergovernmental Affairs (IGA) will communicate and coordinate all State, Local, Tribal, and territorial (SLTT) government activities throughout the Department. IGA also liaises with the SLTTs and the national associations that represent them to ensure there are open lines of communications with DHS and its stakeholders.

Office of Policy: The Office of Policy's responsibilities include the coordination of Department-wide policies, programs, and planning to ensure consistency and integration of missions throughout the Department. This office strengthens the Department's ability to maintain policy and operational readiness needed to protect the homeland by providing a centralized coordination point for developing and communicating policies across the multiple internal and external components of the Homeland Security network. In addition to DHS, the Office of Policy also interacts with other government entities, international counterparts, academics and private stakeholders.

Office of Public Affairs: The Office of Public Affairs is responsible for managing external and internal communications. The Office of Public Affairs responds to national media inquiries, maintains and updates the Department's website, writes speeches for principals, and coordinates speaking events for Department officials. The Office fosters strategic communication throughout the Department and with external stakeholders. It manages the Department's organizational identity program, which includes usage of the DHS seal and related guidelines. It also oversees the Department's employee communication activities, which include an all-employee newsletter, town hall meetings between management and employees, and an intranet site. Finally, its incident communications program guides overall federal incident communication activity and coordinates with state, local, and international partners to ensure accurate and timely information to the public during a crisis.

Office of Legislative Affairs: The Office of Legislative Affairs (OLA) serves as the Department of Homeland Security's primary liaison to Capitol Hill. They advocate the policy interest of the President of the United States and the Secretary of the Department of Homeland Security (DHS) and ensure that all components of DHS are actively engaged with Congress in their specific areas of responsibility. Similarly, OLA articulates the views of the Department including the components, on Congressional legislative initiatives. OLA responds for the Department to requests and inquiries from Congressional committees, individual congressional members and their staffs. OLA also participates in the Senate confirmation process for all Presidential Nominees to the Department.

Office of the General Counsel: The Office of the General Counsel comprises all lawyers within the Department of Homeland Security with dedicated attorneys operating at headquarters and component organizations. The General Counsel is the chief legal officer of the Department. In this role, they are ultimately responsible for all of the Department's legal determinations and for overseeing all of its attorneys. The General Counsel is also the Department's regulatory policy officer, managing the rulemaking program and ensuring that all Department of Homeland Security regulatory actions comply with relevant statutes and executive orders. Additionally, the General Counsel's central tasks include providing complete, accurate, and timely legal advice on possible courses of action for the Department; ensuring that Homeland Security policies are implemented lawfully, quickly, and efficiently; protecting the rights and liberties of any Americans who come into contact with the Department; facilitating quick responses to congressional requests for information; and representing the Department in venues across the country, including in the immigration courts of the United States.

Office for Civil Rights and Civil Liberties: The responsibility of the Office for Civil Rights and Civil Liberties is to protect the civil rights and civil liberties of our citizens, provide policy advice on civil rights and civil liberties issues, and to serve as an information and communication channel to the public on these issues. This office is tasked with reviewing and assessing information alleging abuses of civil rights, civil liberties, and racial and ethnic profiling by employees and by officials of the Department. The Office is responsible for overseeing the Departmental Equal Employment Opportunity programs.

Citizenship and Immigration Services Ombudsman: The statutory mission of the Citizenship and Immigration Services (CIS) Ombudsman is to assist individuals and employers in resolving problems with United States Citizenship and Immigration Services (USCIS), to identify individual and employee problem areas within USCIS and propose changes to mitigate identified problems.

Privacy Office: The DHS Privacy Office is the first statutorily mandated Privacy Office within the Federal government. The Privacy Office protects the collection, use, and disclosure of Personally Identifiable Information (PII) and departmental information. It ensures that appropriate access to information is consistent with the vision, strategic mission, and core values of the Department, and implements the policies of the Department to defend and protect individual rights, liberties, and information interests of our citizens. The Privacy Office has oversight of all privacy and disclosure policy matters, including compliance with the Privacy Act of 1974, the Freedom of Information Act, and the completion of privacy impact statements on all new programs and systems, as required by the E-Government Act of 2002 and Section 222 of the Homeland Security Act.

Office of Counternarcotics Enforcement: As the principal advisor to the Secretary on counterdrug matters, the Counternarcotics Enforcement Director reviews and evaluates the effectiveness of DHS counterdrug activities. The Office of Counternarcotics Enforcement coordinates Departmental policy and operations within the Department, other Federal departments and agencies and State and local agencies with respect to stopping the entry of illegal drugs into the United States. The Office ensures the adequacy of resources within the Department and recommends the appropriate financial and personnel resources necessary to help the Department fulfill its responsibilities to stop the entry of illegal drugs into the United States. The Office of Counternarcotics Enforcement also works closely with intelligence and law enforcement entities within DHS and across the federal government to assist in tracking and severing connections between drugs and terrorism (known as the DTX Project). DTX activities to track and sever the connections between drug trafficking and terrorism are conducted within the Joint Terrorism Task Force construct.

C. Budget Request Summary:

The Office of the Secretary and Executive Management requests 647 positions, 645 FTE, and \$157,041,000 for the FY 2011 request. This represents an increase of 25 positions, 23 FTE, and \$9,223,000 over the FY 2010 Enacted Budget of 622 positions, 603 FTE, and \$147,818,000.

OSEM's adjustment to base includes an increase of 19 FTE, and a decrease of (\$2,184,000). The program change includes 25 positions, 23 FTE, and \$11,407,000.

Base adjustments include:

- Increase - Annualization of prior year funding (\$2,729,000; 19 FTE)
- Increase - FY 2011 pay raise and annualization of 2010 pay raise (\$1,297,000; 19 FTE); and
- Increase - GSA rent and payments to the Working Capital Fund (\$3,788,000).
- Decrease - Non-recurring of the Intermodal Security Coordination Office (\$10,000,000)

Requested program change increases in FY 2011 include:

- Intergovernmental Affairs (\$1,376,000; 10 positions; 10 FTE);
- Office for Civil Rights and Civil Liberties (\$1,206,000; 6 positions; 6 FTE);
- Office of Public Affairs (\$945,000);
- Office of Legislative Affairs (\$289,000);
- Executive Secretariat (\$538,000; 3 positions; 3 FTE);
- Privacy Office (\$993,000; 6 positions and 4 FTE); and
- Office of Policy (\$6,060,000).

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
 Summary of FY 2011 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2009 Actuals		FY 2010 Enacted		FY 2011 President's Budget		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Immediate Office of the Secretary	8	\$3,060	12	\$5,061	12	\$5,427	---	\$366	---	\$0	---	\$366
Immediate Office of the Deputy Secretary	6	1,431	6	1,810	6	1,974	0	164	0	0	0	164
Office of the Chief of Staff	14	2,556	15	2,595	15	3,658	0	1,063	0	0	0	1,063
Office of the Executive Secretary	43	7,163	55	7,800	58	8,967	3	1,167	3	538	0	629
Office of Intergovernmental Affairs	0	0	17	2,800	27	4,207	10	1,407	10	1,376	0	31
Office of Policy	189	47,711	182	51,564	187	49,807	5	(1,757)	0	6,060	5	(7,817)
Office of Public Affairs	31	6,084	38	5,991	38	7,025	0	1,034	0	945	0	89
Office of Legislative Affairs	31	5,379	31	6,797	31	7,200	0	403	0	289	0	114
Office of the General Counsel	97	17,854	86	24,028	86	24,363	0	335	0	0	0	335
Office for Civil Rights and Civil Liberties	66	19,224	80	21,104	100	24,559	20	3,455	6	1,206	14	2,249
Citizenship and Immigration Services Ombudsman	24	4,966	36	6,685	36	6,864	0	179	0	0	0	179
Privacy Office	29	6,866	30	7,971	34	9,118	4	1,147	4	993	0	154
Office of Counternarcotics Enforcement	13	3,369	15	3,612	15	3,872	0	260	0	0	0	260
Subtotal, Enacted Appropriations and Budget Estimates	551	\$125,663	603	\$147,818	645	\$157,041	42	\$9,223	23	\$11,407	19	(\$2,184)
Total, Enacted Appropriations and Budget Estimates	551	\$125,663	603	\$147,818	645	\$157,041	42	\$9,223	23	\$11,407	19	(\$2,184)

III. Current Services Program Description by PPA

**Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Program Performance Justification**
(Dollars in thousands)

PPA: IMMEDIATE OFFICE OF THE SECRETARY

	Perm Pos	FTE	Amount
2009 Actuals	8	8	\$3,060
2010 Enacted	12	12	5,061
2011 Adjustments-to-Base	0	0	366
2011 Current Services	12	12	5,427
2011 Program Change	0	0	0
2011 Request	12	12	5,427
Total Change 2010-2011	0	0	366

OSEM requests \$5.427 million for this activity. This is an adjustment to base increase of \$0.366 million over the FY 2010 enacted budget.

CURRENT SERVICES PROGRAM DESCRIPTION:

Immediate Office of the Secretary: The Secretary is appointed by the President and confirmed by the Senate to lead the Department of Homeland Security (DHS) and act as the principal adviser to the President on homeland security matters. The Secretary ensures a coordinated national effort to prevent terrorist attacks in the United States, reduce vulnerability of the United States to terrorism, and minimize the damage, as well as recover from attacks that do occur. The Secretary is a member of the Homeland Security Council. The Secretary serves as the principal spokesperson for the Administration when testifying before the House Homeland Security Committee and the Senate Homeland Security and Government Affairs Committee.

PPA: IMMEDIATE OFFICE OF THE DEPUTY SECRETARY

	Perm Pos	FTE	Amount
2009 Actuals	5	6	\$1,431
2010 Enacted	6	6	1,810
2011 Adjustments-to-Base	0	0	164
2011 Current Services	6	6	1,974
2011 Program Change	0	0	0
2011 Request	6	6	1,974
Total Change 2010-2011	0	0	164

OSEM requests \$1.974 million for this activity. This is an increase of \$0.164 million over the FY 2010 enacted budget for adjustments to base.

CURRENT SERVICES PROGRAM DESCRIPTION:

Immediate Office of the Deputy Secretary: The Immediate Office of the Deputy Secretary supports the Secretary by providing leadership to the Department. This office focuses on internal management and direction, which ensures efficient and effective operation of the Department. The Deputy Secretary’s role is to provide internal oversight to all Departmental operations, which allows the Secretary to focus on external matters concerning DHS.

PPA: OFFICE OF THE CHIEF OF STAFF

	Perm Pos	FTE	Amount
2009 Actuals	17	14	\$2,556
2010 Enacted	15	15	2,595
2011 Adjustments-to-Base	0	0	1,063
2011 Current Services	15	15	3,658
2011 Program Change	0	0	0
2011 Request	15	15	3,658
Total Change 2010-2011	0	0	1,063

OSEM requests \$3.658 million for this activity. This is an increase of \$1.063 million over the FY 2010 enacted budget for adjustments to base. The adjustment to base will cover increased Working Capital Fund Rent charges and Information Technology support.

CURRENT SERVICES PROGRAM DESCRIPTION:

Office of the Chief of Staff: The Chief of Staff oversees DHS activities, assists the Deputy in managing DHS operations, and supports the Secretary in achieving the Department’s missions. In FY 2009, the Office of the Chief of Staff was integral to assisting the Secretary in directing the Department’s resources toward accomplishing the Department’s mission.

PPA: THE OFFICE OF THE EXECUTIVE SECRETARY

	Perm Pos	FTE	Amount
2009 Actuals	46	43	\$7,163
2010 Enacted	55	55	7,800
2011 Adjustments-to-Base	0	0	629
2011 Current Services	55	55	8,429
2011 Program Change	3	3	538
2011 Request	58	58	8,967
Total Change 2010-2011	3	3	1,167

OSEM requests \$8.967 million for this activity. This is an increase of 3 positions, 3 FTE, and \$1.167 million over the FY 2010 enacted budget. The adjustment to base increase of \$0.629 million covers pay inflation and Working Capital Fund adjustments. The additional 3 FTE and \$0.538 million in program changes provides additional support for the Secretary’s ongoing Efficiency Review.

CURRENT SERVICES PROGRAM DESCRIPTION:

FY 2009 Accomplishments

- Assumed responsibility for the Secretary’s morning operations and intelligence brief;
- Continued to provide full service budget, administrative, and human capital support to the Office of the Secretary, Office of the Deputy Secretary and the Office of the Chief of Staff; and
- Provided significant cross-training of career staff in support of the transition of Administration in January 2009.

FY 2010 Planned Accomplishments

- Institutionalize policies and procedures established by the new Administration.
- Develop online training modules for Component Executive Secretariats to facilitate department-wide compliance with correspondence standards and foster a One DHS culture.
- Decrease prior year’s reliance on contractor support by 40%.
- Work with the Intelligence and Analysis Directorate and the Office of Operations Coordination to improve processes for delivering the Secretary’s daily classified brief.
- Work with the Management Directorate to improve the Department’s Management Directive development process.
- Serve as a pilot Component for evaluation of an electronic records management system.

FY 2011 Planned Accomplishments

- Modify and streamline Executive Secretariat processes based on outcomes from the Secretary's Efficiency Review initiatives.
- Explore possible efficiencies in the preparation of the Secretary's classified and unclassified briefing materials.
- Decrease reliance on contractors another 40% based on FY 2010 levels.
- Develop and field on-site training/standardization teams to assist Component Executive Secretariat in maintaining Departmental standards.
- Explore staffing options for assuming responsibility for the Department's reports and testimony clearance.
- Ensure the Secretary's Efficiency Review personnel are fully staffed to support the Secretary's key Efficiency Initiatives that focus resources on the highest nation priorities, fiscal discipline, and ensure that taxpayer dollars are spent on programs that do not duplicate efforts and on programs that improve performance that promote greater accountability, transparency and customer satisfaction.

PPA: OFFICE OF INTERGOVERNMENTAL AFFAIRS

	Perm Pos	FTE	Amount
2009 Actuals	0	0	0
2010 Enacted	17	17	2,800
2011 Adjustments-to-Base	0	0	31
2011 Current Services	17	17	2,831
2011 Program Change	10	10	1,376
2011 Request	27	27	4,207
Total Change 2010-2011	10	10	1,407

OSEM requests \$4.207 million for this activity. This is an increase of 10 positions, 10 FTE and \$1.407 million over the FY 2010 enacted budget. The \$1.407 million is comprised of an adjustment to base of \$0.031 for pay and non pay expense and program increase of \$1.376 million for outreach to state, local, tribal, and territorial officials.

CURRENT SERVICES PROGRAM DESCRIPTION:

Office of Intergovernmental Affairs (IGA): The mission of IGA is to act both as an advocate for the State, local, tribal and territorial officials within the Department to operate as the primary liaison between those officials, the Secretary and senior DHS leadership.

The stakeholder community consists of over 500,000 non-Federal elected and appointed officials within the United States, including Governors, Homeland Security Advisors, Mayors, County Executives, State legislators, Leadership of the 564 Federally recognized Indian and Native Alaskan tribes, law enforcement officials, emergency managers, and the national associations that represent these officials.

IGA manages communications and coordinates activities across the spectrum of issues, initiatives, and programs confronting all agencies and components of the Department. No other DHS entity is charged with this Department-wide function. It also includes coordination with counterpart Intergovernmental Affairs Offices within other Executive Branch agencies and the White House Intergovernmental Affairs Office provide for coordinated interaction with non-federal government officials.

FY 2009 Accomplishments

- Created and coordinated a Department tribal policy and enhanced the role of tribal governments at DHS.
- Informed the State, local, tribal, and territorial officials (SLTT) on a regular basis of the Department’s progress and efforts on transition planning for the incoming Administration.
- Supported the Border Governor’s and other leadership of the Border States as well as tribal officials and communicated the requirements of Western Hemisphere Travel Initiative (WHTI) and continued discussions on Border protection issues.

- Communicated the Department guidance on priority efforts such as Real ID requirements and Fusion Centers to state, local, territorial, and tribal officials.
- Advocated for the policy positions taken by State, local, tribal, and territorial officials and the resources needed to carry out Departmental policy decisions.
- Coordinated timely, consistent and accurate Departmental guidance, information and policies to our State, local, tribal and territorial officials.
- Hosted the annual Governor's Homeland Security Advisor's Committee meeting and threat briefing.

FY 2010 Planned Accomplishments

- Communicate the new Administration's changes in intergovernmental affairs to the Department and the Administration's homeland security priorities to SLTT's and the national associations that represent them.
- Advise the Department on strategies, processes, procedures and other developments at the State, local, tribal and territorial levels. This includes preparation of a newly elected State and local officials on the roles and functions of the Department.
- Advocate for the policy positions taken by State, local, tribal, and territorial officials and the resources needed to carry out Departmental policy decisions. Ensure that SLTT's have a seat at the table and are active participants in policy development.
- Coordinate timely, consistent and accurate Departmental guidance, information and policies to our SLTT's.
- Host the 2nd Annual Homeland Security Terrorism Threat Conference for State Homeland Security Advisors and other key stakeholders.
- Assist two states with Gubernatorial Transitions, and take lessons learned from the two transitions and apply them to the upcoming FY 2011 Gubernatorial Transitions.
- Coordinate and consult with tribal nations on the President's Tribal Consultation Policy as well as increase awareness of tribal issues within the Department and formalize a tribal liaison program within the Department.

FY 2011 Planned Accomplishments

- Advise the Department on strategies, processes, procedures and other developments at the State, local, tribal, and territorial levels. This includes advising newly elected State and Local Officials on the roles and functions of the Department.
- Coordinate the Department's engagement during the extensive Gubernatorial Transitions taking place during FY2011 to ensure timely dissemination of information and to assist with related homeland security issues.
- Provide DHS 101 and threat briefs to any newly elected Governors and ensure a smooth transition at the State level with the Department since there will be 36 Gubernatorial races.

- Advocate for the policy positions taken by State, local, tribal, and territorial officials and the resources needed to carry out Departmental policy decisions. Ensure that SLTTs have a seat at the table and are active participants in policy development.
- Coordinate timely, consistent and accurate Departmental guidance, information and policies to our State, local, tribal, and territorial officials and the national associations that represent them.
- Finalize and maintain the Department's Tribal Resource Handbook, and continue to make improvements on tribal consultation pursuant to the President's memorandum on tribal consultation.
- Host an annual Governor's Homeland Security Advisor's Committee meeting and threat briefing, and host the 3rd Annual Homeland Security Terrorism Threat Conference.

PPA: OFFICE OF POLICY

	Perm Pos	FTE	Amount
2009 Actuals	208	189	\$47,711
2010 Enacted	187	182	51,564
2011 Adjustments-to-Base	0	5	(7,817)
2011 Current Services	187	187	43,747
2011 Program Change	0	0	6,060
2011 Request	187	187	49,807
Total Change 2010-2011	0	5	(1,757)

OSEM requests \$49.807 million for this activity. This request is a decrease of \$1.757 million which is a net decrease of \$7.817 million due to the non-recurring of the Intermodal Security Coordination Office in FY 2011 and a program increase of \$6.060 million for additional program support.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of Policy is comprised of nine program offices responsible for strengthening homeland security by developing and integrating Department-wide policies, planning, and programs to better coordinate the Department’s missions and goals. They are the Office of Strategic Planning, Policy Development, International Affairs, Screening Coordination, Homeland Security Advisory Council, Private Sector Office, State & Local Law Enforcement, Immigration Statistics, and Immigration and Border Policy.

The Office of Policy is central to achieving the goal of “One DHS” and a truly national homeland security enterprise. Policy provides a central office to develop and communicate policies across multiple components of the homeland security network and strengthens the Department’s ability to maintain policy and operational readiness needed to protect the homeland. It also provides the foundation and direction for Department-wide strategic planning and budget priorities.

The Office of Policy is also tasked with bridging multiple headquarters’ components and operating agencies to improve communication among DHS entities, eliminate duplication of effort, and translate policies into timely action. The Office of Policy creates a single point of contact for internal and external stakeholders that allow for streamlined policy management for the Department.

FY 2009 Accomplishments

- Led the effort to conduct the Quadrennial Homeland Security Review (QHSR), including managing the seven study groups, coordinating outreach to various stakeholders, and developing the online National Dialogue tool to encourage massive and diverse participation. The QHSR sets prioritized goals and objectives for homeland security for the next four years within the context of the Secretaries' priorities and themes, and set a course for maturing and unifying DHS and the entire national homeland security enterprise. The review continues to build the foundation for homeland security activities in order to enhance the security and resiliency of our

Nation. The report on the review will be delivered to Congress in second quarter 2010 after final coordination through the White House.

- Evaluated the Integrated Planning Guidance (IPG) for Fiscal Years (FY) 2011-15 against the decisions from the Program Review Board.
- Developed the IPG for FYs 2012-16 to provide 5-year programming and budgeting guidance to all DHS components and addressing critical capability gaps identified.
- Provided policy analysis, recommendations, and coordination in support of departmental international engagement goals and responsibilities.
- Provided leadership for the interagency implementation of the Western Hemisphere Travel Initiative (WHTI).
- Provided a reference guide targeted primarily to non-federal law enforcement partners, which provides information on current DHS initiatives, grants, training opportunities, and key points of contact for each. The resource was published on Homeland Security Information Network – Law Enforcement HSIN-LE for distribution to law enforcement partners.
- Established three new task forces under the Homeland Security Advisory Council (HSAC): Homeland Security Advisory System Task Force, Sustainability and Efficiency Task Force, and the Southwest Border Task Force.
- The Office of Immigration Statistics (OIS) Annual Flow Reports, Population Estimates, Fact Sheets, and the Yearbook of Immigration Statistics were downloaded from the DHS website an average of 13,000 times per week during FY 2009.

FY 2010 Planned Accomplishments

- Finalize and roll out the IPG for FY 2012-16 to provide 5-year programming and budgeting guidance to all DHS components and addressing critical capability gaps identified. Develop the IPG for FY 2013-17 to provide 5-year programming and budgeting guidance to all DHS components and addressing critical capability gaps identified.
- Develop and finalize findings and recommendations to the HSAC and the Secretary at the November 2009 public HSAC meeting. HSAC entities reporting findings and recommendations will be the Quadrennial Review Advisory Committee, Sustainability and Efficiency Task Force, and the Southwest Border Task Force.
- Expand the estimation of the characteristics of the unauthorized alien population in the United States to support possible immigration reform.
- Conduct an econometric study on border security effectiveness designed to evaluate the degree to which border enforcement activities deter unauthorized immigration at the southwestern border.

FY 2011 Planned Accomplishments

- Finalize and roll out the IPG for FY 2013-17 to provide 5-year programming and budgeting guidance to all DHS components and addressing critical capability gaps identified.

- Develop the IPG for FY 2014-18 to provide 5-year programming and budgeting guidance to all DHS components and addressing critical capability gaps identified
- Create and lead additional HSAC task forces as assigned by the Secretary.
- Continue the development of the QHSR and implement the results of the FY10 Bottom Up Review.
- Ensure implementation and compliance to Comprehensive Immigration Reform from FY10.
- Continue to strengthen key partnership programs such as Visa Waiver Program and security screening activities.
- Continue to support immigration statistics studies and provide other relevant analysis to support the development of the department's policies.
- Ensure implementation of PASSID which is a critical piece of National Security legislation that will improve the Real ID Act of 2005.
- Ensure development of Air Exit policies.
- Continue to strengthen private sector and law enforcement engagement, the development and implementation of cargo screening policies.
- Representing the Department on the Committee on Foreign Investment in the United States (CFIUS),
- Implement global engagement initiatives at overseas attachés in Europe, Latin American and the Middle East to meet the President's and Secretary's goals.

PPA: OFFICE OF PUBLIC AFFAIRS

	Perm Pos	FTE	Amount
2009 Actuals	31	31	\$6,084
2010 Enacted	38	38	5,991
2011 Adjustments-to-Base	0	0	89
2011 Current Services	38	38	6,080
2011 Program Change	0	0	945
2011 Request	38	38	7,025
Total Change 2010-2011	0	0	1,034

OSEM requests \$7.025 million for this activity. The \$1.034 million increase is a net result of \$0.089 million ATB increase for pay inflation and \$0.945 million program increase for operational support for the OPA program and the lease of space, build-out and furniture for the National Joint Information Center.

CURRENT SERVICES PROGRAM DESCRIPTION:

The DHS Office of Public Affairs is comprised of nine major functional areas. They are media relations, incident communications, intelligence and operations communications, strategic communications, employee communications, planning and technical operations, web content and new media, and multimedia liaison.

FY 2009 Accomplishments

Incident Communications

- Coordinated aggressive communications strategy with federal partners and Border States during the escalation of violence in Mexico along the southwest Border.
- Participated in the coordination of the U.S. government’s communications and public affairs response to the initial H1N1 pandemic influenza outbreak.
- Developed and hosted a Domestic Incident Communications Exercise at the National Joint Information Center with the White House and Assistant Secretary’s across the federal government to define federal roles and responsibilities in response to terrorist attacks on the United States.
- Continued the successful News and Terrorism program adding the 16th and 17th cities. The two workshops were conducted in San Diego and Las Vegas uniting government, media and the medical/scientific communities on the complexities of communicating technical subject matter in the aftermath of a terrorist attack and enhancing the local media’s capacity to convey that subject matter to the public.
- Successfully coordinated incident communications activities during the presidential inauguration and transition of government leadership.
- Coordinated federal incident communications during the National Level Exercise in July.

Web Communications and New Media

- Launched redesign and new architecture of DHS.gov to reflect Department responsibilities and priorities.
- Launched The Blog @ Homeland Security to show the Department's day-to-day work.
- Launched Department YouTube channel to increase outreach and awareness of Department's initiatives.
- Increased the use of video in internal and external Department communications.

Strategic Communications

- Successfully developed strategic communications planning and coordination for major DHS announcements and rollouts.
- Successfully coordinated with DHS offices and components to achieve common goals efficiently and continue 'One DHS' objectives.

Internal Communications

- Developed and populated a new intranet channel dedicated to the Secretary's Efficiency Review that provides links to the 30-, 60-, and 90-day Action Directives and guidance.

FY 2010 Planned Accomplishments

- Strengthen communication on steady-state DHS policies and announcements, and crucial incidents, with private sector, state/local/tribal/international government, think tank policy experts, and other essential third-party stakeholders.
- OPA in conjunction with the Office of the Chief Information Officer (CIO) will launch a new intranet in the first quarter of FY 2010 that will serve as the foundation for a DHS-wide intranet
- Continue day-to-day operations of press operations and response to national and local media inquiries, strategic communications, public outreach, writing speeches for department senior officials, internal communications, and internet and website operation.
- Continue and successfully implement Efficiency Review prescriptions and achieve ER goals.
- Conduct planning, preparation, and consistent coordination for all incident communications activities and Emergency Support Functions.

FY 2011 Planned Accomplishments

- Continue day-to-day operations of press operations and response to national and local media inquiries, strategic communications, public outreach, writing speeches for department senior officials, incident communications, internal communications, and internet and website operation
- Establish a fully operational National Joint Information Center (NJIC), which will support the Continuity of Operations Plan /Continuity of Government (COOP/COG) functions for the Public Affairs Office. The NJIC will serve as the coordination facility for the United States Government for public information and public messaging following a Presidential Continuity of Government (COG) or Continuity of Operations (COOP) decision.

PPA: OFFICE OF LEGISLATIVE AFFAIRS

	Perm Pos	FTE	Amount
2009 Actuals	32	31	\$5,379
2010 Enacted	31	31	6,797
2011 Adjustments-to-Base	0	0	114
2011 Current Services	31	31	6,911
2011 Program Change	0	0	289
2011 Request	31	31	7,200
Total Change 2010 - 2011	0	0	403

OSEM requests \$7.200 million for this activity. This request is an increase of \$0.403 million over FY 2010 enacted. The \$0.114 million ATB increase is for pay inflation, and the program increase of \$0.289 million is for operational support.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of Legislative Affairs (OLA) has seen a steady increase in workload over the past year, which has required the application of additional personnel, resources, and effort. Because of continued Congressional interest in and the complexity of DHS programs this trend will likely continue. Total effort of the office is measured by the number of hearings and briefings presented to the Congress in the course of a year.

FY 2009 Accomplishments

- OLA attended, successfully coordinated and developed material for 131 hearings; to include hearings where multiple DHS witnesses were present.
- OLA assisted in preparing 173 witnesses for oral testimony.
- OLA attended, coordinated and managed 1,864 legislative briefings.

FY 2010 Planned Accomplishments

- Develop and coordinate materials for the projected increase in the number of hearings DHS witnesses will attend.
- Increase the number of witnesses the OLA assists in preparation of oral testimony.
- Increase the total number of legislative briefings the OLA attends, coordinates, and manages in advance of a hearings.

FY 2011 Planned Accomplishments

- Increase the number of hearing and briefings presented to the Congress.
- Augment visibility with Capitol Hill, Appropriations Officials and staff to ensure that the Office of Legislative Affairs represents all programs at headquarters and components.

PPA: OFFICE OF THE GENERAL COUNSEL

	Perm Pos	FTE	Amount
2009 Actuals	105	97	\$17,854
2010 Enacted	86	86	24,028
2011 Adjustments-to-Base	0	0	335
2011 Current Services	86	86	24,363
2011 Program Change	0	0	0
2011 Request	86	86	24,363
Total Change 2010-2011	0	0	335

OSEM requests \$24.636 million for this activity. This request is an increase of \$0.335 million over FY 2010 enacted budget. The \$0.335 million increase is the net result of \$0.335 million ATB increase for pay inflation.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of the General Counsel (OGC) is responsible for all legal activities within the Department. In providing legal services, OGC facilitates full execution of the actions necessary for the Department to accomplish its mission and meet its statutory responsibilities. OGC provides legal counsel for all DHS offices (except those specifically excluded by statute). OGC legal services involve (to name only a few of the many legal areas) the law of national security, immigration, transportation security, maritime security, cyber security, criminal and administrative law enforcement, appropriations, and the regulation of infrastructure security.

FY 2009 Accomplishments

In addition to providing legal services on a daily basis for operation of the Department, OGC made significant contributions to the Department in the following activities:

- Provided legal advice concerning myriad issues involved with the Department’s first-ever transition of Administrations. This included advising the departing and incoming Secretaries; the provision of ethics advice to the many individuals involved in the transition process; the provision of legal advice concerning succession orders within the Department; and advice on the use of appropriated funds.
- Provided legal advice and services for the Secretary, other Department officials, and interagency partners on issues relating to the H1N1 influenza pandemic.
- Provided advice and counsel on a number of major procurement projects, such as the Transformation and Systems Consolidation Procurement (sometimes referred to as TASC) and procurement related to the USCIS Transformation Program.
- Built enhanced legal capabilities in the area of operations law.

- Provided operations and enforcement law advice for steady-state, incident, and exercise operations, including various natural disasters, the Inauguration, the H1N1 pandemic event, and National Level Exercise 2009.
- Developed and advised on significant homeland security rulemaking and other regulatory actions, including rescission of the Immigration and Customs Enforcement No-Match rule; publication of the final rule implementing the secure identification provisions of the REAL ID Act; publication of the proposed Large Aircraft Security Program regulation; publication of the Secure Flight final regulation; and publication of the proposed Coast Guard regulation on Standards for Living Organisms in Ships Ballast Water Discharged in U.S. Waters.
- Provided legal review and advice on many international agreements involving, for example, preclearance mechanisms for transportation security purposes and cooperation regarding the development of anti-terrorism technologies.
- Provided legal advice and services on a number of complex immigration matters, including advice related to operation of the visa waiver program; advice concerning the operation of e-Verify activities; advice concerning immigration implications associated with Guantanamo Bay detainees; and advice regarding asylum and other protections for vulnerable individuals.
- Provided legal review and analysis on a number of significant legislative proposals affecting the Department.

FY 2010 Planned Accomplishments

In addition to the provision of legal services described above, OGC plans to pursue the following activities in FY 2010:

- Communicate a clear strategic vision for the DHS Legal department; promote integration of the Legal department into “one DHS” with a common set of core priorities and processes; and recruit, develop, and retain outstanding legal talent at all levels of the organization.
- Provide legal support to the Secretary and others as the Administration and Congress develop and consider immigration reform legislation.
- Continue to develop and improve relations with the GAO to address in a timely manner the oversight and other needs of the Congress.
- Implement the Secretary’s Efficiency Review goals through a number of working groups developed to increase efficiency and coordination within OGC. These working groups, which already have work underway, will focus on issues such as document management systems to manage legal projects, e-discovery capabilities and efficient coordination of training for attorneys.
- Provide aggressive legal support for cyber security operations and initiatives. This will include continuing to enhance legal staff capable of advising on complex cyber law matters.
- Develop agile structure for coordination of legal advice during the response to significant incidents implicating homeland security concerns.

- Provide legal advice relating to the Department's review of the use of contractors and the maintenance of a federal workforce to perform inherently governmental functions.
- Build management and support infrastructure for legal offices in order to enhance efficiency and coordination.

FY 2011 Planned Accomplishments

In addition to the provision of legal services described above, OGC plans to pursue the following activities in FY 2011:

- Implement any appropriate upgrades to a system for managing e-discovery.
- Provide enhanced legal support to the Privacy Office and DHS in complying with the President's FOIA directive and in appropriate handling of FOIA requests. Help implement recommendations set forth in the GAO report to reduce the backlog of FOIA responses.
- Develop an integrated professional responsibility program for review of allegations concerning attorney conduct.

PPA: OFFICE FOR CIVIL RIGHTS AND CIVIL LIBERTIES

	Perm Pos	FTE	Amount
2009 Actuals	79	66	\$19,224
2010 Enacted	94	80	21,104
2011 Adjustments-to-Base	0	14	2,249
2011 Current Services	94	94	23,353
2011 Program Change	6	6	1,206
2011 Budget Request	100	100	24,559
Total Change 2010-2011	6	20	3,455

OSEM requests \$24.559 million for this activity. This is an increase of \$3.455 million over FY 2010 Enacted. The \$2.249 million ATB increase is for pay, prior year part year funding of 14 FTE, and fully funding base FTE. The \$1.206 million program change includes a working capital fund rent increase of \$0.465 million and \$0.741 million and 6 FTE to hire six new management program analysts to support Intelligence and Analysis (I&A) product review and to provide civil rights and civil liberties training to DHS personnel.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office for Civil Rights and Civil Liberties (CRCL) provides DHS senior leadership with constructive advice spanning a wide range of issues confronting the Department. The Office accomplishes this by reviewing and assessing important programs and initiatives; engaging with ethnic and religious communities; advising emergency management officials on policies concerning people with disabilities and other special needs; improving immigration policy; developing and conducting training; and acting as the single contact officer for human and civil rights treaties. CRCL also performs a vital operational role through its Incident Community Coordination Teams.

CRCL makes available to the public information on the responsibilities and functions of and how to contact the Officer for Civil Rights and Civil Liberties, including how to file complaints. The Office also generates for Congress required reports regarding activities of the Office. CRCL investigates and resolves complaints from the public alleging violations of civil rights and civil liberties; racial, ethnic, or religious profiling; or administrative claims under Section 504 of the Rehabilitation Act.

CRCL leads the Department’s EEO and Diversity Programs and is responsible for Department-wide policies, training, and complaint adjudication processes to promote EEO and Diversity for all employees and applicants. The Office accomplishes this mission by aligning EEO and diversity objectives to the DHS Strategic Plan and the DHS Human Capital Strategic Plan. The EEO and Diversity Programs Division provides guidance to the Office of the Secretary and senior leaders on EEO and Diversity Management, and is responsible for coordinating cross-component EEO and Diversity Management functions, including diversity management initiatives and EEO complaint processing.

FY 2009 Accomplishments

- Continued and increased Civil Liberties Impact Assessments (CLIA): In FY 2009, CRCL hired five full-time staff to conduct proactive CLIAs. CRCL matured the cooperative process used to conduct statutorily mandated CLIAs, and established relationships with DHS components to incorporate CLIAs into the regular development process of agency programs and initiatives.
- Expanded Engagement with Communities: In FY 2009, CRCL expanded ongoing engagement with ethnic and religious communities, adding new cities and regions to its roster of regular roundtable discussions with American Arab and Muslim community leaders currently held in Detroit, Los Angeles, Chicago, Houston, Washington DC, and Boston. CRCL also increased its dialogue with these communities by holding three youth roundtables.
- Developed and Implemented National Civil Liberties and Privacy Training Program for State, Local and Tribal Fusion Centers: In FY 2009, CRCL met its statutory training obligation through a partnership with the DHS Privacy Office and the Department of Justice's Bureau of Justice Assistance in which CRCL led the creation of a web portal and on-site training program.

FY 2010 Planned Accomplishments

- Automation of Diversity Management Data and Reports: In FY 2010, CRCL will roll out a new database application providing the capability to mine, manipulate and report workforce demographic data relating to recruitment, development, advancement, and retention. This information technology solution will enable the Department to immediately access and analyze current workforce diversity information to ensure equal employment opportunity.
- Expansion of the Civil Liberties Institute (CLI): In FY 2010, CRCL will expand its efforts to provide high quality, Department-wide training on issues at the intersection of homeland security and civil rights and civil liberties. In addition to increasing its offerings of training produced by CRCL, the Office will improve the integration of civil rights and civil liberties issues into the standard training offered by other DHS components.
- Cross-Component Coordination and Efficiencies: In FY 2010, CRCL will establish and/or manage the Civil Rights, Civil Liberties and EEO Councils, responsible for providing cross-component planning, implementation, review, and evaluation of civil rights, civil liberties, EEO and diversity management functions.
- Office of Intelligence & Analysis (I&A) Product Review: CRCL and the Office of Privacy are now required through internal DHS Management Directives to review all I&A products.

FY 2011 Planned Accomplishments

- CRCL's Civil Liberties Institute will meet the Office's statutory obligation through comprehensive civil liberties training and technical assistance to state, local and tribal fusion

centers via on-site sessions, webinars, training of local trainers and a web-based training resource center.

- Office of Intelligence & Analysis (I&A) Product Review: CRCL and the Office of Privacy are required through internal DHS Management Directives to review all I&A products. CRCL will dedicate new staff and conduct training for this effort.
- The Immigration Team will increase engagement with immigrant communities. This includes: roundtables focusing upon immigration initiatives and programs throughout the United States; strengthening the Incident Communications Network; strengthening the Immigrant Worker Roundtable, and educating communities affected by DHS programs, including 287(g), Secure Communities, E-Verify and SAVE about rights and CRCL's complaint processes.
- CRCL's Equal Employment Opportunity and Diversity Programs Division will continue to increase management and employee awareness of EEO and Diversity programs through development of standardized, Department-wide EEO and Diversity training. CRCL will also complete efforts to completely eliminate the Department's backlog of EEO complaints, which resulted from the inheritance of work from legacy agencies when DHS was first established.
- The Diversity Management Unit of EEO will continue implementation of the National Academic Internship Program (a subset of the National Security Internship Program). The goal of this program is to create a direct career path for the DHS with Native American students studying Homeland Security, Intelligence, and Area Studies. This program is an intensive full immersion summer program for qualified undergraduate and graduate candidates from throughout the U.S. that combines Homeland Security and Intelligence Seminars, and On-the-Job-Training internship at DHS.

PPA: CITIZENSHIP AND IMMIGRATION SERVICES OMBUDSMAN

	Perm Pos	FTE	Amount
2009 Actuals	23	24	\$4,966
2010 Enacted	36	36	6,685
2011 Adjustments-to-Base	0	0	179
2011 Current Services	36	36	6,864
2011 Program Change	0	0	0
2011 Request	36	36	6,864
Total Change 2010-2011	0	0	179

OSEM requests \$6.864 million for this activity. This is an increase of \$0.179 million over FY 2010 enacted budget. The \$0.179 million ATB increase is for pay inflation adjustments.

CURRENT SERVICES PROGRAM DESCRIPTION:

The statutory mission of the Citizenship and Immigration Services Ombudsman (CISOMB) is to assist individuals and employers in resolving problems with United States Citizenship and Immigration Services (USCIS) identify areas in which individuals and employers have problems in dealing with USCIS, and propose changes to mitigate identified problems.

FY 2009 Accomplishments

- **Virtual Ombudsman:** The Ombudsman established a Pilot Program for the Virtual Ombudsman System (VOS) in FY 2009. The VOS supports the Ombudsman’s statutory mandate to assist individuals and employers who experience problems with USCIS and propose changes to mitigate such problems. The VOS will enable CISOMB to fulfill its statutory mandate by: (1) Streamlining and standardizing the process by which individuals and employers contact the Ombudsman by deploying an Internet-based portal that links directly to data fields that currently are captured in a workflow template managed by CISOMB staff; (2) Enabling individuals and employers to provide consent for information released through an electronic signature instead of an original ink signature that requires the submission and retention of paper correspondence; (3) Centralizing management of correspondence in all forms (paper, facsimile, email, etc.) in a single electronic management tool; (4) Providing functionality and control to CISOMB for data analysis as well as the creation and generation of various data reports requested by the Ombudsman to fulfill mission requirements; and, (5) Allowing for the collection and analysis of information obtained from meetings with stakeholders and USCIS.
- **Annual Report:** The Ombudsman submitted its 2009 Annual Report to the House and Senate Judiciary Committees on June 30, 2009, as required by statute. The Annual Report described recommendations issued to USCIS throughout the reporting year; pervasive and serious issues encountered by individuals and employers; an inventory of action and inaction taken by USCIS on CISOMB’s recommendations; work on case problems; and outreach initiatives.
- **Case Problems:** The Ombudsman continued to receive thousands of letters, emails, and telephone calls from individuals and employers regarding their problems with USCIS.

- Recommendations: In FY 2009, the Ombudsman made recommendations to USCIS to address systemic issues experienced by individuals and employers in their dealing with USCIS.
- Ombudsman Outreach: To better assist individuals and employers resolve problems with USCIS, CISOMB traveled to USCIS facilities nationwide, met with stakeholder organizations, held numerous in-person and telephonic meetings with interested parties, addressed thousands of e-mail inquiries, and held monthly public teleconferences.

FY 2010 Planned Accomplishments

- Virtual Ombudsman: Implementation of Phase 1 of the VOS should occur during FY 2010, to support the Ombudsman's statutory mandate, as described above.
- Ombudsman Outreach: The Ombudsman Outreach program, as described for FY 2009, will continue. It also will increase in scope as a result of the VOS deployment, as CISOMB will meet with increasing numbers of CBOs, NGOs, Federal agencies, and state and local governments to provide information and answer questions about the VOS. CISOMB also anticipates an increase in inquiries when individuals and employers begin using the VOS,
- Staffing: The Ombudsman will increase staff from 30 FTE to 36 FTE to address the expected workload increase generated by the deployment of the VOS and the possibility of the FY 2010 passage of comprehensive immigration reform.
- Case Problems: The Ombudsman plans to continue to receive thousands of letters, emails, and telephone calls from individuals and employers regarding their problems with USCIS.
- Recommendations: In FY 2010, the Ombudsman will continue to make recommendations to USCIS to address systemic issues experienced by individuals and employers in their dealing with USCIS.
- Annual Report: The Ombudsman plans to submit its 2010 Annual Report to the House and Senate Judiciary Committees on June 30, 2010, as required by statute. The Annual Report will describe: recommendations issued to USCIS throughout the reporting year; pervasive and serious issues encountered by individuals and employers; an inventory of action and inaction taken by USCIS on CISOMB's recommendations; work on case problems; and outreach initiatives.

FY 2011 Planned Accomplishments

- Virtual Ombudsman System: Implementation of Phase 2 of the VOS will support the Ombudsman's statutory mandate, as described above.
- Ombudsman Outreach: The Ombudsman Outreach program, as described for FY 2009, will continue in 2011. It also will increase in scope as a result of the VOS deployment, as CISOMB will meet with increasing numbers of CBOs, NGOs, Federal agencies, and state and local governments to provide information and answer questions about the VOS. CISOMB also anticipates an increase in inquiries when more individuals and employers use the VOS.

- **Staffing:** The Ombudsman will increase staff from 24 FTE to 36 FTE to address the expected workload increase generated by the deployment of the VOS and the possible passage of comprehensive immigration reform.
- **Case Problems:** The Ombudsman plans to continue to receive thousands of letters, emails, and telephone calls from individuals and employers regarding their problems with USCIS.
- **Recommendations:** In FY 2011, the Ombudsman will continue to make recommendations to USCIS to address systemic issues experienced by individuals and employers in their dealing with USCIS.
- **Annual Report:** The Ombudsman plans to submit its 2011 Annual Report to the House and Senate Judiciary Committees on June 30, 2011, as required by statute. The Annual Report will describe: (1) recommendations issued to USCIS throughout the reporting year; (2) pervasive and serious issues encountered by individuals and employers; (3) an inventory of action and inaction taken by USCIS on CISOMB's recommendations; (4) work on case problems; and (5) outreach initiatives.

PPA: PRIVACY OFFICE

	Perm Pos	FTE	Amount
2009 Actuals	32	29	\$6,866
2010 Enacted	30	30	7,971
2011 Adjustments to Base	0	0	154
2011 Current Services	30	30	8,125
2011 Program Change	6	4	993
2011 Request	36	34	9,118
Total Change 2010-2011	6	4	1,147

OSEM requests \$9.118 million for this activity. This is an increase of \$1.147 million over FY 2010 enacted budget. The increase includes a \$0.154 million ATB for pay adjustments and a program increase of 6 Positions, 4 FTE and \$0.993 million.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Privacy Office is responsible for protecting the Department's collection, use and disclosure of Personally Identifiable Information (PII). The Office manages departmental responsibilities related to the Freedom of Information (FOIA) and the Privacy Act. These responsibilities include coordinating and implementing policy development and compliance government-wide for the FOIA, and Department-wide for the Privacy Act. The Office decides all appeals from denials by any Department component of access to information under these two Acts. This Office demonstrates and encourages awareness of commitment to sound privacy policy and practice as currently accepted in the United States and internationally.

FY 2009 Accomplishments

- Conducted 413 Privacy Threshold Analysis (PTA), 58 Privacy Impact Assessments (PIA) and published 75 System of Record Notices (SORNs). This included the review and removal of 211 Legacy SORNs.
- Operationalized the *Privacy Office Handbook: Safeguarding Sensitive Personally Identifiable Information*, which applies to every DHS employee, contractor, detailee and consultant. The Office held quarterly PIA training for DHS personnel who were responsible for drafting privacy compliance documents and developed FOIA and Transparency Guidance to all components and directorates on proactive disclosure and departmental compliance with Subsection (a) (2) of the Freedom of Information Act, August 26, 2009.
- Held the *Privacy Compliance Fundamentals – PTA's, PIA's and SORNS*, June 10, 2009, at Washington, DC. As well as *Government 2.0: Privacy and Best Practices*, June 22-23, 2009, at Washington, DC.

- Instituted a cyber subcommittee of the DHS Data Privacy and Integrity Advisory Committee and coordinated with DHS Cyber Space & Communications (CS&C) to provide briefings of the Department's cyber security activities pursuant to the Comprehensive National Cyberspace Initiative. The Office lead DHS' participation in the White House's Information and Communications Infrastructure Sub-IPC for Civil Liberties and Privacy Rights.
- Created the *Privacy and Civil Liberties Policy Guidance Memorandum 2009-01* regarding information sharing, June 5, 2009, *Privacy Policy Guidance Memorandum 2008-02*, DHS policy regarding PIAs, December 30, 2008, the *Privacy Policy Guidance Memorandum 2008-01* and *The Fair Information Practice Principles: Framework for Privacy Policy at the Department of Homeland Security*, December 29, 2008.
- Supported negotiation of international information sharing agreements, including a political agreement on privacy and law enforcement principles with the European Union and conducted international privacy exchanges.
- Created the *Interim Report – European Union Approach to the Commercial Collection of Personal Data for Security Purposes*, January 16, 2009, *FY 2008 Freedom of Information Act Annual Report* – report to the Attorney General noting FOIA and disclosure activities at the Department, January 16, 2009, *Data Mining Letter Report*, December 2008, which was required under Section 804 of the 9/11 Commission Act, the *Federal Agency Data Mining Reporting Act of 2007* and Section 803 Reports – Section 803 of the 9/11 Commission Act requires the Privacy Office to submit quarterly reports on the activities of the Privacy Office and the Privacy Office Annual Report, September 2009.

FY 2010 Planned Accomplishments

In FY 2010, the Office will continue to carry out duties imposed by the Section 222 of the Homeland Security Act and Public Law 110-53. The Office expects to provide seven reports to Congress, pursuant to Section 222 of the Homeland Security Act.

In addition to the aforementioned reporting, the Privacy Office also plans to accomplish the following:

- Issue an updated Privacy Impact Assessment template (version 3).
- Issue Freedom of Information Act and Privacy Act regulations.
- Issue DHS Management Directive Principles for Implementing Privacy Protections in Research Projects.
- Report to Privacy Incidents summarizing privacy incident management at DHS in accordance with Office of Management and Budget and the DHS Privacy Incident Handling Guidance (PIHG).

- Publish Privacy Complaints Standard Operating Procedures (SOP) Guide.
- Issue new DHS PRIV Management Directive.
- Support negotiation of international information sharing agreements including a binding agreement on privacy and law enforcement principles with the European Union.
- Complete a second Privacy Impact Assessment of the DHS State, Local, and Regional Fusion Center Initiative, as required under Section 511 of the 9/11 Commission Act.
- Review draft state fusion center privacy policies to confirm they are at least as comprehensive as the Information Sharing Environment Guidelines.

FY 2011 Planned Accomplishments

- Provide training in support of Fusion Centers for Intelligence and Analysis employees and support the efforts of Fusion Centers to provide training to state and local employees.
- Execute privacy investigations, and provide additional support for the Information Sharing Environment.
- Provide high-level review of all Office of Intelligence and Analysis documents in accordance with the Secretary's instructions.
- Develop a privacy training module on safeguarding PII for use throughout the Department.
- Support negotiation of international information sharing agreements with international friends and allies including a binding agreement on privacy and law enforcement principles with the European Union.

PPA: OFFICE OF COUNTERNARCOTICS ENFORCEMENT

	Perm Pos	FTE	Amount
2009 Actuals	17	13	\$3,369
2010 Enacted	15	15	3,612
2011 Adjustments-to-Base	0	0	260
2011 Current Services	15	15	3,872
2011 Program Change	0	0	0
2010 President's Budget	15	15	3,872
Total Change 2010-2011	0	0	260

OSEM requests \$3.872 million for this activity. This request is an increase of \$0.260 million over FY 2010 enacted budget. The \$0.260 million ATB increase is for pay adjustments and increases for ongoing operational support.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of Counternarcotics Enforcement (CNE) supports the Department and the national drug control program by coordinating policy and operations within DHS and between the Department and other Federal departments and agencies and between the Department and state and local agencies with respect to stopping the entry of illegal drugs into the United States. The Office ensures the adequacy of resources within the Department and recommends the appropriate financial and personnel resources necessary to help the Department better fulfill its responsibility to stop the entry of illegal drugs into the United States. CNE also works closely with intelligence and law enforcement entities within DHS and across the federal government to assist in tracking and severing connections between drugs and terrorism (known as the DTX Project). DTX activities to track and sever the connections between drug trafficking and terrorism are conducted within the Joint Terrorism Task Force (JTTF) construct.

FY 2009 Accomplishments

- 2009 National Southwest Border Counternarcotics Strategy: CNE co-chaired an interagency effort to update the *2007 National Southwest Border Counternarcotics Strategy*. This document identifies the major goals and objectives for closing gaps in U.S. and Mexico counternarcotics. CNE also served as the Co-Executive Agent for developing the Implementation Plan for the Strategy.
- Expand Drug-Terror Nexus Collection Networks: CNE promoted an exchange of drug-terror information between the law enforcement and intelligence communities, providing law enforcement agencies at all levels of government with actionable information needed to apprehend terrorists. CNE improved relationships with High Intensity Drug Trafficking Areas (HIDTAs), JTTF, Fusion Centers and state, local and tribal entities through regular meetings and correspondence with key personnel from these organizations.
- The Interdiction Committee (TIC): CNE continued to assist the TIC Chairman completing an interagency Western Hemisphere Transit Zone Performance Gap Analysis that developed

strategic objectives and recommended resource levels to meet national cocaine interdiction goals for FY 2010-2014.

- **DHS Statement of Intent:** CNE developed and submitted to the United States Interdiction Coordinator a formal document delineating the Department's intended baseline level of personnel and resources to be devoted to counterdrug operations in FY 2010. This document enables planners and commanders to estimate force levels that will be available for interdiction operations against drug smugglers in geographic regions including South America, Central America, the Gulf of Mexico, the Caribbean, and the Eastern Pacific.
- **Sustain DHS Counternarcotics Operations in the Eastern Pacific:** CNE collaborated with the Departments of State and Defense and DHS component organizations to minimize the disruption of the Department's counternarcotics aerial surveillance footprint following the closure of the Manta, Ecuador Forward Operating Location.
- **Methamphetamine and National Synthetic Drug Control Strategy:** CNE worked with USCG, CBP and ICE to identify opportunities for focusing the Department's interdiction, investigative, and law enforcement efforts on countering the flow of methamphetamine and its precursor chemicals into the United States.

FY 2010 Planned Accomplishments

- **Southwest Border Counternarcotics Strategy Oversight:** At the direction of the Director of the ONDCP, CNE will support the oversight of the Strategy by providing DHS input and coordination to the senior-level principal group charged with overseeing the implementation of the *2009 National Southwest Border Counternarcotics Strategy*.
- **DHS Counterdrug Doctrine:** CNE will work with DHS policy and operational components to develop and promulgate a Departmental statement of counterdrug doctrine by March 2010. This effort is intended to support the Secretary's goal of building "One DHS" and enhance the Department's ability to achieve its strategic goals and those presented in the National Drug Control Strategy.
- **Completion of a U.S.-Mexico Bi-National Criminal Proceeds Study:** The purpose of this study is to gain a better understanding of the movement of funds smuggled into and out of Mexico, including the identification of geographic locations in Mexico (cities) where these criminal proceeds are consolidated and laundered, and the process by which the funds enter into legitimate financial systems. The information garnered from this study, expected to be completed in April 2010, , expected to be completed by April 2010, will assist the United States Government and the Government of Mexico to dismantle and disrupt criminal organizations, particularly drug trafficking organizations that rely on illegal financial enterprises.
- **Track and Sever the Connections between Drug Trafficking and Terrorism:** CNE will work within DHS and with interagency law enforcement and intelligence partners to develop a framework to improve collaboration and knowledge sharing in order to enhance United States Government efforts to track and sever the connections between drug trafficking and terrorism.
- **Coordinate Budget, Policy and Operations among DHS Components:** CNE will ensure effective coordination of counternarcotics efforts among DHS components by using the DHS

Counternarcotics Coordinating Council (CCC) as a consultative forum through which the components can identify and address critical issues relevant to the achievement of our national drug control objectives. CNE hosted a meeting of the CCC in December 2009 and will host subsequent meetings in FY 2010 on a quarterly basis.

- DHS Statement of Intent: By August 2010, CNE will complete the DHS Statement of Intent, which will delineate the Department's intended baseline level of personnel and resources projected to be available to support counterdrug operations in FY 2011.

FY 2011 Planned Accomplishments

- Provide Executive Agent Oversight for Developing the *2011 National Southwest Border Counternarcotics Strategy*: At the direction of the Director of the ONDCP, CNE will co-lead the interagency's efforts to complete the statutorily-required biennial update to the *National Southwest Border Counternarcotics Strategy*.
- Expand Drug-Terror Nexus Connection Networks: Using the framework developed in 2010, CNE will work within DHS and with interagency law enforcement and intelligence partners to implement its proposal for improving collaboration and knowledge sharing in order to enhance United States Government efforts to track and sever the connections between illegal drug trafficking and terrorism.
- Implementation of Recommendations from U.S.-Mexico Bi-National Criminal Proceeds Study: CNE will coordinate, further develop, and mine the information gained from the U.S.-Mexico Bi-National Criminal Proceeds Study completed in 2010. CNE will work with ICE to support a First Quarter FY 2011 progress report on implementation.
- Timely Submission of Reports: CNE will complete and submit reports mandated by the OMB and Congress in a timely manner, ensuring that all reports are substantive and meet informational requirements.
- Coordinate Budget, Policy and Operations among DHS Components: CNE will continue to improve the coordination of counternarcotics efforts among DHS components. The Counternarcotics Coordinating Council will be used to identify and address areas where greater cooperation among DHS components can improve the Department's support to national drug control programs and objectives. By August 2011, CNE will complete the annual DHS Statement of Intent, which will delineate the Department's intended baseline level of personnel and resources needed to support counterdrug operations in FY 2012.

Adjustments to Base **(2,184)**

Nonrecurring Initiative **(\$10,000)**

PPA Breakdown – Nonrecurring Initiative	FTE	Total (\$000)
Office of Policy	0	(10,000)
	0	(10,000)

The Office of Policy will non-recur the Intermodal Security Coordination Office in FY 2011 due to duplicative functions in other agencies.

Annualization of Prior Year Funding **\$2,729**

PPA Breakdown - Annualization of Prior Year Funding	FTE	Total (\$000)
Office of Policy	5	792
Office for Civil Rights and Civil Liberties	14	1,937
	19	2,729

Certain projects and programs for which resources were first provided in FY 2011 were funded for only part of the year. Additional funding and Full-Time Equivalents (FTE) are required to provide full year resources.

Annualization of FY 2010 Pay Raise **\$373**

PPA Breakdown - Annualization of FY 2010 Pay Raise	Total (\$000)
Immediate Office of the Secretary	8
Immediate Office of the Deputy Secretary	4
Office of the Chief of Staff	8
Office of the Executive Secretary	28
Office of Intergovernmental Affairs	10
Office of Policy	112
Office of Public Affairs	21
Office of Legislative Affairs	15
Office of the General Counsel	73
Office for Civil Rights and Civil Liberties	44
Citizenship and Immigration Services Ombudsman	16
Privacy Office	25
Office of Counternarcotics Enforcement	9
	373

Request one quarter funding to annualize the FY 2010 civilian (2.0 percent) pay raise.

FY 2011 Pay Increase\$924

PPA Breakdown - FY 2011 Pay Increase	Total (\$000)
Immediate Office of the Secretary	21
Immediate Office of the Deputy Secretary	10
Office of the Chief of Staff	16
Office of the Executive Secretary	62
Office of Intergovernmental Affairs	21
Office of Policy	297
Office of Public Affairs	41
Office of Legislative Affairs	47
Office of the General Counsel	184
Office for Civil Rights and Civil Liberties	113
Citizenship and Immigration Services Ombudsman	33
Privacy Office	59
Office of Counternarcotics Enforcement	20
	924

Request three quarters of funding for the FY 2011 civilian (1.4 percent) pay raise.

Working Capital Fund \$3,678

PPA Breakdown – Working Capital Fund	Total (\$000)
Immediate Office of the Secretary	331
Immediate Office of the Deputy Secretary	148
Office of the Chief of Staff	1,038
Office of the Executive Secretary	533
Office of Policy	950
Office of Public Affairs	20
Office of Legislative Affairs	46
Office of the General Counsel	64
Office for Civil Rights and Civil Liberties	131
Citizenship and Immigration Services Ombudsman	126
Privacy Office	63
Office of Counternarcotics Enforcement	228
	3,678

OSEM reimburses the Working Capital Fund (WCF), which is a fully reimbursable fund that finances a full range of administrative support services to DHS, for services provided. This centrally managed account provides department-wide functions such as finance, budget and accounting support, information technology, and personnel administration. Centralizing administrative support functions has enabled DHS to achieve economies of scale, reducing costs and increasing operational efficiencies, and has allowed DHS components to focus on and accomplish their goals. WCF allocates costs based on various algorithms, depending on the service provided. This request for additional funds is associated with operating costs in these WCF activities that are increasing more rapidly than the Cost of Living Adjustment (COLA). Request levels are based on estimates provided by the WCF, and determined by actual usage costs (including inflation). The \$3.678 million request reflects the estimated WCF costs (based on average WCF costs/FTE).

IV. Program Justification of Changes

**Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: Office of Intergovernmental Affairs

Program Increase: Positions 10 FTE 10 Dollars 1.376M

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-				17	17	\$2,831
Program Increase							10	10	\$1,376
Budget Request				17	17	\$2.800	27	27	\$4,207

Description of Item

The Office of Intergovernmental Affairs program requests 27 FTE, 27 Positions and \$4.207 million for FY 2011. This request is \$1.407 million over the FY 2010 Enacted of 17 FTE and \$2.80 million. The total adjustment to base is \$0.031 million. The program increase includes 10 positions, 10 FTE, and \$1.376 million for additional program support.

Justification

The Office of Intergovernmental Affairs coordinates the Secretary's and other leadership officials' relationships with state, local, tribal and territorial governments and the interest groups which represent them. IGA's FY 2011 request consist of 10 FTE and \$1.376 million to meet mission requirements; support DHS and the Administrations priorities.

The requested FTEs is comprised of one Chief of Staff, one Executive Secretariat, one State Coordinator, two Local Affairs Coordinators, two Tribal Coordinators, one Public Engagement Assistant, and two Administrative Support personnel.

The additional FTEs will play a vital role in coordinating the following IGA responsibilities:

- Develop briefing material to update the Secretary on major issues and development;
- Prepare internal documents and coordinate efforts of intergovernmental outreach across the components and offices of DHS;

- Work to assist coordination and consultation with the 564 federally recognized tribes include Presidentially required consultation sessions;
- Complete outreach calls and stakeholder database maintenance tasks requiring individual outreach to specific states, localities, tribes and associations;
- Draft, edit, prepare and electronically an IGA newsletter for our stakeholders;
- Maintain and update information on the IGA and Tribal pages of the DHS website;
- Work with IGA staff to host and operate large conference calls with IGA's stakeholder community; and
- With the increase in additional IGA professional staff, additional administrative support is needed for travel assistance, human resource assistance and day-to-day office operations.

The additional personnel will strengthen IGA's ability to improve coordination and communication across IGA's stakeholder community. The stakeholder community consist of over 500,000 non-federal elected and appointed officials within the United States, including Governors, State Homeland Security Advisors (HSAs), Mayors, county officials, state legislators, leadership in the Indian tribes, emergency managers, first responders, and the national associations that represent these officials. A stronger, larger staff will enable IGA to greater fulfill its mission to promote an integrated national approach to homeland security by ensuring, coordinating, and advancing federal interaction with state, local, tribal, and territorial governments. As part of the Secretary's vision and a cross-cutting goal, IGA works to facilitate communication between the Department's expert resources and the expert resources of the nation's autonomous governments; acts as an advocate for State, local, Tribal, and territorial governments within the Department; and coordinates and maintains constant awareness of the various bilateral relationships.

IGA works directly with the Governors and their offices including their HSAs and policy staff, mayors, county officials, state legislators, tribal leaders, and their respective associations.

Impact on Performance

The increase in funding will assist in revitalizing the working partnership with our state, local, tribal and territorial partners. Additional funding will improve coordination and communication across components and will help to avoid the stove-piping of information and duplication of requests that have often been cited by stakeholders as barriers to successful communication.

IV. Program Justification of Changes

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Secretary and Executive Management
 Justification of Program Changes
 (Dollars in Thousands)**

Program Increase 2: CRCL Training and Services

Program Increase: Positions 6 FTE 6 Dollars 1.206M

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							94	94	23,353
Program Increase							6	6	1,206
Budget Request	85	60	18,596	94	80	21,104	100	100	24,559

Description of Item

The Office for Civil Rights and Civil Liberties requests 100 FTE, 100 positions and \$24.559 million for FY 2011. This request is \$3.455 million over the FY 2010 enacted budget of 80 FTE. The total adjustment to base is 14 FTE and \$2.249 million. The program increase includes 6 positions, 6 FTE, and \$1.206 million for additional program support.

Justification

The Office for Civil Rights and Civil Liberties request of 6 positions, 6 FTE, and \$1.206 million will allow CRCL to provide the required full service level review of all intelligence products, offer various specialized training opportunities and support within DHS, and cover increases to CRCL Working Capital Fund Rent Charges.

CRCL requests 6 positions, 6 FTE and \$0.741 million to offer specialized training for the DHS Office of Intelligence and Analysis' (I&A) National Immigration Information Sharing Office, I&A's Basic and Mid-career Intelligence and Threat Analysis Courses, National Protection and Programs Directorate's (NPPD) US-CERT and the Cyber Initiative, the I&A supported National Suspicious Activity Reporting Initiative, the I&A supported Interagency Threat Assessment Coordination Group, the Federal law Enforcement Training Center Rural Policing Institute, Immigration and Customs Enforcement (ICE) Managers and Supervisors Course, ICE Factfinders, I&A intelligence analysts, the training of state and local law enforcement regarding immigration detainees and of local communities on rights and responsibilities when law enforcement agencies exercise authority to enforce immigration law, and a DHS-wide requirement to train all employees on their responsibilities under the Anti-Harassment Program.

For FY 2011, CRCL's rent charge under the Working Capital Fund (WCF) will increase by \$0.465 million as a result of CRCL's mission needs and increased staffing.

Impact on Performance

The funding request will ensure that CRCL continues its current level of services to DHS, provides for training in the specialized initiatives referenced above, and allows the Office to expand its review of intelligence products developed by the Office of Intelligence and Analysis.

IV. Program Justification of Changes

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Secretary and Executive Management
 Justification of Program Changes**
 (Dollars in Thousands)

Program Increase 3: Office of Public Affairs

Program Increase: Positions 0 FTE 0 Dollars \$0.945M

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							38	38	\$6,080
Program Increase							0	0	\$945
Budget Request	43	31	6,248	38	38	5,991	38	38	7,025

Description of Item

The Office of Public Affairs requests 38 positions, 38 FTE, and \$7.025 million for FY 2011. The request is an increase of \$1.034 million over the FY 2010 Enacted of 38 positions, 38 FTE, and \$5.991 million. The total adjustment to base is \$0.089 million. The program increase includes \$0.945 million for the National Joint Information Center (NJIC) and operational support

Justification

The Office of Public Affairs requests an increase of \$0.945 million in FY11. The request consists of \$0.386 million for the NJIC and \$0.559 million for operational support.

National Joint Information Center - The Office Public Affairs FY2011 requests a program increase of \$0.386 million to lease space for the National Joint Information Center (NJIC). Funding for the lease requirement will be a recurring cost each year. Currently, OPA does not have a dedicated facility to meet the Continuity of Operations Plan /Continuity of Government (COOP/COG) requirement. The NJIC supports the Secretary's HSPD-5 role to coordinate interagency communications during major incidents and inform the American people. In the event of an emergency or COOP/COG, OPA is mandated to establish an NJIC within 12 hours of notification, and coordinates the dissemination of public information and direction from National Continuity Programs.

The NJIC will provide an established dedicated facility in Winchester to support the Continuity of Operations Plan /Continuity of Government (COOP/COG) functions for the Public Affairs Office. The departments and agencies that will occupy the NJIC will be the Department of Defense, Department of

Justice, FBI, Department of Health and Human Services, OPM, Small Business Administration, DHS Office of Civil Rights and Civil Liberties, FEMA and others. In cases of emergency, the national media will be invited to establish communications within the NJIC where Senior US Government leaders will be located to provide continuous updates and access to the media.

With these funds OPA will be able to meet the directed COOP/COG requirement for an NJIC composed of: (1) Secretary press briefing room (2) Work area for DHS communication staff and (3) media working space.

OPA requests \$0.559 million in FY2011 to cover current staffing levels and services for the program and \$0.164 million which will cover FY2011 Working Capital Fund Rent increases.

Impact on Performance

The increase in OPA's budget is required to support the National Joint Information Center (NJIC). The additional resources will provide support to OPA in meeting the Continuity of Operations Plan/Continuity of Government (COOP/COG) requirement. The Federal Government needs a pre-configured NJIC ready to coordinate interagency communications, support the Secretary and execute White House directed activities in the event of a national COOP/COG situation.

IV. Program Justification of Changes

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Secretary and Executive Management
 Justification of Program Changes**
 (Dollars in Thousands)

Program Increase 4: Office of Legislative Affairs Operations

Program Increase: Positions 0 FTE 0 Dollars \$0.289M

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							31	31	6911
Program Increase							0	0	289
Budget Request	31	31	5,301	31	31	6,797	31	31	7,200

Description of Item

The Office of Legislative Affairs requests 31 positions, 31 FTE, and \$7.200 million for FY 2011. The request is an increase of \$0.403 million over the FY 2010 enacted budget of 31 positions, 31 FTE, and \$6.797 million. The total adjustment to base is \$0.114 million for pay inflation. The program increase includes \$0.289 million for operational support.

Justification

The Office of Legislative Affairs requests a program increase of \$0.289 million for operational support. The request will cover daily operations for the office, which include but are not limited to the information technology support, training and travel requirements that are necessary support OLA's primary functions as the Departments liaison the Hill.

Impact on Performance

In order for OLA to remain actively engaged with Congress and advocate the policy interest of the President and the Secretary of the Department of Homeland Security we request the additional funding to provide increased communications and interactions between DHS and Congress. This funding request will also enable the OLA to support congressional member and staff delegations to DHS facilities and other highly visible initiatives to familiarize them with DHS efforts to protect the nation.

IV. Program Justification of Changes

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Secretary and Executive Management
 Justification of Program Changes**
 (Dollars in Thousands)

Program Increase 5: Office of the Executive Secretary

Program Increase: Positions 3 FTE 2.5 Dollars \$0.538M

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							55	55	\$8,429
Program Increase							3	3	\$538
Budget Request	46	42	7,164	55	55	7,800	58	58	\$8,967

*FTE include 2 GS-15s for the full year and 1 GS-9 lapsed at 50% (2.5 FTE rounded up to 3)

Description of Item

The Office of the Executive Secretary requests 58 positions, 58 FTE, and \$8.967 million for FY 2011. This request is an increase of 3 positions, 2.5 FTE, and \$1.167 million over the FY 2010 Enacted of 55 positions, 55 FTE, and \$7.800 million. The total adjustment to base is \$0.629 million. The program increase includes 3 positions, 3 FTE, and \$0.538 million for additional personnel.

Justification

In FY11, The Office of the Executive Secretary requests 3 positions, 3 FTE and \$0.538 million to fund the Department of Homeland Security's mission critical efficiency review efforts that have been initiated by Secretary Napolitano. The mission critical FTE's consist of two (2) GS-15's and one (1) GS-9 to ensure that the Office of the Executive Secretary is fully staffed to manage and lead the Secretary's department-wide key efficiency initiatives.

The Secretary's efficiency review personnel, previously funded by detail, have been permanently assigned to the Office of the Executive Secretary. Their ongoing work is imperative to the creation of the one-DHS culture which focuses resources on the highest national priorities, fiscal discipline, and programs that improve performance which promote greater accountability, transparency and customer satisfaction ensuring taxpayer dollars are not spent on duplicate efforts.

Impact on Performance

The Secretary launched the Efficiency Review Initiative on March 27, 2009. Since that time, DHS Efficiency Review has implemented 20 separate efficiency initiatives Department-wide. Twice per year, in April and October, the Efficiency Review Steering Committee, composed of the Department's Component Heads, consider employee- and Component-submitted proposals for new efficiency initiatives. In 2010, initiatives selected for implementation will be promulgated Department-wide through Secretarial Action Directives in January, June, and December. Efficiency initiatives already in the implementation phase have reduced costs, streamlined processes, eliminated duplication, and improved customer service in several areas, such as printing management, travel, non-government facility rental, enterprise software licensing, and cross-component training. Near-term future initiatives will consider the areas of paperless earnings and leave statements, electronic billing, security/suitability within the on-boarding process, information sharing environment, and collaborative communication technologies. The requested funding is essential for the ongoing coordination of the efficiency review initiatives as the Department continues to evolve and grow.

IV. Program Justification of Changes

**Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 6: Privacy Office

Program Increase: Positions 6 FTE 4 Dollars \$0.993M

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							30	30	\$8,125
Program Increase							6	4	993
Total Request	36	23	\$6,275	30	30	\$7,971	36	34	\$9,118

Description of Item

The Office of Privacy requests 36 positions, 34 FTE, and \$9.118 million for FY 2011. This request is an increase of 6 positions, 4 FTE and \$1.147 million over the FY 2010 Enacted budget of 30 positions, 30 FTE and \$7.971 million. The total adjustment to base is \$0.154 million. The program increase includes 6 positions, 4 FTE and \$0.993 million for additional personnel.

Justification

Additional training responsibilities were placed on the Privacy Office by Section 802 of 9/11 Recommendations Act which requires “Any employee of the Office of Inspector General (OIG) who audits or investigates any [privacy] matter referred [to the OIG by the Chief Privacy Officer] shall be required to receive adequate training on privacy laws, rules, and regulations, to be provided by an entity approved by the Inspector General in consultation with” the DHS Chief Privacy Officer.

The \$0.993 million and 4 FTE requested will allow the Privacy Office to hire two training and two analyst positions. The two training positions will conduct privacy training for (a) Office of Inspector General employees, (b) DHS personnel assigned to work with the Traveler Redress Inquiry Program, and (c) federal and state and local participants in the DHS State, Local, and Regional Fusion Center Initiative. Two analytical positions will analyze, coordinate and review policy documents to ensure compliance with privacy policies. DHS has placed additional requirements on the oversight of privacy sensitive information across the Department. Increased focus has been placed on the Department’s use of new technologies including biometrics, RFID and screening technologies. In addition, the Privacy Office is playing a key role in supporting the Department’s Cybersecurity Program and state and local Fusion Center Initiative. These developments have led to an increase of the compliance work required by the Privacy Office.

In addition to the FTE increase, the Privacy Office is requesting \$0.150 million for resources and positions to provide training to all fusion centers. Effective face-to-face training requires extensive travel to fusion centers; to date only 6 of the 72 fusion centers have received this training. Additional resources will be used to refine training materials, provide print materials, develop a comprehensive on-line privacy training course/module and continued travel for in-person presentations.

Impact on Performance

The funding request supports the Secretary's 2009 instructions, which requires the Privacy Office to conduct a review of all Office of Intelligence and Analysis products to ensure compliance with Federal privacy law and DHS information sharing policy. The funding request will significantly improve the intelligence review process; thereby ensuring that intelligence products are quickly disseminated by the department while adhering to applicable privacy standards.

IV. Program Justification of Changes

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Secretary and Executive Management
 Justification of Program Changes**
 (Dollars in Thousands)

Program Increase 7: Office of Policy

Program Increase: Positions 0 FTE 0 Dollars \$6.060M

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							187	187	43,747
Program Increase							0	0	6,060
Budget Request	194	189	48,908	187	182	51,564	187	187	49,807

Description of Item

The Office of Policy requests 187 positions, 187 FTE, and \$49,807 million for FY 2011. The request is an increase of \$6.060M over the FY 2010 Enacted budget of 187 positions, 182 FTE, and \$ 51,564 million. The total adjustment to base is (\$7,817) million. The program increase includes \$6.060 million for additional program support.

Justification

The Office of Policy requests \$6.060 million in FY11 to fund mission critical support activities. The additional resources will provide technical and administrative expert analytical support to the following Office of Policy functions Strategic Planning, Policy Development, International Affairs and State, and Local Law Enforcement coordination. The analytical support will provide technical and administrative expertise to enrich the Office of Policy's analytical cadre. In addition, the resources will further support any travel and training associated with critical missions domestic and abroad.

Impact on performance

Funding the Office of Policy at requested levels will allow increased performance and improvement to capabilities in all mission critical functions in support of the President and the Secretary. As policies are developed, the Department must have the intellectual rigor and analytical support to justify any potential approaches to meet the administration's goals. This requires nothing less than solid quantitative and qualitative data to provide a foundation for all policies. Funding at these levels will allow the Office of Policy to continue its central role of achieving "One DHS" and a truly national homeland security enterprise. The Office of Policy provides a central office to develop and

communicate policies across multiple components of the homeland security network and strengthens the Department's ability to maintain policy and operational readiness needed to protect the homeland. It also provides the foundation and direction for Department-wide strategic planning and budget priorities. The Office of Policy is also tasked with bridging multiple headquarters' components and operating agencies to improve communication among DHS entities, eliminate duplication of effort, and translate policies into timely action. The Office of Policy creates a single point of contact for internal and external stakeholders that allow for streamlined policy management for the Department. The Office of Policy FY11 funding will allow continuity of all the initiatives the office is pursuing.

V. Exhibits and Other Supporting Materials

Not Applicable.

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Justification of Proposed Changes in Appropriation Name
Appropriation Language**

Not Applicable.

B: FY 2010 to FY 2011 Budget Change

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Secretary and Executive Management
 FY 2010 to FY 2011 Budget Change
 (Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2009 Actuals	603	551	125,663
FY 2010 Enacted	622	603	147,818
Adjustments-to-Base			
Increases			
Annualization of prior year part year funding.....	---	19	\$2,729
Annualization of 2010 pay raise.....	---	---	373
2011 pay increase.....	---	---	924
GSA Rent.....	---	---	112
Working Capital Fund.....	---	---	3,678
Total Increases	---	19	7,816
Decreases			
Nonrecurring Initiative Office of Policy Intermodal Security.....	---	---	(10,000)
Total Decreases	---	---	(10,000)
Total Adjustments-to-Base	---	19	(2,184)
2011 Current Services	622	622	145,634
Program Changes			
Office of the Executive Secretary - Efficiency Review	3	3	538
Office of Policy - Analytical Support	---	---	6,060
Office of Public Affairs - Operational Support	---	---	945
Office of Legislative Affairs - Operational Support	---	---	289
Office of Intergovernmental Affairs - Stakeholder Outreach	10	10	1,376
Civil Rights and Civil Liberties - Intelligence Analysis and Operational Support	6	6	1,206
Office of Privacy - Staffing and Operations	6	4	993
Total Program Changes	25	23	11,407
2011 Request	1,269	1,248	157,041
2010 to 2011 Total Change	647	645	9,223

C: Summary of Requirements

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
 Summary of Requirements
 (Dollars in Thousands)

	2011 Request		
	Perm. Pos.	FTE	Amount
FY 2009 Actuals	603	551	\$125,663
2010 Enacted	622	603	147,818
Adjustments-to-Base (See "FY 2010 to FY 2011 Budget Change" for details)			
Increases	---	19	7,816
Decreases	---	---	(10,000)
Total Adjustments-to-Base	---	19	(2,184)
2011 Current Services	622	622	145,634
Program Changes (See "FY 2010 to FY 2011 Budget Change" for details)	25	23	11,407
2011 President's Budget	647	645	157,041
2010 to 2011 Total Change	25	42	\$9,223

Estimates by Program/Project Activity	2010 Enacted			2011 Adjustments to Base			2011 Program Change			2011 President's Budget			2010 to 2011 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Immediate Office of the Secretary	12	12	\$5,061	---	---	\$366	---	---	\$0	12	12	\$5,427	---	---	\$366
Immediate Office of the Deputy Secretary	6	6	1,810	---	---	164	---	---	---	6	6	1,974	---	---	164
Office of the Chief of Staff	15	15	2,595	---	---	1,063	---	---	---	15	15	3,658	---	---	1,063
Office of the Executive Secretary	55	55	7,800	---	---	629	3	3	538	58	58	8,967	3	3	1,167
The Office of Intergovernmental Affairs	17	17	\$2,800	---	---	\$31	10	10	1,376	27	27	4,207	10	10	1,407
Office of Policy	187	182	51,564	---	5	(7,817)	---	---	6,060	187	187	49,807	---	5	(1,757)
Office of Public Affairs	38	38	5,991	---	---	89	---	---	945	38	38	7,025	---	---	1,034
Office of Legislative Affairs	31	31	6,797	---	---	114	---	---	289	31	31	7,200	---	---	403
Office of the General Counsel	86	86	24,028	---	---	335	---	---	---	86	86	24,363	---	---	335
Office for Civil Rights and Civil Liberties	94	80	21,104	---	14	2,249	6	6	1,206	100	100	24,559	6	20	3,455
Citizenship and Immigration Services															
Ombudsman	36	36	6,685	---	---	179	---	---	---	36	36	6,864	---	---	179
Privacy Office	30	30	7,971	---	---	154	6	4	993	36	34	9,118	6	4	1,147
Office of Counternarcotics Enforcement	15	15	3,612	---	---	260	---	---	---	15	15	3,872	---	---	260
Total	622	603	\$147,818	---	19	(\$2,184)	25	23	\$11,407	647	645	\$157,041	25	42	\$9,223

D: Summary of Reimbursable Resources

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
 Summary of Reimbursable Resources
 (Dollars in Thousands)

Collections by Source	FY 2009 Actual			2010 Estimate			2011 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Customs and Border Protection	2	1	\$80	7	5	\$468	13	10	\$975	6	5	\$507
Immigration and Customs Enforcement	---	---	7	---	---	9	4	4	380	4	4	371
Intelligence & Analysis	3	3	960	3	3	960	6	6	785	3	3	(175)
Science and Technology	---	---	4	2	2	129	6	5	680	4	3	551
United States Citizenship and Immigration Services	1	0	54	2	1	125	4	3	304	2	2	179
Operations Coordination	4	3	406	5	4	540	10	8	815	5	4	275
Transportation Security Administration	---	---	1	---	---	1	1	1	95	1	1	94
Domestic Nuclear Detection Office	2	1	76	3	2	210	3	3	316	---	0	106
Federal Emergency Management Agency	---	---	20	---	---	25	2	2	151	2	2	126
National Protection and Programs Directorate	4	1	157	6	5	426	21	19	2,304	15	14	1,878
Chief Information Officer	1	0	38	2	1	104	3	2	209	1	1	105
Office of Health Affairs	---	---	0	---	---	0	1	1	157	1	1	157
United States Coast Guard	---	---	0	---	---	0	1	1	95	1	1	95
Department of State	---	---	0	---	---	0	8	8	1,148	8	8	1,148
Total Budgetary Resources	17	9	\$1,803	30	24	\$2,997	83	73	\$8,414	53	49	\$5,417

Obligations by Program/Project Activity	FY 2009 Actual			2010 Estimate			2011 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Executive Leadership and Direction (Immediate Office of the Secretary)	---	---	\$49	---	---	\$61	---	---	\$0	---	---	(\$61)
Office of Policy	12	4	464	25	19	1,646	48	38	3,946	23	19	2,300
Office of the General Counsel	5	5	790	5	5	790	33	33	4,289	28	28	3,499
Office for Civil Rights and Civil Liberties	---	---	500	---	---	500	---	---	0	---	---	(500)
Public Affairs	---	---	0	---	---	0	1	1	56	1	1	56
Intergovernmental Affairs	---	---	0	---	---	0	1	1	123	1	1	123
Total Obligations	17	9	\$ 1,803	30	24	\$ 2,997	83	73	\$ 8,414	53	49	\$5,417

Explanation of Increase/Decrease.

The office of Policy manages the DHS Fellows Program. The entire program included 29 Fellows, with just under half of those funded by other DHS components.

The large increase from 2010 to 2011 for Policy is due to the success of the Fellows Program across DHS components.

E: Summary of Requirements by Object Class

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Secretary and Executive Management
 Summary of Requirements by Object Class
 (Dollars in Thousands)**

Object Classes	FY 2009 Actuals	2010 Enacted	2011 President's Budget	2010 - 2011 Change
11.1 Total FTE & personnel compensation	46,934	57,274	59,008	1,734
11.3 Other than full-time permanent	7,735	11,269	11,424	155
11.5 Other Personnel Compensation	1,817	2,346	2,378	32
11.8 Special Service Pay	163	461	467	6
12.1 Benefits	15,100	19,819	20,670	851
Total, Personnel Comp. & Benefits	71,749	91,169	\$93,947	\$2,778
Other Object Classes:				
21.0 Travel	4,638	5,389	5,743	354
22.0 Transportation of things	112	147	147	---
23.1 GSA rent	8,350	9,695	9,889	194
23.2 Other rent	428	540	2,057	1,517
23.3 Communications, utilities, & other misc. charges	176	251	148	(103)
24.0 Printing and reproduction	313	316	306	(10)
25.1 Advisory and assistance services	17,932	7,272	8,967	1,695
25.2 Other services	3,847	4,746	4,896	150
25.3 Purchases of goods & svcs. from Gov't accounts	12,482	23,429	26,268	2,839
25.4 Operation & maintenance of facilities	279	---	---	---
25.5 Research and development contracts	678	---	---	---
25.6 Medical care	204	30	30	---
25.7 Operation and maintenance of equipment	320	16	(8)	(24)
25.8 Subsistence and support of persons	1,639	2,563	2,563	---
26.0 Supplies and materials	1,195	1,092	1,156	64
31.0 Equipment	1,271	1,162	932	(230)
32.0 Land & structures	0	---	---	---
41.0 Grants/Subsidies/Contributions	0	---	---	---
42.0 Indemnity	50	---	---	---
91.0 Unvouchered	0	---	---	---
Total, Other Object Classes	\$53,914	\$56,648	\$63,094	\$6,446
Total, Direct Obligations	\$125,663	\$147,817	\$157,041	\$9,224

F: Permanent Positions by Grade

**Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Permanent Positions by Grade**

Grades and Salary Ranges	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
	Pos.	Pos.	Pos.	Total
Total, SES	60	58	57	(1)
GS-15	170	175	153	(22)
GS-14	94	99	100	1
GS-13	76	74	92	18
GS-12	58	59	66	7
GS-11	56	66	62	(4)
GS-9	57	50	79	29
GS-8	6	4	4	---
GS-7	22	31	32	1
GS-5	1	2	1	(1)
GS-4	3	4	---	(4)
Total Permanent Positions	603	622	647	25
Total Perm. Employment EOY	603	622	647	25
FTE	551	603	645	42
Headquarters	599	632	635	3
U.S. Field	---	5	10	5
Foreign Field	8	---	---	---
Total Permanent Positions	607	637	645	8
Average ES Salary	\$155,983	\$164,293	\$169,222	\$4,929
Average GS Salary	\$83,012	\$95,503	\$99,323	\$3,820
Average GS Grade	13.00	12.32	13.00	0.68

G: Capital Investment and Construction Initiative Listing

Not Applicable.

H: PPA Budget Justification

**Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Immediate Office of the Secretary
Funding Schedule
(Dollars in Thousands)**

PPA: Immediate Office of the Secretary		2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Object Classes:					
11.1	Perm Positions	\$478	\$345	\$353	\$8
11.3	Other than perm	583	728	739	11
11.5	Other per comp	18	---	---	---
12.1	Benefits	204	831	841	10
21.0	Travel	1,107	1,788	1,788	---
22.0	Transportation of things	29	---	---	---
23.1	GSA rent	314	411	417	6
23.2	Other rent	105	222	553	331
23.3	Communication, Utilities, and misc charges	24	151	151	---
24.0	Printing	16	16	16	---
25.2	Other Services	7	31	31	---
25.3	Purchase from Govt. Accts.	116	490	490	---
25.6	Medical care	1	1	1	---
26.0	Supplies & materials	55	44	44	---
31.0	Equipment	3	3	3	---
Total, Immediate Office of the Secretary		\$3,060	\$5,061	\$5,427	\$366
Full Time Equivalents		8	12	12	---

PPA Mission Statement

The Office of the Secretary provides central leadership, management and direction for the entire Department of Homeland Security. This Office provides oversight for all offices within the Departmental Operations function as well as all other entities of the Department. It is the Secretary's role to serve as the top representative of HS to the President, to Congress and to the general public.

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Salaries and Benefits	\$1,283	\$1,904	\$1,933	\$29

Salaries and Benefits fund for compensation directly related to duties performed for the Executive Leadership and Direction by Federal civilian employees. The FY 2011 request includes funding for the proposed pay raise (currently predicted at 1.4%), benefits, and other mandatory personnel entitlements and program increases.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Travel	\$1,107	\$1,788	\$1,788	---

Requested funds cover the travel costs of Executive Leadership and Direction's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2011 reflects no change

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Transportation of Things	\$29	---	---	---

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
GSA rent	\$314	\$411	\$417	\$6

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request reflects inflationary increase due to a change in the algorithm. The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's or Headquarters Office's WCF assessment amount divided by the total WCF assessment multiplied by total estimated cost of the activity.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Other Rent	\$105	\$222	\$553	\$331

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request reflects a change due to a change in cost allocation.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Communication, Utilities, and miscellaneous	\$24	\$151	\$151	---

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request has no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Printing	\$16	\$16	\$16	---

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request has no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Other Services	\$7	\$31	\$31	---

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Purchase from Government Accounts	\$116	\$490	\$490	---

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Medical Care	\$1	\$1	\$1	---

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Supplies & materials	\$55	\$44	\$44	---

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Equipment	\$3	\$3	\$3	---

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request has no change.

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Immediate Office of the Deputy Secretary
Funding Schedule
(Dollars in Thousands)

PPA: Immediate Office of the Deputy Secretary		2009	2010	2011	2010 to 2011
		Actuals	Enacted	President's Budget	Change
Object Classes:					
11.1	Perm Positions	\$388	\$615	\$623	\$8
11.3	Other than perm	267	52	54	2
11.5	Other per comp	67	60	61	1
12.1	Benefits	200	201	204	3
21.0	Travel	200	449	449	---
22.0	Transportation of things	9	---	---	---
23.1	GSA rent	127	126	128	2
23.2	Other rent	118	171	319	148
24.0	Printing	15	16	16	---
25.1	Advisory & Assistance Services	18	---	---	---
25.2	Other Services	---	19	19	---
25.3	Purchase from Govt. Accts.	---	91	91	---
25.4	Operation & maintenance of facilities	7	---	---	---
25.6	Medical care	---	1	1	---
26.0	Supplies & materials	15	9	9	---
31.0	Equipment	---	---	---	---
Total, Immediate Office of the Deputy Secretary		\$1,431	\$1,810	\$1,974	\$164
Full Time Equivalents		6	6	6	---

PPA Mission Statement

The Office of the Deputy Secretary directly supports the Office of the Secretary by providing leadership to the Deptmt. This focuses on internal management and direction, which ensures that the Department will continue to operate effciently and effectively in carrying out its mission. It is the Deputy Secretary's role to provide internal oversight to all Departmental Operations, which allows the Secretary to focus more on external matters concerning DHS.

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Salaries and Benefits	\$922	\$928	\$942	\$14

Salaries and Benefits fund for compensation directly related to duties performed for the Executive Leadership and Direction by Federal civilian employees. The FY 2011 request includes funding for the proposed pay raise (currently predicted at 1.4%), benefits, and other mandatory personnel entitlements and program increases. The Deputy Secretary's authorized FTE level remains at 6 FTE in FY 2011.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Travel	200	449	449	---

Requested funds cover the travel costs of Executive Leadership and Direction's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Transportation of Things	9	---	---	---

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request request reflects no change

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
GSA rent	127	126	128	2

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request reflects an increase of \$2K for inflation.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Other Rent	118	171	319	148

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request reflects an increase of \$148K due to a change in the WCF Rent Activity algorithm.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Printing	15	16	16	---

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request has no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Advisory and Assistance Services	18	---	---	---

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request has no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Other Services	---	\$19	\$19	---

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Purchase from Government Accounts	---	\$91	\$91	---

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2011 request reflects no changes.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Operation & maintenance of facilities	\$7	---	---	---

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects no changes.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Medical Care	---	\$1	\$1	---

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Equipment	15	9	9	---

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects no changes.

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Office of Chief of Staff
Funding Schedule
(Dollars in Thousands)

PPA: Office of Chief of Staff		2009	2010	2011	2010 to 2011
		Actuals	Enacted	President's Budget	Change
Object Classes:					
11.1	Perm Positions	\$360	\$257	\$262	\$5
11.3	Other than perm	1,046	783	795	12
11.5	Other per comp	17	10	10	---
11.8	Spec Srvc Pay	---	303	306	3
12.1	Benefits	300	210	214	4
21.0	Travel	523	380	380	---
22.0	Transportation of things	22	---	---	---
23.1	GSA rent	83	82	83	1
23.2	Other rent	106	106	1,144	1,038
24.0	Printing	11	11	11	---
25.1	Advisory & Assistance Services	---	128	128	---
25.2	Other Services	32	44	44	---
25.3	Purchase from Govt. Accts.	---	225	225	---
25.4	Operation & maintenance of facilities	5	---	---	---
25.6	Medical care	1	2	2	---
26.0	Supplies & materials	50	49	49	---
31.0	Equipment	---	5	5	---
Total, Chief of Staff		\$2,556	\$2,595	\$3,658	\$1,063
Full Time Equivalent		14	15	15	---
Positions		---	---	---	---

PPA Mission Statement

The Office of the Chief of Staff promotes the coordination of the agencies and directorates that have been consolidated into the Department of Homeland Security. The Office of the Chief of Staff is responsible for all operational functions that relate to the Immediate Office of the Secretary (budget, information technology, and personnel), and coordinates activities with the Department Headquarters continuity of operations. With the inherent challenges of a concurrent creation of a new Department, reorganization, consolidation, and several new offices, the Office of the Chief of Staff seeks to streamline, coordinate, and deliver highly effective initiatives and policies that will ensure our safety, response capacity, and our freedoms.

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Salaries and Benefits	\$1,723	\$1,563	\$1,587	\$24

Salaries and Benefits fund for compensation directly related to duties performed for the Executive Leadership and Direction by Federal civilian employees. The FY 2011 request includes funding for the proposed pay raise (currently predicted at 1.4%), benefits, and other mandatory personnel entitlements and program increases. The Chief of Staff authorized FTE level remains at 15 FTE in FY 2011.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Travel	523	380	380	---

Requested funds cover the travel costs of Executive Leadership and Direction's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Transportation of Things	22	---	---	---

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request request reflects no change

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
GSA rent	83	82	83	1

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request reflects an increase in the WCF Rent Activity.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Other Rent	106	106	1,144	1,038

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request reflects inflationary increase due to a change in the algorithm, The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's or Headquarters Office's WCF assessment amount divided by the total WCF assessment multiplied by total estimated cost of the activity.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Printing	\$11	\$11	\$11	---

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request has no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Advisory and Assistance Services	---	\$128	\$128	---

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request has no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Other Services	\$32	\$44	\$44	---

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Purchase from Government Accounts	---	\$225	\$225	---

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Operation & maintenance of facilities	\$5	---	---	---

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects no increase.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Medical Care	\$1	\$2	\$2	---

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Supplies & materials	\$50	\$49	\$49	---

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Equipment	---	\$5	\$5	---

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects no change.

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Office of the Executive Secretary
Funding Schedule
(Dollars in Thousands)

PPA: Office of the Executive Secretary		2009	2010	2011	2010 to 2011
		Actuals	Enacted	President's Budget	Change
Object Classes:					
11.1	Perm Positions	\$3,198	\$3,193	\$3,621	\$428
11.3	Other than perm	595	931	944	13
11.5	Other per comp	236	168	171	3
11.8	Spec Srvc Pay	---	158	160	2
12.1	Benefits	990	1,333	1,515	182
21.0	Travel	6	6	6	---
23.1	GSA rent	404	404	410	6
24.0	Printing	31	31	31	---
25.1	Advisory & Assistance Services	718	140	140	---
25.2	Other Services	67	128	128	---
25.3	Purchase from Govt. Accts.	701	1,154	1,687	533
25.6	Medical care	6	4	4	---
26.0	Supplies & materials	182	142	142	---
31.0	Equipment	29	8	8	---
Total, Executive Secretary		\$7,163	\$7,800	\$8,967	\$1,167
Full Time Equivalents		43	55	58	3

PPA Mission Statement

The mission of the Office of the Executive Secretary is to establish effective and proficient protocols in the processing of all internal communication, decision management, briefings, liaison activity between the Department and its components, and external correspondence for the Immediate Office of the Secretary and all directorates.

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Salaries and Benefits	\$5,019	\$5,783	\$6,411	\$628

Salaries and Benefits fund for compensation directly related to duties performed for the Executive Leadership and Direction by Federal civilian employees. The FY 2011 request includes funding for the proposed pay raise (currently predicted at 1,4%), benefits, and other mandatory personnel entitlements and program increases. Personnel increases are accounted for through the full funding of base FTE that were underfunded in prior years. In addition, salaries and benefits will increase by \$538K to fund 2.5 FTE for the Efficiency Review.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Travel	\$6	\$6	\$6	---

Requested funds cover the travel costs of Executive Leadership and Direction's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2011 reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
GSA rent	\$404	\$404	\$410	\$6

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request reflects an increase due to WCF Rent charges.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Printing	\$31	\$31	\$31	---

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request has no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Advisory and Assistance Services	\$718	\$140	\$140	---

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request has no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Other Services	\$67	\$128	\$128	---

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Purchase from Government Accounts	\$701	\$1,154	\$1,687	\$533

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2011 request reflects a increase which is the result of increases WCF activities of \$533K

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Medical Care	\$6	\$4	\$4	---

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Supplies & materials	\$182	\$142	\$142	---

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Equipment	\$29	\$8	\$8	---

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request has no change.

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Office of Intergovernmental Affairs
Funding Schedule
(Dollars in Thousands)

PPA:Office of Intergovernmental Affairs		2009	2010	2011	2010 to 2011
		Actuals	Enacted	President's Budget	Change
Object Classes:					
11.1	Perm Positions	---	\$1,455	\$2,328	\$873
12.1	Benefits	---	397	799	402
21.0	Travel	---	88	180	92
25.3	Purchase from Govt. Accts.	---	800	800	---
26.0	Supplies & materials	---	60	100	40
Total, Intergovernmental Affairs		---	\$2,800	\$4,207	\$1,407
Full Time Equivalent		---	17	27	10

PPA Mission Statement

The mission of the Office of Intergovernmental Affairs (IGA) is to act as an advocate for the State, local, tribal and territorial officials within DHS and to operate as the primary liaison between those officials and the Secretary and senior DHS leadership. IGA facilitates an integrated national approach to homeland security across a broad spectrum of issues confronting DHS by ensuring, coordinating, and advancing Federal interaction with State, local, tribal, and territorial governments.

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Salaries and Benefits	---	\$1,852	\$3,127	\$1,275

Salaries and Benefits fund for compensation directly related to duties performed for Intergovernmental Affairs by Federal civilian employees. The FY 2011 request reflect 1.4% for inflation and \$1.275 million for 10 additional FTE to support the SLTT program.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Travel	---	88	180	92

Requested funds cover the travel costs of IGA's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects increased travel cost for additional FTE to perform site visits.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Purchase from Government Accounts	---	\$800	\$800	---

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF and DHS Shared Services. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Supplies & materials	---	60	\$100	\$40

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2011 request reflect and increase of \$40K to cover additional supplies to support the additiona 10FTE.

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Office of Policy
Funding Schedule
(Dollars in Thousands)

PPA: Office of Policy		2009	2010	2011	2010 to 2011
		Actuals	Enacted	President's Budget	Change
Object Classes:					
11.1	Perm Positions	\$14,953	\$16,530	\$13,642	(\$2,888)
11.3	Other than perm	2,746	5,139	5,207	68
11.5	Other per comp	693	663	673	10
11.8	Spec Srvc Pay	163	---	1	1
12.1	Benefits	5,383	5,920	4,886	(1,034)
21.0	Travel	1,669	1,494	1,848	354
22.0	Transportation of things	16	91	91	---
23.1	GSA rent	2,166	2,666	2,394	(272)
23.2	Other rent	11	26	26	---
23.3	Communication, Utilities, and misc charges	147	74	(29)	(103)
24.0	Printing	107	105	95	(10)
25.1	Advisory & Assistance Services	13,143	6,053	7,748	1,695
25.2	Other Services	167	1,571	1,571	---
25.3	Purchase from Govt. Accts.	5,380	10,306	11,061	755
25.4	Operation & maintenance of facilities	110	---	---	---
25.6	Medical care	19	---	---	---
25.7	Operation & maintenance of equipment	302	16	(8)	(24)
26.0	Supplies & materials	124	342	263	(79)
31.0	Equipment	412	568	338	(230)
Total, Office of Policy		\$47,711	\$51,564	\$49,807	(\$1,757)
Full Time Equivalents		189	182	187	5

PPA Mission Statement

The Office of Policy is the primary coordinator of Department-wide policies, programs, and planning, which ensures consistency and integration of missions throughout the entire Department. It provides the Department with a central office to develop and communicate policies across multiple components of the homeland security network and it strengthens the Department's ability to maintain policy and operational readiness needed to protect the homeland. It also provides the foundation and direction for Department-wide strategic planning and budget priorities. A central DHS policy office that bridges multiple, headquarter components and operating agencies improves communication among DHS entities, eliminate duplication of effort, and translate policies into timely action. It also creates a single point of contact for internal and external stakeholders that will allow for streamlined policy management across the Department.

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Salaries and Benefits	\$23,938	\$28,252	\$24,409	(\$3,843)

Salaries and Benefits fund for compensation directly related to duties performed for the Office of Policy by Federal civilian employees. The FY 2011 request includes funding for the proposed pay raise (currently predicted at 1.4%) for benefits, and other mandatory expenses. In FY 2011 budget includes a decrease of \$3.843M due to the non recurring cost of the Intermodal Security Coordination Office.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Travel	\$1,669	\$1,494	\$1,848	\$354

Requested funds cover the travel costs of the Office of Policy's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects an increase of \$354K due to additional resources to support increased international and domestic travel.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Transportation of Things	\$16	\$91	\$91	---

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding primarily supports the shipment of furniture and other household goods. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
GSA rent	\$2,166	\$2,666	\$2,394	(\$272)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 budget includes a decrease of \$272K this amount reflects a due to the non recurring cost of the Intermodal Security Coordination Office.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Other Rent	\$11	\$26	\$26	---

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request has no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Communication, Utilities, and miscellaneous char	\$147	\$74	(\$29)	(\$103)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 budget includes a decrease of \$103K due to the non recurring cost of the Intermodal Security Coordination Office.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Printing	\$107	\$105	\$95	(10)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects a decrease related to program net decreases which includes an inflationary increase of \$2K and a \$10K decrease due to the non recurring cost of the Intermodal Security Coordination Office.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Advisory and Assistance Services	\$13,143	\$6,053	\$7,748	\$1,695

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 budget includes an increase of \$1.695M to cover contractual analytical support services for Strategic Planning, Policy Development, Net Assessment Capabilities, International Affairs and State and Local Law Enforcement coordination.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Other Services	\$167	\$1,571	\$1,571	---

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes decrease for non-pay inflation, and program decreases. The FY 2011 request reflects no change

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Purchase from Government Accounts	\$5,380	\$10,306	\$11,061	\$755

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and, and other government agencies including intra-agency service requirements. The FY 2011 request reflects an increase of \$755K for Working Capital Fund Rent Charges.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Operation & maintenance of facilities	110	---	---	---

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Medical Care	\$19	---	---	---

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2011 request has no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Supplies & materials	\$124	\$342	\$263	(\$79)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 budget includes a decrease of \$79K due to the non recurring cost of the Intermodal Security Coordination Office.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Equipment	\$412	\$568	\$338	(\$230)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects a decrease of \$230K due to the non recurring cost of the Intermodal Security Coordination Office.

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Office of Public Affairs
Funding Schedule
(Dollars in Thousands)

PPA: Office of Public Affairs		2009	2010	2011	2010 to 2011
		Actuals	Enacted	President's Budget	Change
Object Classes:					
11.1	Perm Positions	\$2,073	\$2,074	\$2,385	\$311
11.3	Other than perm	862	890	903	13
11.5	Other per comp	53	56	57	1
12.1	Benefits	757	866	998	132
21.0	Travel	298	200	200	---
23.1	GSA rent	835	648	1041	393
24.0	Printing	16	3	3	---
25.1	Advisory & Assistance Services	529	28	28	---
25.2	Other Services	67	---	---	---
25.3	Purchase from Govt. Accts.	488	1,191	1375	184
25.4	Operation & maintenance of facilities	30	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	3	5	5	---
26.0	Supplies & materials	73	10	10	---
31.0	Equipment	---	20	20	---
Total, Office of Public Affairs		\$6,084	\$5,991	\$7,025	\$1,034
Full Time Equivalents		31	38	38	---

PPA Mission Statement

The Assistant Secretary for Public Affairs oversees all external and internal communications for Homeland Security. On a daily basis, the Office of Public Affairs (OPA) responds to national media inquiries, maintains and updates the Department's web site, and coordinates speaking events for Department officials across the country. OPA also develops and manages various public education programs. The Office of Public Liaison, within OPA, fosters strategic communication with the Department's external stakeholders. The Department's organizational identity, including the Homeland Security seal and wordmark, was designed and implemented by the Office of Public Affairs. OPA directs the Department's Incident Communications program that guides overall Federal incident communication activity and coordinates with state, local, and international partners to ensure accuracy and timely information to the public during a crisis.

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Salaries and Benefits	\$3,745	\$3,886	\$4,343	\$457

Salaries and Benefits fund for compensation directly related to duties performed for OPA by Federal civilian employees. FY 2011 request reflect 1.4% for inflation.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Travel	\$298	\$200	\$200	---

Requested funds cover the travel costs of OPA's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
GSA rent	\$835	\$648	\$1,041	\$393

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request reflect increase in rent charges.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Printing	\$16	\$3	\$3	---

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Advisory and Assistance Services	\$529	\$28	\$28	---

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Other Services	OSEM ⁶⁷ \$80	---	---	---

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as contracts related to the Ready Campaign. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Purchase from Government Accounts	\$488	\$1,191	\$1,375	\$184

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF and DHS Shared Services. The FY 2011 request reflects increases due to change in rent algorithm.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Medical Care	\$3	\$5	\$5	---

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Supplies & materials	\$73	\$10	\$10	---

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Equipment	---	\$20	\$20	---

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects no change.

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Office of Legislative Affairs
Funding Schedule
(Dollars in Thousands)

PPA: Office of Legislative Affairs		2009	2010	2011	2010 to 2011
		Actuals	Enacted	President's Budget	Change
Object Classes:					
11.1	Perm Positions	\$2,851	\$2,651	\$2,777	\$126
11.3	Other than perm	419	700	709	9
11.5	Other per comp	85	140	141	1
12.1	Benefits	908	1,026	1,078	52
21.0	Travel	70	181	181	---
23.1	GSA rent	440	450	456	6
23.2	Other rent	14	---	---	---
24.0	Printing	11	1	1	---
25.1	Advisory & Assistance Services	---	4	4	---
25.2	Other Services	80	29	29	---
25.3	Purchase from Govt. Accts.	369	1,545	1,754	209
25.6	Medical care	4	6	6	---
26.0	Supplies & materials	45	46	46	---
31.0	Equipment	83	18	18	---
Total, Office of Legislative Affairs		\$5,379	\$6,797	\$7,200	\$403
Full Time Equivalents		31	31	31	---

PPA Mission Statement

The Office of Legislative Affairs (OLA) is responsible for the development and advancement of the Department's legislative agenda. This includes the establishment and maintenance of constructive congressional relations, the development of Departmental protocols for interaction with Congress and contributing to the distribution and communication of the Department's strategic message.

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Salaries and Benefits	\$4,263	\$4,517	\$4,705	\$188

Salaries and Benefits fund for compensation directly related to duties performed for OLA by Federal civilian employees. The FY 2011 request includes funding for a 1.4% pay raise, benefits, and other mandatory personnel entitlements.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Travel	\$70	\$181	\$181	---

Requested funds cover the travel costs of OLA's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects no change

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
GSA rent	\$440	\$450	\$456	\$6

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request reflects a decrease as a result of updates to the occupancy agreements. GSA Rent is paid centrally by Working Capital fund. The 2011 request reflects an increase to the Rent activity.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Other Rent	\$14	---	---	---

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Printing	\$11	\$1	\$1	---

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Advisory and Assistance Services	---	\$4	\$4	---

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Other Services	\$80	\$29	\$29	---

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Purchase from Government Accounts	\$369	\$1,545	\$1,754	\$209

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services. An increase of \$209K is due to working capital fund increases.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Medical Care	\$4	\$6	\$6	---

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Supplies & materials	\$45	\$46	\$46	---

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Equipment	\$83	\$18	\$18	---

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects no change.

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Office of the General Counsel
Funding Schedule
(Dollars in Thousands)

PPA: Office of the General Counsel		2009	2010	2011	2010 to 2011
		Actuals	Enacted	President's Budget	Change
Object Classes:					
11.1	Perm Positions	\$9,732	\$12,797	\$12,985	\$188
11.3	Other than perm	576	597	606	9
11.5	Other per comp	182	643	651	8
12.1	Benefits	2,617	3,545	3,597	52
21.0	Travel	210	250	250	---
22.0	Transportation of things	18	---	---	---
23.1	GSA rent	1,821	1,765	1,779	14
23.2	Other rent	---	15	15	---
23.3	Communication, Utilities, and misc charges	---	21	21	---
24.0	Printing	10	11	11	---
25.1	Advisory & Assistance Services	---	131	131	---
25.2	Other Services	34	83	83	---
25.3	Purchase from Govt. Accts.	343	1,331	1,395	64
25.4	Operation & maintenance of facilities	118	---	---	---
25.6	Medical care	9	9	9	---
25.8	Subsistence & Support of persons	1,592	2,563	2,563	---
26.0	Supplies & materials	212	133	133	---
31.0	Equipment	330	134	134	---
42.0	Indemnity	50	---	---	---
Total, Office of the General Counsel		\$17,854	\$24,028	\$24,363	\$335
Full Time Equivalents		97	86	86	---

PPA Mission Statement

The Office of the General Counsel (OGC) provides legal counsel for all DHS offices (except those specifically excluded by regulation or directive), determines the Department's position in order to provide effective legal services dealing with claims, with protests, with litigation, and with alternative dispute resolution, and represents the Department in all legal forums.

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Salaries and Benefits	\$13,107	\$17,582	\$17,839	\$257

Salaries and Benefits fund for compensation directly related to duties performed for OGC by Federal civilian employees. The FY 2011 request includes funding for a 1.4% pay raise, benefits, and other mandatory personnel entitlements.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Travel	\$210	\$250	\$250	---

Requested funds cover the travel costs of OGC's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects no change

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
GSA rent	\$1,821	\$1,765	\$1,779	\$14

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. GSA Rent is paid centrally by Working Capital Fund. The FY 2011 request reflects \$14K inflationary adjustment.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Other Rent	---	\$15	\$15	---

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request has no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Communication, Utilities, and miscellaneous char	---	\$21	\$21	---

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Printing	\$10	\$11	\$11	---

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request has no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Other Services	\$34	\$83	\$83	---

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Purchase from Government Accounts	\$343	\$1,331	\$1,395	\$64

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF and DHS Shared Services. The FY 2011 request reflects a increase which is the result of increases WCF activities of \$64K

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Medical Care	\$9	\$9	\$9	---

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request has no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Subsistence & Support of Persons	\$1,592	\$2,563	\$2,563	---

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Supplies & materials	\$212	\$133	\$133	---

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Equipment	\$330	\$134	\$134	---

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects no change

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Office for Civil Rights and Civil Liberties
Funding Schedule
(Dollars in Thousands)

PPA: Office for Civil Rights and Civil Liberties		2009	2010	2011	2010 to 2011
		Actuals	Enacted	President's Budget	Change
Object Classes:					
11.1	Perm Positions	\$6,842	\$9,654	\$11,662	\$2,008
11.3	Other than perm	190	772	781	9
11.5	Other per comp	269	397	402	5
12.1	Benefits	1,887	3,264	4,077	813
21.0	Travel	262	271	271	0
23.1	GSA rent	1,098	2,052	2,076	24
23.2	Other rent	51	---	---	---
23.3	Communication, Utilities, and misc charges	5	5	5	---
24.0	Printing	30	37	37	---
25.1	Advisory & Assistance Services	1,481	494	494	---
25.2	Other Services	2,426	1,359	1,359	---
25.3	Purchase from Govt. Accts.	3,982	2,409	3,005	596
25.6	Medical care	155	---	---	---
25.7	Operation & maintenance of equipment	---	---	---	---
25.8	Subsistence & Support of persons	47	---	---	---
26.0	Supplies & materials	200	134	134	---
31.0	Equipment	299	256	256	---
Total, Office for Civil Rights and Civil Liberties		\$19,224	\$21,104	\$24,559	\$3,455
Full Time Equivalents		66	80	100	20

PPA Mission Statement

The mission of the Office for Civil Rights and Civil Liberties (CRCL) is to protect civil rights and civil liberties, to support DHS by providing policy advice on the full range of civil rights and civil liberties issues, and to serve as an information and communication channel with the public regarding all aspects of these issues. Section 705 of the Homeland Security Act provides that the Officer for Civil Rights and Civil Liberties shall: Department; and make public through the internet, radio, television, or newspaper advertisements information on the responsibility and function of, and how to contact, the Officer. Submit to the President of the Senate, the Speaker of the House of Representatives, and the appropriate committees and subcommittees of Congress through the Secretary on an annual basis a report on the implementation of this section, including the use of funds appropriated to carry out this section, and allegations of abuses described under subsection (a)(1) and any actions taken by the Department in response to such allegations.

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actuals	Presidents Budget	Request	Change
Salaries and Benefits	\$9,188	\$14,087	\$16,922	\$2,835

Salaries and Benefits fund for compensation directly related to duties performed for CRCL by Federal civilian employees. The FY 2011 request includes funding for a 1.4% pay raise , benefits, and other mandatory personnel entitlements and program increases. The net increase of \$2.835 million includes annualization of \$1,937 million for 14 FTE, \$741k for 6 additional FTE for EEO programs, training and review and compliance programs .

	2009	2010	2011	2010 to 2011
	Actuals	Presidents Budget	Request	Change
Travel	\$262	\$271	\$271	---

Requested funds cover the travel costs of CRCL's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Presidents Budget	Request	Change
GSA rent	\$1,098	\$2,052	\$2,076	\$24

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request reflects inflationary increase due to a change in the algorithm. The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's or Headquarters Office's WCF assessment amount divided by the total WCF assessment multiplied by total estimated cost of the activity. The FY 2011 request reflect increase in rent charges.

	2009	2010	2011	2010 to 2011
	Actuals	Presidents Budget	Request	Change
Other Rent	\$51	---	---	---

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Presidents Budget	Request	Change
Communication, Utilities, and miscellaneous charges	\$5	\$5	\$5	---

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Presidents Budget	Request	Change
Printing	\$30	\$37	\$37	---

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects no change.

	2009 Actuals	2010 Presidents Budget	2011 Request	2010 to 2011 Change
Advisory and Assistance Services	\$1,481	\$494	\$494	---

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects no change.

	2009 Actuals	2010 Presidents Budget	2011 Request	2010 to 2011 Change
Other Services	\$2,426	\$1,359	\$1,359	---

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects no change.

	2009 Actuals	2010 Presidents Budget	2011 Request	2010 to 2011 Change
Purchase from Government Accounts	\$3,982	\$2,409	\$3,005	\$596

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF and DHS Shared Services. The FY 2011 request reflects a increase which is the result of increases WCF activities of \$596K

	2009 Actuals	2010 Presidents Budget	2011 Request	2010 to 2011 Change
Medical Care	\$155	---	---	---

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request reflects no change.

	2009 Actuals	2010 Presidents Budget	2011 Request	2010 to 2011 Change
Subsistence & Support of Persons	\$47	---	---	---

Subsistence and Support of Person includes costs for contractual services with the public or another Federal government account for the board , lodging and care of persons, including prisoners. The FY2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Presidents Budget	Request	Change
Supplies & materials	\$200	\$134	\$134	---

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Presidents Budget	Request	Change
Equipment	\$299	\$256	\$256	---

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects no change.

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Citizenship and Immigration Services Ombudsman
Funding Schedule
(Dollars in Thousands)

PPA: Citizenship and Immigration Services Ombudsman		2009	2010	2011	2010 to 2011
		Actuals	Enacted	President's Budget	Change
Object Classes:					
11.1	Perm Positions	\$2,061	\$2,314	\$2,351	\$37
11.3	Other than perm	41	63	64	1
11.5	Other per comp	62	57	58	1
12.1	Benefits	647	675	685	10
21.0	Travel	108	85	85	---
22.0	Transportation of things	---	56	56	---
23.1	GSA rent	343	327	331	4
23.2	Other rent	16	---	---	---
24.0	Printing	42	47	47	---
25.1	Advisory & Assistance Services	1,001	104	104	---
25.2	Other Services	140	904	904	---
25.3	Purchase from Govt. Accts.	361	1,928	2,054	126
25.6	Medical care	2	---	---	---
26.0	Supplies & materials	127	58	58	---
31.0	Equipment	15	67	67	---
Total, Citizenship and Immigration Services Ombudsman		\$4,966	\$6,685	\$6,864	\$179
Full Time Equivalents		24	36	36	---

PPA Mission Statement

The mission of the Citizenship and Immigration Services Ombudsman (CISOMB) is to assist individuals and employers in resolving problems with the United States Citizenship and Immigration Service (USCIS). Section 452 of the Homeland Security Act of 2002 requires that CISOMB assist individuals and employers in resolving problems with the Bureau of Citizenship and Immigrations Services, identify areas in which individuals and employers have problems in dealing with USCIS, and to the extent possible, propose changes in the administrative practices of the USCIS to mitigate problems.

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Salaries and Benefits	\$2,811		\$3,109	\$3,158
			\$3,158	\$49

Salaries and Benefits fund for compensation directly related to duties performed for the CISOMB by Federal civilian employees. FY 2011 request reflect 1.4% for inflation.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Travel	\$108	\$85	\$85	---

Requested funds cover the travel costs of CISOMB's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects no change

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Transportation of Things	---	\$56	\$56	---

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding primarily supports the shipment of furniture and other household goods associated with permanent change of station moves. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
GSA rent	\$343	\$327	\$331	\$4

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding primarily supports the shipment of furniture and other household goods. The FY 2011 request reflects an increase for rent.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Other Rent	\$16		---	---

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Printing	\$42	\$47	\$47	---

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects no change

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Advisory and Assistance Services	\$1,001	\$104	\$104	---

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects no change

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Other Services	\$140	\$904	\$904	---

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects no change

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Purchase from Government Accounts	\$361	\$1,928	\$2,054	\$126

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services. The FY 2011 request reflects increases due to the change in rent algorithm.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Medical Care	\$2	---	---	---

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Supplies & materials	\$127	\$58	\$58	---

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Equipment	\$15	\$67	\$67	---

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects no change

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Privacy Office
Funding Schedule
(Dollars in Thousands)

PPA: Privacy Office		2009	2010	2011	2010 to 2011
Object Classes:		Actuals	Enacted	President's Budget	Change
11.1	Perm Positions	\$2,644	\$4,110	\$4,707	\$597
11.3	Other than perm	280	230	233	3
11.5	Other per comp	106	117	119	2
12.1	Benefits	825	1,229	1,474	245
21.0	Travel	129	191	191	---
23.1	GSA rent	406	465	472	7
23.2	Other rent	7	---	---	---
24.0	Printing	14	27	27	---
25.1	Advisory & Assistance Services	1,042	175	175	---
25.2	Other Services	799	229	379	150
25.3	Purchase from Govt. Accts.	434	1,004	1,147	143
25.6	Medical care	2	---	---	---
26.0	Supplies & materials	102	118	118	---
31.0	Equipment	76	76	76	---
Total, Privacy Office		\$6,866	\$7,971	\$9,118	\$1,147
Full Time Equivalents		29	30	34	4

PPA Mission Statement

The Department of Homeland Security's Privacy Office protects the collection, use, and disclosure of personal and Departmental information. The Privacy Office ensures that appropriate access to information is consistent with the vision, mission, and core values of DHS, and implements the policies of the Department to defend and to protect the individual rights, liberties, and information interests of our citizens.

Through internal education outreach and the establishment of internal clearance procedures and milestones for program development, the Privacy Office is helping DHS components to consider privacy whenever developing new programs or revising existing ones. The Privacy Office is evaluating the use of new technologies to ensure that privacy protections are given primary consideration in the development and implementation of these new systems. In this process, DHS professionals have become educated about the need to consider – and the framework for considering – the privacy impact of their technology decisions.

The Chief Privacy Officer and the staff review Privacy Act system notices before they are sent forward and ensure that they collect only those records that are necessary to support DHS mission. The Privacy Office also guides DHS agencies in developing appropriate privacy policies for their programs and serves as a resource for any questions that may arise concerning privacy, information collection or disclosure.

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Salaries and Benefits	\$3,855	\$5,686	\$6,533	\$847

Salaries and Benefits fund for compensation directly related to duties performed for the Office of Privacy by Federal civilian employees. The FY 2011 request includes funding for a pay raise, benefits, and other mandatory personnel entitlements and program increases. In addition, 6 positions and 4 FTE to hire Intelligence Analysts, Trainers and Investigators for additional privacy oversight. FY 2011 request reflect 1.4% for inflation.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Travel	\$129	\$191	\$191	---

Requested funds cover the travel costs of Privacy's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
GSA rent	\$406	\$465	\$472	\$7

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request reflects inflationary increase due to a change in the algorithm. The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's or Headquarters Office's WCF assessment amount divided by the total WCF assessment multiplied by total estimated cost of the activity. The FY 2011 request reflects an increase for rent.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Other Rent	\$7	---	---	---

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Printing	\$14	\$27	\$27	---

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Advisory and Assistance Services	\$1,042	\$175	\$175	---

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Other Services	\$799		\$229	\$379
			\$150	

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes a program increase of \$150K.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Purchase from Government Accounts	\$434		\$1,004	\$1,147
			\$143	

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF and DHS Shared Services. The FY 2011 request reflects an increases of 143K due to the change in the rent algorithm.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Medical Care	\$2		---	---
			---	---

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Supplies & materials	\$102		\$118	\$118

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2011 request reflects no change.

	2009 Actuals	2010 Enacted	2011 President's Budget	2010 to 2011 Change
Equipment	\$76		\$76	\$76

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects no change.

Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Office of Counternarcotics Enforcement
Funding Schedule
(Dollars in Thousands)

PPA: Office of Counternarcotics Enforcement		2009	2010	2011	2010 to 2011
		Actuals	Enacted	President's Budget	Change
Object Classes:					
11.1	Perm Positions	\$1,354	\$1,191	\$1,212	\$21
11.3	Other than perm	130	384	389	\$5
11.5	Other per comp	29	35	35	---
12.1	Benefits	382	262	265	\$3
21.0	Travel	56	94	94	---
22.0	Transportation of things	18	---	---	---
23.1	GSA rent	313	299	302	3
24.0	Printing	10	11	11	---
25.1	Advisory & Assistance Services	---	15	15	---
25.2	Other Services	28	349	349	---
25.3	Purchase from Govt. Accts.	308	956	1,184	\$228
25.4	Operation & maintenance of facilities	9	---	---	---
25.5	Research & Development	678	---	---	---
25.6	Medical care	2	2	2	---
25.7	Operation & maintenance of equipment	18	---	---	---
26.0	Supplies & materials	10	7	7	---
31.0	Equipment	24	7	7	---
Total, Office of Counternarcotics Enforcement		\$3,369	\$3,612	\$3,872	\$260
Full Time Equivalents		13	15	15	---

PPA Mission Statement

The Office of Counternarcotics Enforcement's (CNE) role is to oversee the Department of Homeland Security's efforts to secure the borders against the flow of illegal drugs and to protect the U.S. against drug-related criminal enterprises. The vision of the Office of Counternarcotics Enforcement is a homeland and its citizens free from illicit drugs and from the threats posed by drug-related criminal enterprises.

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Salaries and Benefits	\$1,895	\$1,872	\$1,901	\$29

Salaries and Benefits fund for compensation directly related to duties performed for CNE by Federal civilian employees. FY 2011 request reflect 1.4% for inflation.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Travel	\$56	\$94	\$94	---

Requested funds cover the travel costs of CNE Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
GSA rent	\$313	\$299	\$302	\$3

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request reflects a increase which is the result of increases WCF activities of \$3K

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Printing	\$10	\$11	\$11	---

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Advisory and Assistance Services	---	\$15	\$15	---

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Other Services	\$28	\$349	\$349	---

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Purchase from Government Accounts	\$308	\$956	\$1,184	\$228

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF and DHS Shared Services. The FY 2011 request reflects increases due to change in rent algorithm.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Medical Care	\$2	\$2	\$2	---

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Supplies & materials	\$10	\$7	\$7	---

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2011 request reflects no change.

	2009	2010	2011	2010 to 2011
	Actuals	Enacted	President's Budget	Change
Equipment	\$24	\$7	\$7	---

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects no change.

I: Changes in Full-Time Equivalents

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Secretary and Executive Management
 Changes in Full-Time Equivalents**

	FY 2009	FY 2010	FY 2011
Base: Year-end Actual from Prior Year	494	551	603
INCREASES			
Increase #1:	26	27	23
Description: Additional FTE are required to fulfill program increases in FY 2009, FY 2010 and FY 2011.			
Increase #2:	31		19
Description: Additional FTE required due to planned annualization.			
Increase #3:		-	-
Description: Additional FTE required due to annualization.			
Increase #4:	-	-	-
Description: Additional FTE are provided as a result of transferring the Secretary's Briefing Staff from Analysis & Operations to the Office of the Executive Secretary.			
Increase #5:	-	17	-
Additional FTE due to Program Enhancement for Intergovernmental Affairs.			
Increase #6:	-	4	-
Description: Additional FTE due to reduced reliance on contractors.			
Increase #7:	-	4	-
Description: Additional FTE due to reallocation of Other Objects to salaries.			
DECREASES			
Decrease #1:	-	-	-
assumed responsibility for the Secure Border Coordination Office in FY 2008.			
Decrease #2:	-	-	-
Description: 3 FTE are transferred from OSEM, Office of Policy to Analysis & Operations for Counterterrorism Planning.			
Decrease #3:	-	-	-
Description: Hiring delays early in fiscal year due to Continuing Resolution, unavailability of \$15 million pending Secretarial certification of GAO and IG relations.			
Year-end Actual/Estimated FTE	551	603	645
Net Change from prior year base to Budget Year Estimate:	57	52	42

J. FY 2011 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2009 Enacted	FY 2010 Anticipated	FY 2011 Request	Increase / Decrease for FY 2011
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Immediate Office of the Secretary	\$633	\$769	\$1,100	\$331
Immediate Office of the Deputy Secretary	297	290	438	148
Office of the Chief of Staff	188	384	1,422	1,038
Office of the Executive Secretary	985	1,526	2,059	533
Office of Intergovernmental Affairs	---	800	800	---
Office of Policy	7,291	8,657	9,607	950
Office of Public Affairs	1,121	1,794	1,814	20
Office of Legislative Affairs	894	1,496	1,542	46
Office of the General Counsel	3,301	4,364	4,428	64
Office for Civil Rights and Civil Liberties	3,099	3,923	4,054	131
Citizenship and Immigration Services Ombudsman	684	1,066	1,192	126
Privacy Office	850	1,375	1,438	63
Office of Counternarcotics Enforcement	571	712	940	228
Total Working Capital Fund	\$19,914	\$27,156	\$30,834	\$3,678

DEPARTMENT OF HOMELAND SECURITY
Departmental Management and Operations
Under Secretary for Management



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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**Departmental Management and Operations
Under Secretary for Management**

I. Appropriation Overview

A. Mission Statement for Under Secretary for Management:

The Management Directorate ensures delivery of effective and efficient business and management services throughout the Department, to enable the Department of Homeland Security (DHS) to lead the unified national effort to secure America.

The DHS Management Directorate provides the business framework that enables the Department of Homeland Security to achieve its mission. It does so by providing policy, guidance, operational oversight and support, and innovative solutions for the management needs of the entire Department.

B. Budget Activities:

Immediate Office of Under Secretary of Management (OUSM)

The Immediate Office of the Under Secretary for Management's primary mission is to deliver quality administrative support services providing leadership and oversight for all departmental management functions which include information technology, security, budget and financial management, procurement and acquisition, human capital, and administrative services.

Office of the Chief Administrative Officer (OCAO)

Administrative Services establishes policy and procedures as well as provides both departmental leadership and oversight for all functional areas managed by the DHS CAO and component Chief Administrative Officers. Functional areas include asset management (logistics, real estate, personal property, aviation, transportation, fleet, marine vessels), mail screening and delivery, business continuity and emergency preparedness, occupational safety and health, environmental planning and management, historic preservation, energy management, records, directives, forms, library services, printing and graphics. In addition, OCAO also provides the day to day operational support for departmental headquarters and the other components [the Office of Intelligence and Analysis (I&A); the Office of Operations Coordination and Planning (OPS); and Science and Technology (S&T)].

DHS Nebraska Avenue Complex (NAC) Consolidation Project

Although the physical limitations of the NAC render it unsuitable as the permanent DHS Headquarters, the Department plans to retain this property to house certain mission support functions that will not relocate to the new DHS Headquarters Consolidated Campus currently at St. Elizabeths. Accordingly, DHS will continue to invest in this

property to sustain our operational capabilities while St. Elizabeth's is developed and leverage those investments as the Department realigns the overall real estate portfolio to support operations and integration.

Office of the Chief Human Capital Officer

The Office of the Chief Human Capital Officer (OCHCO) establishes policy and procedures as well as provides both departmental leadership and oversight for all Human Capital functional areas. OCHCO is organizationally structured into six functional areas (Policy & Programs; Learning & Development; Executive Resources; Human Capital Business Systems; Headquarters Human Resources Management Services; and Business Support and Operations) and is responsible for developing policy and procedures for these areas, as well as providing oversight, guidance and leadership within the Department.

Human Resources Information Technology (HRIT)

The HRIT program implementation began to merge and modernize the DHS HRIT infrastructure to provide flexibility and management information that allows the Department to foster the "One DHS" concept. Consolidation fulfills the critical need for complete visibility of all Department employees, thereby enabling executives to strategically manage the workforce while supporting the mission.

Office of the Chief Procurement Officer (OCPO)

The Office of the Chief Procurement Officer is responsible for the overall management, administration, and oversight of department-wide acquisition, financial assistance, strategic sourcing, and competitive sourcing programs, including direct management and oversight of the Office of Procurement Operations. The OCPO activities include:

Acquisition Support and Oversight

- **Acquisition Workforce:** Responsible for facilitating centralized hiring of the acquisition workforce including the Acquisition Professional Career Program for initial entry into select acquisition career fields and strategic acquisition workforce planning to ensure accession, development, and retention of a professional workforce.
- **Operations Support:** Principal liaison for the acquisition community and assist components to accomplish their varied missions.
- **Acquisition Oversight:** Responsible for developing and implementing a DHS acquisition oversight strategy in accordance with MD 0784 and implementing internal controls in accordance with A-123 for the DHS acquisition function.
- **Program Management:** Responsible for providing support to DHS program managers and assisting in the development of a DHS-wide acquisition management system.

Strategic Initiatives

- **Acquisition Policy and Legislation:** Responsible for developing DHS acquisition regulations and policies, developing proposed acquisition legislation, and responding to proposed acquisition related legislation.
- **Competitive Sourcing and Privatization:** Responsible for the Department's implementation of the Federal Activities Inventory Reform (FAIR) Act of 1998, the Revised OMB Circular A-76 and the President's Management Agenda (PMA) Competitive Sourcing Initiative.
- **Strategic Sourcing and Acquisition Systems:** Responsible for managing the DHS strategic sourcing program; developing corporate strategies for the acquisition of shared commodities to achieve efficiencies and economies of scale.

Office of Small and Disadvantaged Business Utilization (OSDBU)

- In support of the Small Business Act to maximize small business procurement opportunities, the OSDBU assists, counsels, and advises small businesses of all types on procedures for contracting with the DHS. Additionally, the OSDBU works closely with each Departmental organizational element to implement the Department's small business procurement assistance program. While this office works closely with the Chief Procurement Officer, it reports directly to the Deputy Secretary.

Office of the Chief Security Officer (OCSO)

The mission of the Office of the Chief Security Officer (OCSO) is to secure the Department so the Department can secure the homeland. The OCSO implements security programs that safeguard DHS personnel, property, facilities, and information. The office develops, implements, and oversees the Department's security policies, programs, and standards; delivers security training and education to DHS personnel; and provides security support to DHS components. Additionally, the office investigates threats related to foreign intelligence, terrorism, and criminal activities within or directed against DHS.

C. Budget Request Summary:

The Under Secretary for Management requests 1096 positions, 1046 FTE, and \$266.969M for FY 2011. The total adjustments-to-base are 212 positions, 259 FTE, and a reduction of \$5.806M to current services. The reduction in current services is comprised of an increase of \$15.036M for annualizations, working capital fund, and pay inflation; a one-time reduction of \$20M for the non-recurring of HSPD-12 base funding; and a decrease in OCHCO's salaries and expenses due to proper realignment and cost savings of the Working Capital Fund (WCF). The total program increase includes 150 FTP/FTE and \$18.585M, which is a combination of program reductions and an increase to the Department's acquisition workforce by \$24,235,700 as part of a presidential initiative intended to mitigate the risks associated with gaps in capacity or capability, to improve the effectiveness of the workforce, and to advance acquisition contracting oversight.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Immediate Office of the USM	11	2,471	13	2,864	13	2,770	-	(94)	-	(128)	-	34
Office of Administration	65	43,803	80	44,491	87	43,942	7	(549)	-	(1,048)	7	499
DHS HQ NAC Project	-	29,068	-	5,500	-	5,500	-	-	-	-	-	-
Office of Human Capital	43	21,485	89	25,473	108	24,999	19	(474)	-	(1,150)	19	676
Office of Human Capital - Human Resources Information Technology	-	15,248	-	17,131	25	17,131	25	-	-	-	25	-
Office of Procurement	152	39,107	282	68,538	554	99,763	272	31,225	150	20,911	122	10,314
Office of Security	150	61,338	173	90,193	259	72,864	86	(17,329)	-	-	86	(17,329)
Subtotal, Enacted Appropriations and Budget Estimates	421	\$212,521	637	\$254,190	1,046	\$266,969	409	\$12,779	150	\$18,585	259	(\$5,806)
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	421	\$212,521	637	\$254,190	1,046	\$266,969	409	\$12,779	150	\$18,585	259	(\$5,806)

American Recovery and Reinvestment Act (ARRA)	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
St. Elizabeths	---	199,688	---	---								
Total	0	\$199,688	0	---								

¹ The FY 2009 ARRA supplemental was appropriated in the amount of \$200M.

III. Current Services Program Description by PPA

**Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
Program Performance Justification**
(Dollars in Thousands)

PPA: Immediate Office of the USM

	Perm. Pos	FTE	Amount
2009 Actuals	13	11	2,471
2010 Enacted	13	13	2,864
2011 Adjustments-to-Base	-	-	34
2011 Current Services	13	13	2,898
2011 Program Change	-	-	(128)
2011 Total Request	13	13	2,770
Total Change 2010 to 2011	-	-	(94)

The Immediate Office of the Under Secretary for Management requests 13 FTP/FTEs and \$2.77M for FY 2011. This is a net reduction of \$94K from the FY 2010 enacted level and is comprised of an increase of \$34K for pay inflation; and a decrease of \$128K due to a reduction in contractor support.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Immediate Office of the Under Secretary of Management ensures the Under Secretary for Management offices function effectively and efficiently in support of the Department as a whole and the USM offices. The requested funding will allow the OUSM to manage the workload of the USM offices, respond quickly to queries from within and outside the Department, and further DHS efforts for functional integration.

PPA: Office of the Chief Administrative Officer

	Perm. Pos	FTE	Amount
2009 Actuals	83	65	43,803
2010 Enacted	87	80	44,491
2011 Adjustments-to-Base	-	7	499
2011 Current Services	87	87	44,990
2011 Program Change	-	-	(1,048)
2011 Total Request	87	87	43,942
Total Change 2010 to 2011	-	7	(549)

The Office of the Chief Administrative Officer requests 87 FTP/FTEs and \$43.942M for FY 2011. This is a net decrease of \$549K and an increase in 7 FTEs over the FY 2010 enacted level. This is due to the annualization of 7 FTEs and an increase of \$499K for pay inflation and WCF contributions, and a total reduction of \$1.048M in program, environmental, and technical support within the OCAO.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of the Chief Administrative Officer’s primary mission is to provide DHS-wide governance and management for administrative services. Activities that the OCAO manage include asset management (logistics, real estate, personal property, aviation, transportation, fleet, marine vessels), mail screening and delivery, occupational safety and health, environmental planning and management, historic preservation, energy management, records, directives, forms, library services, printing and graphics.

FY 2009 Accomplishments

- Published a series of critical guidance documents that included the department’s real property strategic requirements (submitted as a CORE program document), the DHS real property handbook manual and a real estate collocation handbook that established the DHS process for evaluating and executing real property opportunities;
- Issued DHS-wide workforce protection guidance for H1N1 and a mail management procedural manual; and
- Led the development of five of the Secretary’s efficiency initiatives and established requirements for a Department-wide Electronic Records Management System. In addition, the OCAO evaluated component performance quarterly for each of the program areas.

FY 2010 Planned Accomplishments

- Develop and implement a DHS Asset Review Board (DARB) to prioritize and consolidate major Non-IT Capital Investments;
- Execute a contract for a DHS Electronic Records Management System and conduct alpha and beta testing;

- Continue to manage the Secretary’s efficiencies for acquiring hybrids and alternative fuel vehicles, reducing fleet fossil fuel usage, increasing facilities’ energy efficiency, and reducing cost for printing and publication subscriptions; and
- Harmonize DHS Personal Protective Equipment programs for H1N1 exposure, issue guidance manuals for sustainable practices and environmental compliance and begin rulemaking for DHS-wide National Environmental Policy Act (NEPA) regulation.

FY 2011 Planned Accomplishments

- Establish the asset review process and begin implementation of an asset management application within the CFO Transformation and Systems Consolidation (TASC) program;
- Phase deployment of the Electronic Records Management System; and
- Implement a DHS environmental sustainability program

PPA: DHS HQ NAC Project

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	29,068
2010 Enacted	-	-	5,500
2011 Adjustments-to-Base	-	-	-
2011 Current Services	-	-	5,500
2011 Program Change	-	-	-
2011 Total Request	-	-	5,500
Total Change 2010 to 2011	-	-	-

The DHS Headquarters Project at the Nebraska Avenue Complex (NAC) requests \$5.5M in FY 2011. There is no change from the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The NAC is the headquarters facility for DHS, and presence at the Complex continues to expand as well as at other locations to meet current demands. Although the physical limitations of the NAC render it unsuitable as the permanent DHS headquarters, the facility at NAC must sustain the operational capabilities for effective mission execution until the new consolidated headquarters at St. Elizabeths is constructed. The current facility at the NAC is an integral part of the Headquarters Consolidation Program. Current services investments will be leveraged for future use of the NAC to house certain mission support functions that do not relocate to St. Elizabeths.

FY 2009 Accomplishments

- Perimeter Improvement Project: Awarded \$20M contract, through General Services Administration (GSA), for Perimeter Improvement Project. This included upgrade and replacement of existing perimeter fence, addition of sensors and cameras, new

command and control center, new visitor intake center, vehicle crash barriers and other improvements. Work began in September 2009;

- Medium Voltage Upgrade: Awarded a design-build contract (costs shared with GSA) for major upgrade of the campus electrical grid that provided electrical feeds and upgraded power supply for the entire campus to maintain true 24/7 operations. Power capacity will be increased from 7 watts per square foot to 22 watts per square foot when project is completed;
- NAC 19 and 61: Completed the construction of the new mechanical support building (NAC 61) that now provides all of the air conditioning and electrical service for NAC 19. The NAC 19 Basement renovation was completed June 18, 2009. The full renovation provides secure space for approximately 250 personnel provide direct mission-support operations functions, and includes a training room, multiple conference rooms, and state of the art LAN rooms;
- Carpet Replacement Project: Completed 8 phases of a 26-phase campus-wide carpet replacement project. All phases to be completed by 4th Qtr FY 2011; and
- Signage and Way Finding: Began installation of the campus-wide comprehensive signage and way finding system to facilitate staff, visitor and emergency personnel access to the campus and the buildings.

FY 2010 Planned Accomplishments

- Perimeter Improvement Project and Medium Voltage Upgrade Projects: Continue work on the Perimeter Improvement Project and the Medium Voltage Upgrade Project. The major upgrade of the campus electrical grid will provide electrical feeds and upgraded power supply for the entire campus to maintain true 24/7 operations. Power capacity will be increased from 7 watts per square foot to 22 watts per square foot when project is completed. The Perimeter Improvement Project will include the upgrade and replacement of existing perimeter fences, addition of sensors and cameras, new command and control center, new visitor intake center, vehicle crash barriers and other improvements;
- NAC 3: Design and procure major mechanical, electrical and physical security upgrades for NAC 3 to support direct mission-related operational functions;
- NAC 19: Design, procure and install HVAC upgrades to support direct mission-related operational functions;
- Design and build secure space/garage for the Secretary's security/communications vehicle; and
- ADA/EEO Compliance Survey and Remediation: Campus-wide survey for ADA compliance, as required by Equal Employment Opportunity Commission's Management Directive 715. This would include a plan, schedule and budget for remediation of ADA compliance issues, and funding to address immediate issues.

FY 2011 Planned Accomplishments

- Perimeter Improvement Project and Medium Voltage Upgrade Projects: Complete work on the Perimeter Improvement Project and the Medium Voltage Upgrade Project;
- NAC 3: Install/Construct major mechanical, electrical and physical security upgrades for NAC 3 to support direct mission-related operational functions;

- ADA/EEO Compliance Survey and Remediation: Continue to remediate ADA compliance issues, and funding to address immediate issues; and
- Carpet Replacement Project: Complete the 26-phase campus-wide carpet replacement project.

PPA: Office of the Chief Human Capital Officer

	Perm. Pos	FTE	Amount
2009 Actuals	82	43	21,485
2010 Enacted	93	89	25,473
2011 Adjustments-to-Base	15	19	676
2011 Current Services	108	108	26,149
2011 Program Change	-	-	(1,150)
2011 Total Request	108	108	24,999
Total Change 2010 to 2011	15	19	(474)

The Office of the Chief Human Capital Officer requests 108 FTP/FTEs and \$24.999M for FY 2011. This is a net decrease of \$474K and an increase in 15 FTPs and 19 FTEs over the FY 2010 enacted level. This is due to the annualization of 4 FTEs, an increase of \$1.518M for pay inflation and WCF contributions, a 15 FTE increase in federal staff, and a current services reduction of \$842K to OCHCO salaries and expenses associated with cost effective realignment of WCF costs.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of the Chief Human Capital Officer provides overall management and administration for the Department’s human capital programs, policies, and practices.

Challenges

There are inherent complexities that make human capital a significant challenge within the Department of Homeland Security. As the largest merger in the federal government since the 1940s, DHS has brought together the workforces of 22 distinct agencies and programs, governed by multiple legacy rules, regulations, and laws representing hundreds of occupations. Furthermore, the Department’s 230,000 employees include a mix of civilian and military personnel working in diverse fields. These complexities have created significant challenges for implementing integrated human capital approaches. Current day challenges are as follows:

- Workforce Diversity: Although there have been improvements, the Department workforce does not reflect the diversity of the American population, especially in the ranks of executives. A stronger diversity “infrastructure” and additional resources will be required to deploy major diversity initiatives across DHS.

- Workforce Surveys: The 2007 DHS Annual Employee Survey (AES) and the 2008 Federal Human Capital Survey (FHCS) show that DHS faces significant challenges with employee satisfaction in the areas of performance, rewards and recognition, and particularly in the area of leadership. Subsequently, the negative impact on employee engagement could lead to decreased productivity, morale and retention.
- Leader Development: The Federal Human Capital Survey has identified significant DHS issues are symptomatic of deficiencies in leadership skills and can be addressed through improved leadership. DHS must design and implement a robust leader development program that provides current and newly selected supervisors with the skills needed to be effective leaders. The Department must ensure mandatory training is standardized and delivered via learning management systems or other electronic media to support the “One DHS” concept.
- DHS-wide Employee Performance Management Program: DHS still maintains legacy Performance Management systems (primarily in the bargaining units) within component organizations. Performance culture has been identified as one of the areas in the Federal Human Capital Survey results that continue to require special emphasis across the enterprise.
- HR Integration: DHS human resources programs, functions, practices and activities remain fragmented and “stove-piped” at every level. Cross-component integration of systems, policies, and practices will lead to human capital programs that support the mission and become a competitive advantage for the Department.

Key Strategies and Action Plans

As a means of posturing itself to meet these challenges, the OCHCO has conducted a comprehensive review of all federal and contractor positions with a goal of realigning itself to reduce its significant over-reliance on contractor support. Based on the results of that review, the OCHCO seeks to increase authorized staffing levels by 19 FTE within existing budgets by reducing and/or eliminating more expensive contractor support and re-directing the contractor dollars to fund federal FTE. In doing so, the OCHCO will gain much greater control and accountability of outcomes, reduced reliance on contractor support, and more importantly, will be appropriately staffed to implement key strategies and action plans.

Diversity

To ensure that all segments of American society are represented in DHS, a new organization was recently established within OCHCO. The organization is structured to support the development of department-wide strategies and policies as well as a focus on the operational aspects of recruiting in targeted areas, such as, but not limited to, Historically Black Colleges and Universities, Hispanic Association of Colleges and Universities, Urban League’s Black Executive Exchange Program.

OCHCO, in coordination with the Office for Civil Rights and Civil Liberties and other major stakeholders, will begin by actively engaging in increasing the diversity of the

Senior Executive workforce. In an effort to improve outreach, interviews will be required for each selection at the GS-15 level or equivalent, SES CDP selections and all SES positions and paid advertising will be strategically used to reach minorities and women.

Learning and Development

Developing and maintaining robust leadership development programs is not only an incentive to attract new talent and achieve a diverse and representative workforce, but also contributes to employee satisfaction and enhanced morale and will greatly assist in creating a “One DHS” culture. Numerous leadership development programs will be offered and standardization of legislatively mandated training will continue across the Department.

Workforce Survey

Recruiting the right people and retaining a talented and motivated workforce are critical to accomplishing the DHS mission. One important indicator of the ability to hire and retain the right people is the Federal Human Capital Survey (FHCS). Although DHS results for the 2008 FHCS are lower than government-wide averages, the results have greatly improved since the 2006 scores.

The DHS four overarching focus areas for improving employee satisfaction and engagement in FY 2010 and FY 2011 are:

- Developing Enhanced Leadership Capability
- Implementing Recruitment Improvements
- Initiating Retention Improvements
- Enhancing Action Planning and Program Accountability across DHS components

Performance Management

DHS will continue to implement the enterprise performance management program to provide greater clarity in performance expectations, defined competencies and individual goals that are tied to organizational goals, and improve the Department’s ability to meet OPM’s requirements within the Human Capital Accountability and Assessment Framework (HCAAF). In FY 2011, OCHCO will focus on developing and implementing a Department-wide performance management policy and automating the executive appraisal process to permit the alignment of strategic goals with individual performance measures.

Work-Life Initiatives

The Administration is emphasizing work-life and employee engagement programs, including telework, health and wellness, volunteer community service, and other flexibilities to make the government a model employer. To that end, OCHCO will assist in deploying the IdeaFactory to all DHS components. The IdeaFactory is a web-based employee engagement tool originally developed at the Transportation Security Administration. OCHCO will assist in monitoring, evaluating, and implementing program improvements.

As a part of the work-life initiatives and pursuant to Executive Order 12564, DHS is required to establish a Drug Free Workplace Program. In FY 2011, OCHCO plans to roll out a department-wide drug testing program. The program will require pre-employment drug testing as well as testing for employees in sensitive positions, positions requiring commercial driver's licenses, and positions requiring one to carry firearms. OCHCO will focus efforts to develop a DHS Plan and obtain certification from the Department of Health and Human Services (HHS). Additionally, OCHCO will focus on pursuing a department-wide contract for laboratory drug testing services as well as develop and deliver training to component Drug Program Coordinators (DPCs).

FY 2009 Accomplishments

- Conducted the first DHS Veterans Job Fair;
- In partnership with CRCL/EEO, OCHCO served as an instrumental partner in development and deployment of a DHS Anti-Harassment Policy Directive and Instruction;
- OCHCO conducted three Human Resources Operational Audits within the headquarters components, eight Delegated Examining Unit reviews and one all-inclusive operational services follow-up;
- Assisted and supported the components in transitioning to a 5 USC Chapter 43-based DHS-wide Employee Performance Management Program; and
- Implemented a Department-wide HR Resource Center for established policies, programs, and practices.

FY 2010 Planned Accomplishments

- Support the final development and implementation of a 5 USC Chapter 43-based DHS-wide Employee Performance Management Program that showcases exemplary employee work accomplishments "linked" to important Department goals and strategic plans;
- Support the Department in the development and implementation of an enterprise DHS labor-management relations strategy and on initiatives requiring a common labor relations approach;
- Establish a formal follow-up program to ensure post audit compliance deficiencies are corrected in a timely manner;
- Collaborate and consult with national level unions on the possibility of collective bargaining at the Transportation Security Administration and on the likely issuance of an executive order on labor-management forums to improve delivery of government services; and
- Fully implement the IdeaFactory in all DHS components and begin adopting new ideas generated through the system.

FY 2011 Planned Accomplishments

- Continue efforts to improve Diversity across the Department, particularly in the executive ranks; develop and implement a comprehensive DHS-wide leader development program to address the needs of newly selected and existing supervisors;

- Enhance the SES Candidate Development Program, and increase the number of DHS employees matriculating through the DOD War College with the goal of having a Masters Degree from the War College serve as an equivalent to completing the requirements of the DHS SES Candidate Development Program;
- Aggressively expand outreach to former military personnel to meet the Secretary's goal of having 50,000 Veteran's employed at the Department; and
- Achieve efficiencies through the consolidation of human capital policies, programs, practices and staffing.

PPA: Human Resources Information Technology (HRIT)

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	15,248
2010 Enacted	-	-	17,131
2011 Adjustments-to-Base	25	25	-
2011 Current Services	25	25	17,131
2011 Program Change	-	-	-
2011 Total Request	25	25	17,131
Total Change 2010 to 2011	25	25	-

The Office of the Chief Human Capital Officer requests \$17.131M for this activity. This reflects an increase of 25 FTE/FTP over the FY 2010 enacted level as a result of contractor conversions.

CURRENT SERVICES PROGRAM DESCRIPTION:

The mission of the HRIT program is to merge and modernize the DHS HRIT infrastructure to provide flexibility and the management information that will allow DHS to continuously evolve in response to changing business, legislative and economic drivers. Consolidation will fulfill the critical need for complete visibility of all Department employees thereby enabling executives to strategically manage the workforce while supporting the Department’s mission.

The OCHCO manages the annual distribution of \$16B in payroll and benefits for all civilian DHS employees while simultaneously working to streamline and modernize the HRIT capabilities of the Department.

Challenges

Hiring systems and practices throughout the Department are inconsistent and inefficient, serve as a disincentive to applicants, increase the burden on hiring managers through referral of poorly vetted applicants, and add to recruiting cycle time and cost. The overhaul of hiring processes is an enterprise problem that must be addressed quickly and from an enterprise perspective. This effort closely aligns with the OPM high priority hiring reform initiative.

The current IT infrastructure includes hundreds of component legacy IT systems, leading to unnecessary cost and complexity. The Department must identify a way ahead to eliminate redundant systems and deliver a modern HRIT infrastructure that supports mission requirements at the right cost.

Key Strategies and Action Plans

For FY 2011, hiring will be designated as a top OCHCO priority, with a key milestone of deploying TALENTLink; a department-wide automated recruiting and staffing system. TALENTLink will streamline hiring and will provide an enterprise-wide solution to ensure that the hiring process is measurable from the time the manager identifies a hiring need to the time the selectee begins employment; it will ensure that job announcements are written in plain language to attract, rather than deter, applicants; and it will notify applicants of their status at four points in the hiring process in a timely manner – application received, application reviewed for qualifications, application referred to the selection official (or not), and applicant selected (or not). To accomplish this, supporting policies and procedures will continue to be developed with hiring managers engaged.

Building on previous deployments in FY 2009 (DHS HQ and FEMA) and planned for in FY 2010 (ICE, FLETC, OIG and NPPD), OCHCO will utilize the FY 2011 HRIT resources to deploy TALENTLink to USCG and USCIS, which will result in an enterprise deployment rate of 70%. To support the deployment of TALENTLink and other enterprise HRIT projects, OCHCO is proposing to utilize the HRIT resources, which have traditionally been employed for contractor services, to fund 25 contractor conversions. In support of the Administration's push to have more federal oversight for major acquisition programs, the OCHCO believes that hiring dedicated federal staff to consolidate and deploy the current and future enterprise systems will allow for improved oversight and accountability. Reduced staffing costs resulting from the contractor conversions will allow remaining dollars to be infused back into the program to extend OCHCO/Human Capital Business Systems (HCBS) service and support to components for system training and business process reengineering to further institute the "One DHS" initiative for Enterprise-wide HR systems.

The contractor conversions contained in this request will accomplish the following:

- Implement increased enterprise onboarding functionality within TALENTLink for new hires, including enhanced applicant security, testing, screening, and provisioning processes;
- Complete the integration of the enterprise Position Description (PD) Library and Staffing Case-tracking system, in partnership with the OCIO, to compliment TALENTLink and improve the hiring and staffing processes;
- Increase quality and functionality of EmpowHR and NFC by streamlining the Enterprise payroll/personnel reconciliation;
- Continue to support existing customers on the enterprise time and attendance system (webTA) while identifying new requirements for increased system functionality (e.g. labor distribution and scheduling capabilities);

- Gather and document system requirements for CBP, the final customer for webTA, achieving the goal of all DHS components reporting time on one system. This will afford the Department greater flexibility in reporting consolidated time and attendance data for such things as H1N1 and telework; and
- Identify and implement new capabilities to support and improve payroll and processing for the Department.

FY 2009 Accomplishments

- TALENTLink: Established the baseline staffing configuration and deployed to FEMA and DHS HQ (NPPD, S&T, Policy, CHCO, USM, DNDO, OS, OCE, Privacy, CIS Ombudsman, OGC, CSO, OPA, OLA, CFO, CPO, OPO);
- WebTA: To benefit over 130,000 employee records, completed requirements of the Bi-directional interface between webTA and data contained in the NFC mainframe to reduce manual updates; in turn, error rates and labor hours needed to research timekeeping errors will also be reduced. Completed a technology upgrade to the Oracle 10g platform, and implemented one release for increased functionality and system maintenance. Supported requirements development for the integration of webTA with TSA's electronic time and scheduling system (eTAS), which will result in time savings for TSA's cost accounting and labor scheduling at airports;
- EOPF: Migrated the last DHS component, USSS, and implemented release 4.0 and 4.1 for increased functionality. Finalized requirements for the USCG and TSA merge onto the DHS instance to achieve cost and process efficiencies;
- EmpowHR: Completed 9.0 PeopleSoft upgrade and subsequent releases (9.01 and 9.02) to provide a robust foundation for future self-service, workflow and security management requirements. Utilized and implemented available workflow capabilities for HQ personnel processing to streamline processing times, reduce error rates and decrease hard copies sent via inter-office mail; and
- Payroll/Personnel: Implemented Fair Labor Standards Act Overtime (FLSA) changes for CBP officers (CBPO), which requires that CBPOs have their pay calculated based on dual compensation to ensure employees receive the most advantageous rate of pay. Completed Phase III of the EmpowHR and NFC Payroll reconciliation project.

FY 2010 Planned Accomplishments

- TALENTLink: Establish the baseline onboarding configuration, in partnership with the OCIO, to streamline all new employee processes such as drug and medical tests, security screening, and provisioning into one integrated system. Complete deployments for NPPD, OIG, FLETC and ICE;
- WebTA: Complete deployment for USCIS. Implement bi-directional interface and TSA's eTAS integration project;
- EOPF: Complete USCG and TSA merges to the DHS instance. Implement two major product releases for improved processing and new functionality;
- EmpowHR: Implement three major releases that expand functionality and address reconciliation requirements; and

- Integration Tools: In partnership with the OCIO, implement a new enterprise integration environment to provide a central mechanism for secure data interchanges between and reporting among the enterprise HR applications to improve data integrity and availability of the information.

FY 2011 Planned Accomplishments

The Office of the Chief Human Capital Officer will use planned resources to fund the following programmatic areas:

- Fund and deploy TALENTLink to USCG and USCIS;

PPA: Office of the Chief Procurement Officer

	Perm. Pos	FTE	Amount
2009 Actuals	210	152	39,107
2010 Enacted	354	282	68,538
2011 Adjustments-to-Base	100	122	10,314
2011 Current Services	454	404	78,852
2011 Program Change	150	150	20,911
2011 Total Request	604	554	99,763
Total Change 2010 to 2011	250	272	31,225

The Office of the Chief Procurement Officer requests 604 FTP/554 FTEs and \$99.763M in FY 2011. This is a net increase of 250 FTP/272 FTEs and \$31.225M over the FY 2010 enacted level; and includes an adjustment to base of 100 FTP/122 FTEs and \$10.314M for annualizations, pay inflation; program reductions of \$1.846M in contractual support and \$1.479M in centralized training; and a program increase of \$24.236M for enhancing the acquisition workforce.

CURRENT SERVICES PROGRAM DESCRIPTION:

The OCPO establishes the acquisition regulations, policies and procedures for DHS. It oversees the Department’s acquisition programs and assists the acquisition community with implementing difficult and complex procurements to reduce risk and ensure success. OCPO is responsible for acquisition workforce planning, centralized acquisition workforce recruitment, and training. In support of this responsibility and to address the government-wide need for acquisition professionals, OCPO has implemented a centrally funded and managed Acquisition Professional Career Program modeled after the highly successful Navy Intern Program. This program features three, single year rotations through various components and provides interns with all the experience and training needed to become journeymen level acquisition professionals. In FY 2011, CPO requests 100 FTP/50 FTE to continue the third year of this important program and will fund this initiative within their base funding.

FY 2009 Accomplishments

- Continued to build the DHS acquisition workforce, including the DHS Acquisition Workforce Intern Program; and
- Established an acquisition system whereby each requirement has a well defined mission and a management team.

FY 2010 Planned Accomplishments:

- Continue to improve the Acquisition Workforce Intern Program;
- Implement Acquisition Policy and Oversight for DHS' acquisition programs;
- Stand up the Office of Selective Acquisitions, to assume the role of handling classified procurements; and
- Assume responsibility for Investment Review across the Department.

FY 2011 Planned Accomplishments:

- Hire an additional 100 interns to complete the three year program and part of DHS's strategy to maintain the DHS acquisition workforce with well-trained acquisition personnel;
- Enhance the capability and capacity of acquisition workforce as part of a presidential initiative to mitigate the risks associated with gaps in either workforce capacity or capability, and improve workforce effectiveness as well as to advance contracting oversight;
- Expand the acquisition workforce certification in small increments in the career fields of Test and Evaluation, Logistics, Systems Engineering, and business Cost Estimating and Financial Management;
- Implement in phases a centralized registration system that will streamline the registration process and allow the Department to manage and forecast training needs more accurately; and
- Continue to exercise its acquisition governance responsibilities as required by Department acquisition policy.

PPA: Office of the Chief Security Officer

	Perm. Pos	FTE	Amount
2009 Actuals	123	150	61,338
2010 Enacted	187	173	90,193
2011 Adjustments-to-Base	72	86	(17,329)
2011 Current Services	259	259	72,864
2011 Program Change	-	-	-
2011 Total Request	259	259	72,864
Total Change 2010 to 2011	72	86	(17,329)

The Office of the Chief Security Officer requests \$72.864M in FY 2011. This is an increase of 72 FTP/86FTEs and a decrease of \$17.329M over the FY 2010 enacted level. This request includes an adjustment to base of 72 FTP/86FTEs and \$2.671M for annualizations, pay inflation; and a reduction of \$20M for non recurring HSPD-12 base funding.

CURRENT SERVICES PROGRAM DESCRIPTION:

The mission of the Office of Security is to lead a collaborative security program to safeguard the Department's personnel, information, and property so the Department may secure the Homeland. Today's complex security environment demands that security operations be effectively structured and integrated into all DHS operations. OCSO implements department-wide security programs, policies and standards to safeguard DHS personnel, property, facilities, and information. Priority initiatives include expediting background investigations and granting security clearances; conducting facility security risk assessments; providing security education and awareness training; and issuing guidance on topics ranging from installing physical security equipment to handling classified information. Additionally, the OCSO investigates threats related to foreign intelligence, terrorism, and criminal activities within or directed against DHS.

The OCSO integrates all security disciplines in a manner that increases efficiency and enhances the overall security of the Department. The Office has nine divisions that work together to create an environment that promotes best practices and shares accountability. These divisions are:

- The Administrative Security Division - develops, implements, and oversees policies, programs and standards necessary to safeguard classified and sensitive but unclassified information ensures that all DHS employees are trained to recognize and defend against threats of the Department's personnel, information, and property;
- The Counterintelligence and Investigations Division - protects DHS personnel, information and property from foreign intelligence services, terrorists, and criminals. This division also identifies, analyzes, and defends against espionage directed at DHS and conducts investigations of crimes committed against DHS personnel, property and facilities;
- The Special Security Programs Division - which manages the DHS Sensitive Compartmented Information (SCI);
- The Physical Security Division - protects DHS personnel, controls access to DHS Headquarters facilities, and safeguards against damage and theft;
- The Personnel Security Division - ensures the highest levels of confidence in DHS employee and contractor trustworthiness, loyalty, integrity, and reliability. The division conducts background investigations, makes suitability and security clearance eligibility determinations and provides oversight of personnel security policy throughout the Department;
- The Systems Security Division – is responsible, in collaboration with the Office of the Chief Information Officer for managing the ongoing operations and enhancements to key security-related information systems;

- The Identity Management Division – implement and manage an enterprise-wide DHS HSPD-12 program;
- The Special Access Programs Division - consolidates the management of DHS Special Access Programs (SAPs) under one Department office, and ensures that all DHS SAP compliance activities are controlled and managed in an objective and independent way; and
- The Operations Division - provides an accurate account of the budget, both classified and unclassified. This division ensures coordination of security related budget issues with the DHS Budget Office (Office of the Chief Financial Officer), the Office of National Director of Intelligence (ODNI), the Office of Management and Budget (OMB), the House Appropriations Committee (HAC), and the Senate Appropriations Committee (SAC). The Operations Division also completes procurement actions, which require market research and evaluations so that the government can achieve the best value and executes reimbursable agreements with other government agencies.

FY 2009 Accomplishments:

- Security support at State and Local Fusion Centers to ensure that data shared with state and local partners remains secure; and
- Implement HSPD-12, to initiate a transition from a startup to operational mode, and identify and establish minimum security requirements for Federal facilities.

FY 2010 Planned Accomplishments:

- Continue to bolster its personnel adjudication process to meet increased Departmental needs;
- Support staffing for a Special Access Program Control Office (SAPCO); and
- Deploy HSPD-12 PIV cards to DHS employees and contractors for use to access secure facilities, communications, and data.

FY 2011 Planned Accomplishments:

- Continue to bolster its personnel adjudication process to meet increased Departmental needs; and
- Convert contractors to federal employees.

IV. Program Justification Changes

**Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management**

Justification of Program Changes
(Dollars in Thousands)

Program Increase #1: Acquisition Workforce
PPA: Office of the Chief Procurement Officer
Program Increase: Positions - 150 FTE - 150 Dollars \$24,235,700

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	204	42,700
Program Increase	-	-	-	-	-	-	150	150	24,236
Total Request	120	60	\$16,600	144	132	\$22,500	150	354	\$66,936

Description of Item

Successful acquisition outcomes are the direct result of having the appropriate personnel with the requisite skills managing various aspects of the acquisition process. Between FY 2000 and FY 2008, acquisition spending by civilian agencies increased by 56% (in inflation-adjusted dollars), while the number of contract specialists grew by only 24%. This increased workload results in less time for effective planning and contract administration and can lead to diminished acquisition outcomes. This lack of capacity and capability in the acquisition workforce - which includes contract specialists, program and project managers, and contracting officer technical representatives - results in tradeoffs during the acquisition lifecycle that may reduce the chance of successful outcomes while increasing costs and impacting schedule.

The President's March 4, 2009 memorandum on Government Contracting required agencies to improve acquisition practices and performance by maximizing competition and value, minimizing risk, and reviewing the ability of the acquisition workforce to develop, manage, and oversee acquisitions appropriately. Subsequent guidance from the Office of Management and Budget, including memorandum M-09-25 *Improving Government Acquisition* issued July 29, 2009, and OFPP's Memorandum of October 27, 2009 *Acquisition Workforce Development Strategic Plan for Civilian Agencies- FY2010-2014*, provided guidance to agencies to strengthen the acquisition workforce and increase the civilian agency workforce by 5% to more effectively manage acquisition performance.

In support of OMB's emphasis on strengthening the Federal acquisition workforce, DHS requests \$24.236M to increase the Department's acquisition workforce capacity and capabilities. The increase will mitigate the risks associated with gaps in either capacity or capability of the acquisition workforce and improve the effectiveness of the workforce. The resources will be used to:

- Increase the capacity of the acquisition workforce by approximately 8% (100 positions) in the contracting functional area and add an additional 50 positions in other acquisition series to include systems engineers, program managers, logisticians, and business cost estimators;
- Expand the acquisition workforce to include Test and Evaluation, Logistics, Systems Engineering, and Business Cost Estimating and further add 50 personnel spread among these series;
- Increase the capability of the acquisition workforce by investing in training to close identified gaps in such areas as project management, negotiations, requirements development, contract management, and other key topics;
- Increase the effectiveness of the acquisition workforce by investing in improvements to systems that support the contracting function;
- Conduct an assessment of options for creating systems to maintain comprehensive acquisition workforce data and selecting the appropriate system; and
- Increase the effectiveness of the Department's centralized acquisition workforce training program comprised of certification, targeted, and continuous learning developmental training opportunities.

Impact on Performance (Relationship of Increase to Strategic Goals)

The FY 2011 funding request will help ensure:

- The future programmatic growth capacity for training, recruitment, and retention activities while attracting and hiring qualified members of the acquisition workforce as defined by the Office of Federal Procurement Policy Act. These funds allow DHS the ability to train, recruit, and retain at acceptable standards is at risk.
- The expansion of the acquisition workforce to include Test and Evaluation, Logistics, Systems Engineering, and Program Cost Estimating. These funds allow DHS the ability to expand the acquisition workforce is at risk.
- The sustainability and availability of information technology systems and equipment in support of acquisition workforce effectiveness or for management solutions to improve acquisition management.
- The continued expansion of the Acquisition Professional Career Program to a planned three-year end strength of 300 participants by FY 2011, graduating 100 specialists annually. This program is the DHS acquisition succession

management plan that allows the Department to reach the targeted end-strength without jeopardizing the workforce’s ability to manage the acquisitions.

Program Decrease #1: Contractor Support
 PPA: Immediate Office of the USM
 Program Decrease: Positions - 0 FTE - 0 Dollars –(\$128)

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	313
Program Decrease	-	-	-	-	-	-	-	-	(128)
Total Request	\$301	\$433	\$185

Description of Item

The Immediate Office of the Under Secretary for Management’s primary mission is to deliver quality administrative support services providing leadership and oversight for all departmental management functions which include information technology, security, budget and financial management, procurement and acquisition, human capital, and administrative services. DHS is proposing to offset the \$128K by reducing services in the program support contract services area.

Impact on Performance (Relationship of Increase to Strategic Goals)

In FY 2011, the Immediate Office of USM’s budget can absorb the offset due to scaling back contractor support services towards the following tasking:

- Monitoring the GAO High Risk Area corrective action plans that are critical for reducing the Department’s susceptibility to fraud, waste, abuse, and mismanagement.
- Supporting the Quadrennial Homeland Security Review with subject matter expertise that considers the strategic role for management functions which most efficiently support DHS component missions and National Security goals.
- Further developing performance management capability and participate in the Department’s Performance Improvement Council in order to hold Department-wide management officials accountable for delivered services and operational outcomes.

Program Decrease #2: Internal Controls

PPA: Office of the Chief Administrative Officer

Program Decrease: Positions - 0 FTE - 0 Dollars –(\$400)

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	400
Program Decrease	-	-	-	-	-	-	-	-	(400)
Total Request	2	2	\$392	2	2	\$400	\$0

Description of Item

The internal controls group works closely with the CFO Internal Controls team to ensure the proper execution of controls outlined in OMB Circular A-123. This is the circular that defines management's responsibility for internal control in Federal agencies and is the federal government's response to the Sarbanes-Oxley Act of 2002 that specifies internal control requirements for publicly traded companies.

Two FTE from the OCAO liaise between the CFO Office of Internal Controls and the OCAO program offices relative to the development and monitoring of Management Action Plans. In addition, the FTE also assist the Asset Management program office with developing solutions to identify weaknesses within the asset management area.

Currently the internal controls group is focused on the following:

- 1) The FY 2008 Secretary's assurance letter that identified the following material weakness: "Asset and other material oversight and laptop security." The internal controls group is responsible for coordinating the response to and the plan for the resolution of those weaknesses.
- 2) The IG is in the process of issuing a final report on weapons security. The initial out briefs on the investigation indicate there are significant issues with regard to the security of weapons within the components relative to the department having sufficient policies, controls, and monitoring of compliance by several components. The internal controls group is currently involved in working with the IG, HQ Personal Property group, and the field components to implement a plan to resolve the issues that are raised in the IG report.

Impact on Performance (Relationship of Increase to Strategic Goals)

OCAO will deal with problem areas that surface through GAO audits or IG investigations as they arise.

Program Decrease #3: Eliminate Decision Support & System Development

PPA: Office of the Chief Administrative Officer

Program Decrease: Positions - 0 FTE - 0 Dollars -(\$78)

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	...
Program Decrease	-	-	-	-	-	-	-	-	(78)
Total Request	(\$78)

Description of Item

This element supports the deployment of the Environmental Planning Decision Support System (DSS), which has been under development for the past five years. The DSS is a tool that would be used to provide consistent application of Categorical Exclusions throughout the department – (75% of the environmental planning work that is performed in DHS is through the use of categorical exclusions – approximately 30,000 per year), and promotes functional integration of DHS-wide processes. It leverages scarce resources by its accessibility to non-environmentally-trained personnel, and is a tool for personnel to use in-house, rather than contracting for expensive consulting services. Estimated cost avoidances (not using outside contractors) range from 40-70% of document costs (which vary from \$30,000-\$300,000 each depending on the complexity of analysis), and personnel time savings (having a vetted, defined process) range from 50-100% of personnel salaries (vary from GS-12 to GS-15, spending 20-40 hours per document).

The National Environmental Policy Act (NEPA) of 1969 and the National Historic Preservation Act (NHPA) of 1966 require the federal government to consider the impacts of actions on the environment (both natural/human) and historic places. Soon after DHS was formed, a large number of diverse activities were recognized with limited resources that needed this review. Furthermore, government and contractor personnel with diverse training and experience were involved in the reviews. Based on a recommendation from the Environmental Planning and Historic Preservation (EP&HP) Committee, DHS began the development of an automated system to establish a common process to review and document a basic level of NEPA and NHPA project review, as well as share the results among the components. The DSS focuses on determining whether a project may be categorically excluded from more extensive review under NEPA - a process occurring over 30,000 times a year in DHS.

The Environmental Planning and Historic Preservation DSS is used to provide consistent application of Categorical Exclusions (CATEXs) throughout the department. It documents the uses of CATEXs, and acts as a starting point for formal environmental assessments leading to a “Finding of No Significant Impact” or “Environmental Impact” statements. The system uses decision-tree logic to guide users through a basic

environmental planning and historic preservation review. At the end the user is advised if a CATEX can be used for the proposed action or if more extensive review is needed.

Impact on Performance (Relationship of Decrease to Strategic Goals)

The implementation of the software modifications will be delayed and the deployment schedule will be postponed to absorb the offset.

Program Decrease #4: Eliminate Environmental Planning and Historic Preservation (EP & HP) Program Management Support
 PPA: Office of the Chief Administrative Officer
 Program Decrease: Positions - 0 FTE - 0 Dollars –(\$160)

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	...
Program Decrease	-	-	-	-	-	-	-	-	(160)
Total Request	(\$160)

Description of Item

The Environmental Planning and Historic Preservation Program Management Support, is a contract effort that ensures DHS-wide compliance with over 80 laws and executive orders, and hundreds of associated regulations. For example, some of the laws include:

- National Environmental Policy Act
- Flood Plain Management Act
- Clean Air Act
- Clean Water Act
- Risk and vulnerability requirements related to protection of physical infrastructure

DHS HQ Environmental Planning directly supports DHS mission activities such as law enforcement operations, training, regulatory policy development, grant programs, asset management, and research and development efforts.

The Historic Preservation Program ensures compliance with 13 laws and executive orders, with many associated regulations, relevant to historic preservation and cultural resources management. Among the requirements are:

- National Historic Preservation Act
- Native American Graves Protection and Repatriation Act
- Archeological Resources Protection Act
- American Indian Religious Freedom Act
- Abandoned Shipwreck Act

In particular, the NHPA requires federal agencies to study the consequences of a proposed action on historic properties, including Native American sites, while

simultaneously providing the general public with a means to legally enjoin the federal government from taking that proposed action. In addition, the new Executive Order 13423 - Strengthening Federal Environmental, Energy and Transportation Management - and Executive Order 13287 – Preserve America - also further emphasize the importance of considering the potential for adverse effects on historic properties in the development of federal programs and activities. This E.O. requires the establishment of organizational processes and systems to continually emphasize the objective of minimizing the impact of federal activities.

The Historic Preservation Program ensures that new and existing DHS asset management and grant programs comport with the requirements of law and public policy established for the preservation of historic properties, including Native American sites. The DHS HQ Historic Preservation Program supports DHS activities such as law enforcement operations, grant programs, regulatory policy development, and asset management. This program supports public assistance grants for the Gulf Coast Recovery efforts, Headquarters Consolidation at St. Elizabeths, management of historic border stations, the REAL ID rulemaking, the NBAF (\$450M construction project), SBI and SBI.net.

Reliability is ensured through centralized oversight of related program performance in components, representation of DHS interests with external regulators, maintaining functional competencies among component staff, and consistent requirements in unified department-wide policies and procedures. Cost efficiency is gained through standardized procedures, identification and dissemination of best practices. Timely support is provided by integration of program requirements into the planning and development phases of component level activities. This environmental planning and historic preservation program reduces risk of legal liabilities and enhances relations with the stakeholders and communities where DHS operates. For example, the contract effort supported:

- A program to lease out historic lighthouse properties, negotiated with consultation from DHS HQ, providing the maintenance and preservation of these properties by qualified organizations at no cost to the federal government.
- The Gulf Coast Recovery effort as DHS HQ negotiated, with the Advisory council on Historic Preservation, an expedited review process for properties to be demolished enabling the historic preservation review to occur at a rate of an unprecedented 120 properties per hour. An expedited historic preservation review effort in St. Bernard and Plaquemines Parishes cleared over 7,300 properties in less than 15 days.

Impact on Performance (Relationship of Decrease to Strategic Goals)

No performance results will be demonstrated as this program is being eliminated. However, human capital resources will be redirected to other priority projects within the OCAO.

Program Decrease #5: Eliminate Technical & Program Support
 PPA: Office of the Chief Administrative Officer
 Program Decrease: Positions - 0 FTE - 0 Dollars –(\$300)

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	...
Program Decrease	-	-	-	-	-	-	-	-	(300)
Total Request	(\$300)

Description of Item

Within the DHS HQ Environmental Planning, NEPA is the only law that requires federal agencies to study the consequences of a proposed action on the surrounding human and natural environment, while simultaneously providing the general public with a means to legally enjoin the federal government from taking that proposed action. In addition, a new Executive Order 13423 - Strengthening Federal Environmental, Energy and Transportation Management – was issued in 2007 to further emphasize the importance of considering the potential for adverse effects to communities, public health, and the natural environment in the development of federal programs and activities. This E.O. requires the establishment of organizational processes and systems to continually emphasize the objective of minimizing the impact of federal activities on the environment.

The DHS HQ Environmental Planning Program minimizes impediments to mission execution. Reliability is ensured through oversight of related program performance in components, representation of DHS interests with external regulators and White House organizations (e. g., the Office of the Federal Environmental Executive, Council on Environmental Quality, Environmental Protection Agency, and the Department of the Interior), maintaining functional competencies among component staff and establishing consistent requirements in unified department-wide policy and procedures. Cost efficiency is gained through standardized procedures, identification and dissemination of best practices and automated systems for decision support and knowledge dissemination. Timely support is provided by integration of legal and policy requirements into the planning and development phases of component level activities, where the most effective accommodation is offered through the provision of automated decision support capabilities. This program functions to reduce risk of legal liabilities, lower long term operating costs and enhance relations with the stakeholders and communities where DHS operates.

Following are examples of DHS HQ Environmental Planning Program support:

- In the Gulf Coast Recovery effort, over 20,000 applications for public assistance have received environmental review. Through the use of cost effective

programmatic review processes, environmental review for temporary housing sites in Mississippi enabled the processing of over 57 site-specific applications in approximately two months, compared to site-by-site environmental review used elsewhere that can add 4-6 months of time to the processing of each application. Alternative arrangements (negotiated by DHS HQ) for the expeditious processing of grants for the recovery of 126 public schools in Orleans Parish have enabled two to four month environmental review processes, where up to 18 months may have been necessary under standard review processes.

- For the construction of border infrastructure, the identification of potential adverse effects on communities and natural resources through environmental planning (as standardized and over sighted by DHS HQ) resulted in a \$280M cost saving project change, reducing an estimated \$400M construction cost of border infrastructure between Yuma and Douglas, Arizona, to about \$120M.
- Through expedited procedures, about 90% of disaster mitigation grants, that might typically require 6-9 months for extensive environmental review, are categorically excluded, resulting in an average of 4 days of environmental review per grant application.

Impact on Performance (Relationship of Decrease to Strategic Goals)

No performance results will be demonstrated as this program is being eliminated.

Program Decrease #6: Eliminate System Administration for EP & HP

PPA: Office of the Chief Administrative Officer

Program Decrease: Positions - 0 FTE - 0 Dollars -(\$110)

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	...
Program Decrease	-	-	-	-	-	-	-	-	(110)
Total Request	(\$110)

Description of Item

This element supports the administration, operation and maintenance of the Environmental Planning DSS that is currently under development.

The Environmental Planning and Historic Preservation DSS, used to provide consistent application of Categorical Exclusions (CATEXs) throughout the department, documents the uses of CATEXs, and acts as a starting point for formal environmental assessments leading to a “Finding of No Significant Impact” or “Environmental Impact” Statements. The system uses decision-tree logic to guide users through a basic environmental

planning and historic preservation review. At the end the user will be told if a CATEX can be used for the proposed action, or if more extensive review is needed.

The nearly complete system underwent a user group review in late July 2009. The software is currently being modified, based on the comments received.

Impact on Performance (Relationship of Decrease to Strategic Goals)

No performance results will be demonstrated as this program is being eliminated.

Program Decrease #7: OCHCO – Human Resources Operations
 PPA: Office of the Chief Human Capital Officer
 Program Decrease: Positions - 0 FTE - 0 Dollars –(\$1,150)

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	33	33	10,513
Program Decrease	-	-	-	-	-	-	0	0	(1,150)
Total Request	\$9,783	\$10,000	33	33	\$9,363

Description of Item

The Human Capital Operations account reflects a decrease of \$1.15M due to planned cost savings achieved through implementation of the Department’s Balanced Workforce Strategy.

Impact on Performance (Relationship of Decrease to Strategic Goals)

The Human Capital Operations budget can absorb the offset due to anticipated cost savings resulting from 15 planned contractor conversions. There is no negative impact to the OCHCO performance.

Program Decrease #8: Centralized Training
 PPA: Office of the Chief Procurement Officer
 Program Decrease: Positions - 0 FTE - 0 Dollars –(\$1,479)

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	\$7,000
Program Decrease	-	-	-	-	-	-	-	-	(1,479)
Total Request	\$5,500	\$5,700	\$5,521

Description of Item

The acquisition workforce centralized training program benefits the entire acquisition workforce across all Department components. It is anticipated that the FY 2011 funding will continue ongoing efforts started in FY 2010 and prior years. The centralized training program includes all certification, continuous learning and acquisition specific targeted training through partnerships with the Defense Acquisition University, the Federal Acquisition Institute and commercial vendors. For FY 2010, the training program will provide:

- Over 7000 seats in 260 commercial vendor classes;
- In partnership with the Defense Acquisition University:
 - 923 quota allocations for classes (FY2010) across all acquisition career fields in Defense acquisition courses;
 - Training delivery in the Program Management 100 level certification courses (HSAC101 and HSPM102);
 - Continuous curriculum update of these 100 level courses;
 - Curriculum development of 2 X 200 level certification courses (HSAC201 and HSPM250);
 - Curriculum development of the 300 level certification courses (HSPM350);
 - Special set aside of a full DHS class section (30 students) of PMT352B, the 5 week DoD resident course, which meets DHS training requirements for level III certification;
 - Curriculum development of a 400 level course targeted for flag and SES ranks; and
 - The phased approach of a centralized registration system that will streamline the registration process, allow the Department to manage and forecast training needs more accurately, and prioritize students by urgency of needs.

Impact on Performance (Relationship of Decrease to Strategic Goals)

To accommodate the \$1.479M reduction in resources, the availability and enrollment in centralized training programs and acquisition workforce certifications across the following career fields will be scaled back: Test and Evaluation, Logistics, Systems Engineering and Business Cost Estimating and Financial Management.

Program Decrease #9: Acquisition Program Management Division (APMD) Contractor Support PPA:
Office of the Chief Procurement Officer
 Program Decrease: Positions - 0 FTE - 0 Dollars -(\$1,846)

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	15,436
Program Decrease	-	-	-	-	-	-	-	-	(1,846)
Total Request	18	9	\$3,100	38	38	\$13,635	38	38	\$14,027

Description of Item

The Acquisition Program Management Division provides the acquisition policy and oversight for DHS acquisition programs. Specifically, the team creates the DHS process for review and analysis of each major program, provides support and assistance for programs before exceeding budget or falling behind schedule. The team also creates a structure to ensure that DHS acquires the correct capability to meet its investment and acquisition decisions, performs oversight of program execution (conceptualization, initiation, design, development, test, contracting, production, deployment, logistics support, modification, and disposal), performs detailed review of major programs, provides advice and counsel to program management offices, and establishes acquisition policies and procedures.

Impact on Performance (Relationship of Decrease to Strategic Goals)

The offset will be absorbed by contractor support services. Contractor support services funding provides unique acquisition support from the Homeland Security Systems Engineering and Development Institute (SEDI), the Studies and Analyses Institute (SAI), and Federally Funded Research and Development Centers (FFRDC) analysts. APMD FFRDC support will be maintained by 10 contractors.

The major programs will be reviewed biannually throughout FY 2011.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
Justification of Proposed Changes in Salaries and Expenses
Appropriation Language**

For necessary expenses of the Office of the Under Secretary for Management, as authorized by sections 701 through 705 of the Homeland Security Act of 2002 (6 U.S.C. 341 through 345), \$242,733,000, of which not to exceed \$3,000 shall be for official reception and representation expenses: Provided, That of the total amount, \$5,500,000 shall remain available until expended solely for the alteration and improvement of facilities, tenant improvements, and relocation costs to consolidate Department headquarters operations at the Nebraska Avenue Complex; and \$17,641,000 shall remain available until expended for the Human Resources Information Technology program.

For an additional amount for the Office of the Under Secretary for Management, \$24,235,700, to increase the Department's acquisition workforce capacity and capabilities: Provided, That such funds may be transferred by the Secretary to any other account in the Department to carry out the purposes provided herein: Provided further, That such transfer authority is in addition to any other transfer authority provided in this Act: Provided further, That such funds shall be available only to supplement and not to supplant existing acquisition workforce activities: Provided further, That such funds shall be available for training, recruitment, retention, and hiring additional members of the acquisition workforce as defined by the Office of Federal Procurement Policy Act, as amended (41 U.S.C. 401 et seq.): Provided further, That such funds shall be available for information technology in support of acquisition workforce effectiveness or for management solutions to improve acquisition management.

B. FY 2010 to FY 2011 Budget Change

**Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2009 Actual	511	421	\$212,521
FY 2010 Enacted	734	637	\$254,190
Adjustments-to-Base			
Increases			
Annualization of prior year part year funding.....	---	97	13,001
Annualization of 2010 pay raise.....	---	---	503
2011 pay increase.....	---	---	1,054
GSA Rent.....	---	---	224
Working Capital Fund	---	---	254
¹ DHS Balanced Workforce Strategy	212	162	---
Total Increases.....	<u>212</u>	<u>259</u>	<u>15,036</u>
Decreases			
Non Recurring HSPD-12	---	---	(20,000)
OCHCO Salaries & Expenses	---	---	(842)
Total Decreases.....	<u>---</u>	<u>---</u>	<u>(20,842)</u>
Total Adjustments-to-Base	<u>212</u>	<u>259</u>	<u>(\$5,806)</u>
2011 Current Services	946	896	\$248,384
Program Changes			
Program Increases/(Decreases)			
CPO Acquisition Workforce.....	150	150	24,236
USM Front Office Contractor Support.....	---	---	(128)
CAO Internal Controls.....	---	---	(400)
CAO Decision Support and System Development.....	---	---	(78)
CAO EP&HP Program Management Support.....	---	---	(160)
CAO Technical & Program Support.....	---	---	(300)
CAO System Administration for EP&HP.....	---	---	(110)
Human Capital Operations.....	---	---	(1,150)
CPO Centralized Training.....	---	---	(1,479)
CPO Contractor Support.....	---	---	(1,846)
Total Program Changes	<u>150</u>	<u>150</u>	<u>\$18,585</u>
2011 Request	1,096	1,046	\$266,969
2010 to 2011 Total Change	362	409	\$12,779

Note: ¹Increase in Federal Staff is to reduce the reliance on contractor support in line with the DHS Balanced Workforce Strategy

C. Summary of Requirements

**Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
Summary of Requirements
(Dollars in Thousands)**

	2011 Request		
	Perm. Pos.	FTE	Amount
FY 2009 Actual	511	421	\$212,521
2010 Enacted	734	637	\$254,190
Adjustments-to-Base (See "FY 2010 to FY 2011 Budget Change" for details)			
Increases	212	259	15,036
Decreases	---	---	(20,842)
Total Adjustments-to-Base	212	259	(5,806)
2011 Current Services	946	896	\$248,384
Program Changes (See "FY 2010 to FY 2011 Budget Change" for details)	150	150	18,585
2011 Total Request	1,096	1,046	\$266,969
2010 to 2011 Total Change	362	409	12,779

Estimates by Program/Project Activity	2010 Enacted			2011 Adjustments-to-Base			2011 Program Change			2011 Request			2010 to 2011 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Immediate Office of the USM	13	13	\$2,864	---	---	\$34	---	---	(\$128)	13	13	\$2,770	---	---	(\$94)
2 Office of Administration	87	80	44,491	-	7	499	-	-	(1,048)	87	87	43,942	-	7	(549)
3 DHS HQ NAC Consolidation Project	-	-	5,500	-	-	-	-	-	-	-	-	5,500	-	-	-
4 Office of Human Capital	93	89	25,473	15	19	676	-	-	(1,150)	108	108	24,999	15	19	(474)
Office of Human Capital -															
5 Human Resources Information Technology	-	-	17,131	25	25	-	-	-	-	25	25	17,131	25	25	-
6 Office of Procurement	354	282	68,538	100	122	10,314	150	150	20,911	604	554	99,763	250	272	31,225
7 Office of Security	187	173	90,193	72	86	(17,329)	-	-	-	259	259	72,864	72	86	(17,329)
Total	734	637	\$254,190	212	259	(\$5,806)	150	150	\$18,585	1,096	1,046	\$266,969	362	409	\$12,779

Note:

American Recovery and Reinvestment Act (ARRA)	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011			
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Program Changes		Adjustments-to-Base	
							AMOUNT	FTE	AMOUNT	FTE
St. Elizabeths Project	---	199,688	---	---						
Total	---	\$199,688	---	---						

¹ The FY 2009 ARRA supplemental was appropriated in the amount of \$200M.

D. Summary of Reimbursable Resources

Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
 Summary of Reimbursable Resources
 (Dollars in Thousands)

Collections by Source	FY 2009 Actual			2010 Revised Estimate			2011 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
United States Coast Guard	---	---	6,431	---	---	4,795	---	---	4,862			67
Office of Inspector General	---	---	244	---	---	335	---	---	340	---	---	5
Federal Law Enforcement Training Center	---	---	324	---	---	100	---	---	101	---	---	1
Customs and Border Protection	---	---	6,899	---	---	4,212	---	---	4,271	---	---	59
Science and Technology	1	1	887	---	---	947	---	---	960	---	---	13
Immigration and Customs Enforcement	---	---	6,282	---	---	2,139	---	---	2,169	---	---	30
United States Citizenship and Immigration Services	---	---	2,201	---	---	2,283	---	---	2,315	---	---	32
US Visit	---	---	846	---	---	101	---	---	102	---	---	1
Transportation Security Administration	---	---	1,791	---	---	1,915	---	---	1,942	---	---	27
Intelligence and Analysis	---	---	1,445	---	---	1,441	---	---	1,461	---	---	20
Federal Emergency Management Agency	---	---	3,876	---	---	2,264	---	---	2,296	---	---	32
Domestic Nuclear Detection Office	---	---	422	---	---	435	---	---	441	---	---	6
National Protection and Programs Directorate	---	---	1,858	---	---	1,896	---	---	1,923	---	---	27
Office of Health Affairs	---	---	206	---	---	253	---	---	257	---	---	4
Department of National Intelligence	---	---	97	---	---	98	---	---	100	---	---	2
Executive Office of the President	---	---	---	---	---	1	---	---	1	---	---	---
Total Budgetary Resources	1	1	\$33,809	---	---	\$23,215	---	---	\$23,541	---	---	\$326

Obligations by Program/Project Activity	FY 2009 Actual			2010 Revised Estimate			2011 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Office of the Chief Security Officer	-	-	4,580	-	-	99	-	-	101	-	-	2
Office of the Chief Administrative Officer	-	-	27,697	-	-	23,116	-	-	23,440	-	-	324
Office of the Human Capital Officer	1	1	1,532	-	-	-	-	-	-	-	-	-
Total Obligations	1	1	\$33,809	---	---	\$23,215	---	---	\$23,541	---	---	\$326

Explanation of Increase/Decrease.

Office of the Chief Security Officer: Increased costs due to inflation

Office of the Chief Administrative Officer: Increased costs due to inflation

E. Summary of Requirements by Object Class

Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actual	2010 Enacted	FY 2011 Request	2010 - 2011 Change
11.1 Total FTE & personnel compensation	40,663	74,450	114,713	40,263
11.3 Other than full-time permanent	639	905	482	(423)
11.5 Other Personnel Compensation	1,776	1,073	1,120	47
11.8 Special Service Pay	39	-	-	-
12.1 Benefits	11,417	22,124	34,892	12,768
13.0 Benefits - former	-	-	-	-
Total, Personnel Comp. & Benefits	\$54,533	\$98,552	\$151,207	\$52,655
Other Object Classes:				
21.0 Travel	775	1,153	1,508	355
22.0 Transportation of things	1,240	3,781	3,835	54
23.1 GSA rent	9,942	17,085	20,239	3,154
23.2 Other rent	4,909	49	50	1
23.3 Communications, utilities, & other misc. charges	304	5,739	5,816	77
24.0 Printing and reproduction	185	210	215	5
25.1 Advisory and assistance services	43,321	65,794	23,875	(41,919)
25.2 Other services	37,118	36,665	27,964	(8,701)
25.3 Purchases of goods & svcs. from Gov't accounts	50,693	20,011	25,552	5,541
25.4 Operation & maintenance of facilities	763	---	---	---
25.6 Medical care	48	---	43	43
25.7 Operation and maintenance of equipment	6,122	935	505	(430)
25.8 Subsistence and support of persons	---	---	---	---
26.0 Supplies and materials	1,144	1,238	1,170	(68)
31.0 Equipment	1,422	2,978	4,990	2,012
Total, Other Object Classes	\$157,987	\$155,638	\$115,762	(\$39,876)
Total, Direct Obligations	\$212,521	\$254,190	\$266,969	\$12,779
Unobligated balance, start of year	(1,098)	(4,724)
Unobligated balance, end of year	4,724
Recoveries of prior year obligations	(24,711)
Total requirements	\$191,436	\$249,466	\$266,969	

F. Permanent Positions by Grade

**Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
Permanent Positions by Grade**

Grades and Salary Ranges	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	21	22	22	---
Total, EX	2	10	14	4
GS-15	78	162	181	19
GS-14	168	165	165	---
GS-13	98	92	168	76
GS-12	32	57	92	35
GS-11	2	35	144	109
GS-10	---	---	9	9
GS-9	6	89	109	20
GS-8	---	---	4	4
GS-7	100	100	187	87
GS-6	---	1	1	---
GS-5	1	---	---	---
GS-4	2	---	---	---
GS-3	---	---	---	---
GS-2	1	1	---	(1)
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	511	734	1,096	362
Unfilled Positions EOY	15	97	50	(47)
Total Perm. Employment EOY	496	637	1,046	409
FTE	421	637	1,046	409
Headquarters	511	734	1,096	362
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	511	734	1,096	362
Average ES Salary	\$ 159,617	\$ 174,945	\$ 180,895	\$ 5,950
Average GS Salary	\$ 89,377	\$ 109,905	\$ 98,303	\$ (11,602)
Average GS Grade	13	14	13	

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

**Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
Immediate Office of the USM
Funding Schedule
(Dollars in Thousands)**

PPA: Immediate Office of the USM		2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Object Classes:					
11.1	Perm Positions	1,050	1,173	1,217	44
11.3	Other than perm	44	258	118	(140)
11.5	Other per comp	77	-	88	88
11.8	Spec Srvc Pay	-	-	-	-
12.1	Benefits	256	275	360	85
13.0	Benefits-former	-	-	-	-
21.0	Travel	8	12	30	18
22.0	Transportation of things	8	---	---	---
23.1	GSA rent	227	266	242	(24)
23.2	Other rent	---	---	---	---
23.3	Communication, Utilities, and misc charges	---	---	---	---
24.0	Printing	15	14	14	---
25.1	Advisory & Assistance Services	276	416	313	(103)
25.2	Other Services	17	---	---	---
25.3	Purchase from Govt. Accts.	266	425	362	(63)
25.4	Operation & maintenance of facilities	197	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	1	---	---	---
25.7	Operation & maintenance of equipment	---	---	---	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	30	25	26	1
31.0	Equipment	---	---	---	---
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, Immediate Office of the USM		\$2,471	\$2,864	\$2,770	(\$94)
Full Time Equivalents		11	13	13	---

PPA Mission Statement

The Immediate Office of the Under Secretary of Management (USM) ensures the Under Secretary for Management offices function effectively and efficiently in support of both the Department as a whole and the USM offices itself. The requested funding will allow the USM to manage the workload of the offices, respond quickly to queries from within and outside the Department, and further efforts for functional integration.

Summary Justification and Explanation of Changes

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Salaries and Benefits	\$1,426	\$1,706	\$1,783	\$77

Salaries and Benefits includes costs for 13 FTEs. The FY 2011 request includes an increase of \$77,000 for the proposed pay inflation and WCF increases.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Travel	\$8	\$12	\$30	\$18

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes increases of \$18,000 for anticipated travel.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Transportation of Things	\$8	\$0	\$0	\$0

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. There is no FY 2011 request.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
GSA Rent	\$227	\$266	\$242	(\$24)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes a decrease of \$24,000 in rent charges.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Printing	\$15	\$14	\$14	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. There is no change in the FY 2011 request.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Advisory and Assistance Services	\$276	\$416	\$313	(\$103)

Advisory and Assistance Services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY2011 request includes a decrease of \$103,000 in support contracts as outlined in the program justification section.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Other Services	\$17	\$0	\$0	\$0

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no FY 2011 request.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Purchases from Government Accounts	\$266	\$425	\$362	(\$63)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes a decrease of \$63,000 for less services received through other federal agencies.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Supplies & Materials	\$30	\$25	\$26	\$1

Supplies & Materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an increase of \$1,000 for anticipated increases of supplies and materials.

Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
Office of Administration
Funding Schedule
(Dollars in Thousands)

PPA: Office of Administration		2009	2010	2011	2010 to 2011
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	7,473	12,873	14,573	1,700
11.3	Other than perm	8	230	239	9
11.5	Other per comp	224	175	182	7
11.8	Spec Srvc Pay	-	-	-	-
12.1	Benefits	2,085	3,060	3,185	125
13.0	Benefits-former	-	-	-	-
21.0	Travel	66	44	324	280
22.0	Transportation of things	898	3,249	3,294	45
23.1	GSA rent	3,431	7,994	8,109	115
23.2	Other rent	4,811	49	50	1
23.3	Communication, Utilities, and misc charges	304	3,334	3,381	47
24.0	Printing	46	51	52	1
25.1	Advisory & Assistance Services	14,420	9,366	6,074	(3,292)
25.2	Other Services	2,500	453	459	6
25.3	Purchase from Govt. Accts.	5,568	3,070	3,113	43
25.4	Operation & maintenance of facilities	412	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	1	---	---	---
25.7	Operation & maintenance of equipment	744	7	7	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	223	284	188	(96)
31.0	Equipment	589	252	712	460
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, Office of Administration		\$43,803	\$44,491	\$43,942	(\$549)
Full Time Equivalents		65	80	87	7

PPA Mission Statement

Administrative Services establishes policy and procedures as well as provides both departmental leadership and oversight for all functional areas managed by the DHS Chief Administrative Officer (CAO) and Component Chief Administrative Officers. Functional areas include asset management (logistics, real estate, personal property, aviation, transportation, fleet, marine vessels), mail screening and delivery, occupational safety and health, environmental planning and management, historic preservation, energy management, records, directives, forms, library services, printing and graphics. In addition, OCAO also provides the day to day operational support for the departmental headquarters through our Administrative operations Branch and the start up components (I&A, NPPD, OPS, DNDO and S&T).

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Salaries and Benefits	\$9,790	\$16,338	\$18,179	\$1,841

Salaries and Benefits includes costs for 87 FTEs. The FY 2011 request includes an increase of \$1,841,000 for the annualization of 7 FTEs and estimated pay increases.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Travel	\$66	\$44	\$324	\$280

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes increases of \$280,000 for anticipated travel.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Transportation of Things	\$898	\$3,249	\$3,294	\$45

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes increases of \$45,000.00.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
GSA Rent	\$3,431	\$7,994	\$8,109	\$115

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes increases of \$115,000.00 in rent charges.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Other Rent	\$4,811	\$49	\$50	\$1

Other Rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request includes an increase of \$1,000 in inflation.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Communication, Utilities, and Misc. Charges	\$304	\$3,334	\$3,381	\$47

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request includes increases of \$47,000.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Printing	\$46	\$51	\$52	\$1

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes an increase of \$1,000 for additional printing.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$14,420	\$9,366	\$6,074	(\$3,292)

Advisory and Assistance Services include services acquired by contract from non-Federal sources (that is the private sector, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY2011 request includes a decrease of \$3,292.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Other Services	\$2,500	\$453	\$459	\$6

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes increases of \$6,000. for anticipated additional services.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Purchases from Government Accounts	\$5,568	\$3,070	\$3,113	\$43

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes an increase of \$43,000.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Medical Care	\$1	\$0	\$0	\$0

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. There is no request for FY2011.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Operation & Maintenance of Equipment	\$744	\$7	\$7	\$0

Operation & Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request does not include an increase. The total amount will remain at \$7,000.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Supplies & Materials	\$223	\$284	\$188	(\$96)

Supplies & Materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY2011 request includes a decrease of \$96,000 for supplies and materials.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Equipment	\$589	\$252	\$712	\$460

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes increases of \$460,000 for increased equipment purchases.

Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
DHS HQ NAC Project
Funding Schedule
(Dollars in Thousands)

PPA: DHS HQ NAC Project		2009	2010	2011	2010 to 2011
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	-	-	-	-
11.3	Other than perm	-	-	-	-
11.5	Other per comp	-	-	-	-
11.8	Spec Srvc Pay	-	-	-	-
12.1	Benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	---	---	---	---
22.0	Transportation of things	334	---	---	---
23.1	GSA rent	---	---	---	---
23.2	Other rent	---	---	---	---
23.3	Communication, Utilities, and misc charges	---	---	---	---
24.0	Printing	---	---	---	---
25.1	Advisory & Assistance Services	---	200	---	(200)
25.2	Other Services	---	---	---	---
25.3	Purchase from Govt. Accts.	28,731	5,300	5,500	200
25.4	Operation & maintenance of facilities	---	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	---	---	---	---
25.7	Operation & maintenance of equipment	---	---	---	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	---	---	---	---
31.0	Equipment	4	---	---	---
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, DHS HQ NAC Project		\$29,068	\$5,500	\$5,500	\$0
Full Time Equivalents		---	---	---	---

PPA Mission Statement

Nebraska Avenue Complex (NAC) - Headquarters facility for DHS. DHS presence at the Nebraska Avenue continues to expand as well as at other locations to meet current demand. Although the physical limitations of the NAC render it unsuitable as the permanent DHS headquarters, the facility at the NAC must sustain the operational capabilities for effective mission execution until the new consolidated headquarters at St. Elizabeths is constructed. The current facility at the NAC is an integral part of the Headquarters Consolidation Program. Current services investments will be leveraged for future use of the NAC to house certain mission support functions that do not relocate to St. Elizabeths.

Summary Justification and Explanation of Changes

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Transportation of Things	\$334	\$0	\$0	\$0

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. There is no FY 2011 request.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Advisory and Assistance Services	\$0	\$200	\$0	(\$200)

Advisory and Assistance Services for the NAC include the NAC portion of a Professional Services Contract for professional construction project and facility managers to support ongoing maintenance and renovation, as well as the reconfiguration, new construction, campus-wide security and electrical upgrades, and other facility maintenance and expansion issues. This category also includes the NAC portion of the Move Management contract that supports moves, relocations and reconfigurations, as well as a manager for the warehouse on campus - so that furniture and equipment can be re-used to the maximum ability, instead of purchasing new. Effective project management and oversight generally results in cost avoidance, and avoid costly errors and omissions. The FY 2011 Request includes an decrease of \$200,000 in support contracts.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Purchases from Government Accounts	\$28,731	\$5,300	\$5,500	\$200

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes an anticipated increase of \$200,000 for these types of services.

Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
Office of Human Capital
Funding Schedule
(Dollars in Thousands)

PPA: Office of Human Capital		2009	2010	2011	2010 to 2011
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	5,002	7,675	12,165	4,490
11.3	Other than perm	118	340	-	(340)
11.5	Other per comp	160	380	-	(380)
11.8	Spec Srvc Pay	-	-	-	-
12.1	Benefits	1,355	3,428	5,411	1,983
13.0	Benefits-former	-	-	-	-
21.0	Travel	130	362	155	(207)
22.0	Transportation of things	---	---	---	---
23.1	GSA rent	1,834	1,720	1,879	159
23.2	Other rent	25	---	---	---
23.3	Communication, Utilities, and misc charges	---	---	---	---
24.0	Printing	51	26	25	(1)
25.1	Advisory & Assistance Services	---	---	---	---
25.2	Other Services	6,381	7,241	1,108	(6,133)
25.3	Purchase from Govt. Accts.	4,455	3,584	4,121	537
25.4	Operation & maintenance of facilities	106	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	7	---	7	7
25.7	Operation & maintenance of equipment	1,658	430	---	(430)
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	203	287	128	(159)
31.0	Equipment	---	---	---	---
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, Office of Human Capital		\$21,485	\$25,473	\$24,999	(\$474)
Full Time Equivalents		43	89	108	19

PPA Mission Statement

The Office of Human Capital is organized around four major initiative areas (Talent Management, Performance Culture, Learning and Development, and Service Excellence) and is responsible for the implementation of the Human Capital Operational Plan, which contains specific actionable goals in support of the Human Capital Strategic Plan, the Strategy for Developing a Homeland Security University, the Secretary's Goals, and other Executive and Legislative Branch regulations and directives.

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Salaries and Benefits	\$6,634	\$11,823	\$17,576	\$5,753

Salaries and Benefits includes costs for 108 FTEs. The FY 2011 request includes annualized, payroll, and an increase in federal staff from contractor conversions. The FY 2011 requests covers the anticipated salary costs for these requirements.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Travel	\$130	\$362	\$155	(\$207)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes a decrease of \$207,000 for travel efficiencies.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
GSA Rent	\$1,834	\$1,720	\$1,879	\$159

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes an increase of \$159,000 for anticipated cost increases.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Other Rent	\$25	\$0	\$0	\$0

Other Rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 Request does not include any funding for Other Rent.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Printing	\$51	\$26	\$25	(\$1)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes a decrease of \$1,000 due to efficiencies.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Other Services	\$6,381	\$7,241	\$1,108	(\$6,133)

Other Services include report contractual services with non-Federal sources that are not otherwise classified. The FY 2011 request includes a decrease of \$6,133,000 due to reduced reliance on contractors.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Purchases from Government Accounts	\$4,455	\$3,584	\$4,121	\$537

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes an increase of \$537,000 for anticipated business with other government accounts.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Operation & Maintenance of Facilities	\$106	\$0	\$0	\$0

Operation & Maintenance of Facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. There is no FY 2011 request.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Medical Care	\$7	\$0	\$7	\$7

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request includes \$7,000 for anticipated shared services of medical care.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Operation & Maintenance of Equipment	\$1,658	\$430	\$0	(\$430)

Operation & Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$430,000 for anticipated reductions in O&M of equipment.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Supplies & Materials	\$203	\$287	\$128	(\$159)

Supplies & Materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2011 request includes a decrease of \$159,000 due to efficiencies.

Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
Office of Human Capital - Human Resources Information Technology
Funding Schedule
(Dollars in Thousands)

PPA: OCHCO - HRIT		2009	2010	2011	2010 to 2011
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	-	-	2,679	2,679
11.3	Other than perm	-	-	-	-
11.5	Other per comp	-	-	-	-
11.8	Spec Srvc Pay	-	-	-	-
12.1	Benefits	-	-	1,192	1,192
13.0	Benefits-former	-	-	-	-
21.0	Travel	---	---	10	10
22.0	Transportation of things	---	---	---	---
23.1	GSA rent	---	---	435	435
23.2	Other rent	---	---	---	---
23.3	Communication, Utilities, and misc charges	---	---	---	---
24.0	Printing	---	---	---	---
25.1	Advisory & Assistance Services	---	---	---	---
25.2	Other Services	11,942	17,131	11,725	(5,406)
25.3	Purchase from Govt. Accts.	---	---	1,065	1,065
25.4	Operation & maintenance of facilities	---	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	---	---	---	---
25.7	Operation & maintenance of equipment	3,306	---	---	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	---	---	25	25
31.0	Equipment	---	---	---	---
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, Office of Human Capital - HRIT		\$15,248	\$17,131	\$17,131	\$0
Full Time Equivalents		---	---	25	25

PPA Mission Statement

The Office of Human Capital is organized around four major initiative areas (Talent Management, Performance Culture, Learning and Development, and Service Excellence) and is responsible for the implementation of the Human Capital Operational Plan, which contains specific actionable goals in support of the Human Capital Strategic Plan, the Strategy for Developing a Homeland Security University, the Secretary's Goals, and other Executive and Legislative Branch regulations and directives.

Summary Justification and Explanation of Changes

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Salaries and Benefits	\$0	\$0	\$3,871	\$3,871

Salaries and Benefits includes costs for 25 FTEs. The FY 2011 request includes an increase of \$3,871,000 for 25 FTP/FTE.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Travel	\$0	\$0	\$10	\$10

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes increases of \$10,000 for anticipated travel.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
GSA Rent	\$0	\$0	\$435	\$435

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes increases of \$435,000 to cover the annual rent cost.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Other Services	\$11,942	\$17,131	\$11,725	(\$5,406)

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes a decrease of \$5,406,000 due to less contractual services anticipated.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Purchases from Government Accounts	\$0	\$0	\$1,065	\$1,065

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes an increase of \$1,065,000 for expected increase work with other federal accounts.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Supplies & Materials	\$0	\$0	\$25	\$25

Supplies & Materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2011 request includes an increase of \$25,000 for supplies and materials.

Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
Office of Procurement
Funding Schedule
(Dollars in Thousands)

PPA: Office of Procurement		2009	2010	2011	2010 to 2011
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	13,416	38,485	55,002	16,517
11.3	Other than perm	368	55	76	21
11.5	Other per comp	404	199	273	74
11.8	Spec Srvc Pay	39	-	-	-
12.1	Benefits	3,809	11,014	15,742	4,728
13.0	Benefits-former	-	-	-	-
21.0	Travel	252	290	537	247
22.0	Transportation of things	---	---	---	---
23.1	GSA rent	1,342	3,000	5,400	2,400
23.2	Other rent	40	---	---	---
23.3	Communication, Utilities, and misc charges	---	---	---	---
24.0	Printing	28	34	37	3
25.1	Advisory & Assistance Services	1	1	1	---
25.2	Other Services	15,963	10,889	13,721	2,832
25.3	Purchase from Govt. Accts.	2,994	3,862	7,592	3,730
25.4	Operation & maintenance of facilities	39	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	12	---	12	12
25.7	Operation & maintenance of equipment	---	---	---	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	402	339	500	161
31.0	Equipment	---	370	870	500
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, Office of Procurement		\$39,107	\$68,538	\$99,763	\$31,225
Full Time Equivalents		152	282	554	272

PPA Mission Statement

Office of the Chief Procurement Officer (OCPO) establishes the acquisition regulations, policies and procedures for DHS. It oversees the Department's acquisition programs and assists the acquisition community with implementing difficult and complex procurements to reduce risk and ensure success. OCPO has implemented a centrally funded and managed Acquisition Professional Career Program modeled after the highly successful Navy Intern Program. This program features three, single year rotations through various components and provides these Interns with all the experience and training they need to become journeymen level acquisition professionals. Additionally, OCPO strategically sources common items across DHS to create more efficient procurements, manage DHS' competitive sourcing actions, and reports externally on DHS progress. OCPO is also responsible for acquisition workforce planning, centralized acquisition workforce recruitment, training; and manages the Acquisition Professional Career Program (APCP).

Summary Justification and Explanation of Changes

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Salaries and Benefits	\$18,035	\$49,753	\$71,093	\$21,340

Salaries and Benefits total \$71,093,000 for 604 FTP/ 554 FTE. This represents an increase over FY2010 payroll costs for inflation and annualizations. The FY 2011 request will cover the cost of additional FTE for the Acquisition Professional Career Program (APCP) and APMD which will bolster the Acquisition Workforce.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Travel	\$252	\$290	\$537	\$247

Travel funds in the amount of \$537,000 are sufficient to cover costs associated with formal and certification training, site visits, acquisition review boards and other programmatic travel requirements for annualized FTE and the new FTE from increasing the Acquisition Workforce. This reflects a change of \$247,000 over the FY2010 funding level.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
GSA Rent	\$1,342	\$3,000	\$5,400	\$2,400

There is sufficient funding available in the amount of \$5,400,000 to cover rent expenses for FY2011. Funding increases in FY 2011 reflect expected increases in rent. This is a change of \$2,400,000 above FY 2010.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Printing	\$28	\$34	\$37	\$3

Funding in the amount of \$37,000 is sufficient to cover printing costs for FY2011. The FY2011 request is \$3,000 more than FY 2010 and will cover the anticipated increased cost for this shared service.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$1	\$1	\$1	\$0

Advisory and Assistance Services include services acquired by contract from non-Federal sources (that is the private sector, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Funding for Advisory and Assistance Services does not include an increase in the FY 2011 request. The total amount will remain at \$1,000.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Other Services	\$15,963	\$10,889	\$13,721	\$2,832

The FY 2011 request of \$13,721,000 includes funding for the centralized training program which provides acquisition training to all DHS personnel and \$1.3 M in associated contract support. The FY 2011 request is \$2,832,000 more than the FY2010 funding level.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$2,994	\$3,862	\$7,592	\$3,730

In accordance with A-11, this category is appropriate to reflect the funding for the Acquisition Program Management Division in acquiring acquisition support from the Systems Engineering & Development Institute (SEDI), the Studies & Analysis Institute, and Federally Funded Research & Development Centers (FFRDC). This funds critical, unique acquisition support necessary for the review of 67 major programs considered critical to the DHS mission. The FY 2011 request is \$3,730,000 more than the FY 2010

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Operation & Maintenance of Facilities	\$39	\$0	\$0	\$0

Operation & Maintenance of Facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. There is no FY 2011 request.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Medical Care	\$12	\$0	\$12	\$12

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. There is an increase in medical care costs to accommodate the increase in staff.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Supplies & Materials	\$402	\$339	\$500	\$161

The FY 2011 request of \$500,000 to support all OCPO personnel and any additional requirements for the Office of Selective Acquisitions. The increase of \$161,000 is associated with the requirements of bolstering the Acquisition Workforce.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Equipment	\$0	\$370	\$870	\$500

Funding for new equipment is requested in the amount of \$870,000 for the systems and equipment required for the enhancement of the Acquisition Workforce. This funding ensures the proper infrastructure is in place and maintained by increasing \$500,000 from the FY 2010 level.

Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
Office of Security
Funding Schedule
(Dollars in Thousands)

PPA: Office of Security		2009	2010	2011	2010 to 2011
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	13,722	14,244	29,077	14,833
11.3	Other than perm	101	22	49	27
11.5	Other per comp	912	319	577	258
11.8	Spec Srvc Pay	-	-	-	-
12.1	Benefits	3,912	4,347	9,002	4,655
13.0	Benefits-former	-	-	-	-
21.0	Travel	318	445	452	7
22.0	Transportation of things	---	532	541	9
23.1	GSA rent	3,107	4,105	4,174	69
23.2	Other rent	33	---	---	---
23.3	Communication, Utilities, and misc charges	---	2,405	2,435	30
24.0	Printing	46	85	87	2
25.1	Advisory & Assistance Services	28,623	55,811	17,487	(38,324)
25.2	Other Services	316	951	951	---
25.3	Purchase from Govt. Accts.	8,678	3,770	3,799	29
25.4	Operation & maintenance of facilities	11	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	27	---	24	24
25.7	Operation & maintenance of equipment	415	498	498	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	286	303	303	---
31.0	Equipment	830	2,356	3,408	1,052
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, Office of Security		\$61,338	\$90,193	\$72,864	(\$17,329)
Full Time Equivalents		150	173	259	86

PPA Mission Statement

The mission of the Office of Security is to secure the Department so the Department can secure the homeland. The Office of Security implements security programs that safeguard DHS personnel, property, facilities, and information. The Office develops, implements, and oversees the Department's security policies, programs, and standards; delivers security training and education to DHS personnel; and provides security support to DHS Components. Additionally, the Office investigates threats related to foreign intelligence, terrorism, and criminal activities within or directed against DHS.

Summary Justification and Explanation of Changes

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Salaries and Benefits	\$18,648	\$18,932	\$38,705	\$19,773

The FY 2011 request includes an increase in salaries and benefits of \$19,773,000. The request includes the annualizations of 14 FTEs, and an additional 72 FTP/FTE due to increase of federal staff through the reduced reliance on contractors.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Travel	\$318	\$445	\$452	\$7

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal Travel Regulations. The FY 2011 request includes anticipated travel costs and reflects a \$7,000 change from FY2010.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Transportation of Things	\$0	\$532	\$541	\$9

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes \$9,000 more than FY2010 for the projected costs associate with this object class.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
GSA Rent	\$3,107	\$4,105	\$4,174	\$69

GSA Rent estimates all payments to General Services Administration (GSA) for rental of space and rent related services. The FY2011 request includes an increase of \$69,000 for projected rent costs for the office

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Other Rent	\$33	\$0	\$0	\$0

Other Rent includes all payments to a non-Federal source for rental space, land, and structures. There is no anticipated costs for this object class in FY2011

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Communication, Utilities, and Misc. Charges	\$0	\$2,405	\$2,435	\$30

Communications, utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request includes an increase of \$30,000 for anticipated costs.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Printing	\$46	\$85	\$87	\$2

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes an increase of \$2,000 for non pay inflation.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Advisory and Assistance Services	\$316	\$55,811	\$17,487	(\$38,324)

Advisory and Assistance Services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY2011 request includes a reduction of \$38,324,000 in contractor support due to the reallocation of resources to fund an increased federal staff.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Other Services	\$8,678	\$951	\$951	\$0

Other Services include report contractual services with non-Federal sources that are not otherwise classified. The FY 2011 request is the same as in FY 2010.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Purchases from Government Accounts	8,678	\$3,770	\$3,799	\$29

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes \$29,000 for non pay inflation.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Operation & Maintenance of Facilities	\$11	\$0	\$0	\$0

Operation & Maintenance of Facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. There is no FY 2011 request.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Medical Care	\$27	\$0	\$24	\$24

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request includes \$24,000 more than FY 2010 for anticipated costs associated with this shared service.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$415	\$498	\$498	\$0

Operation & Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request is the same as in FY 2010.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Supplies & Materials	\$286	\$303	\$303	\$0

Supplies & Materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2011 request is the same as in FY 2010.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Equipment	\$830	\$2,356	\$3,408	\$1,052

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request is for additional costs anticipated.

I. Changes in Full-Time Equivalents

**Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
Changes in Full-Time Equivalents**

	FY 2009	FY 2010	FY 2011
Base: Year-end Actual from Prior Year	309	421	637
INCREASES			
Increase #1: Description: Annualizations of FY 2010 USM Federal Staff Increases	112	216	97
Increase #2: Description: Office of the Chief Procurement Officer - Intern Program			50
Increase #3: Description: Office of the Chief Security Officer - Contractor Conversions			72
Increase #4: Description: Office of the Chief Human Capital Officer - Contractor Conversions			40
Increase #5: Description: Office of the Chief Human Capital Officer - Acquisition Workforce			150
Sub-Total Increases	112	216	409
DECREASES			
Decrease #1: N/A Description:			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	421	637	1046

J. FY 2011 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2009 Actual	FY 2010 Enacted	FY 2011 Anticipated	Increase / Decrease for FY 2011
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Immediate Office of the USM	378	458	414	(44)
Office of Administration	7,317	12,961	8,518	(4,443)
DHS HQ NAC Project	-	-	-	-
Office of Human Capital	4,871	6,304	7,100	796
Office of Human Capital - Human Resources Information Technology	-	-	-	-
Office of Procurement	3,747	5,078	6,464	1,386
Office of Security	6,596	9,211	10,507	1,296
Total Working Capital Fund	\$22,909	\$34,012	\$33,003	(\$1,009)

DEPARTMENT OF HOMELAND SECURITY
Departmental Management and Operations
DHS HQ Consolidation



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

I. Appropriation Overview

A – Mission Statement for the DHS HQ Consolidation:

The DHS HQ Consolidation Project is responsible for the collocation and consolidation of the Department through the lease consolidation and build out of the St. Elizabeths campus. The DHS Management Directorate provides the coordination, planning, policy, guidance, operational oversight and support, and innovate solutions for the management needs of the entire Department for the One DHS campus.

The Department is requesting a new appropriation for this activity separate from the current appropriation for the Under Secretary for Management (USM). The DHS HQ Consolidation will provide the Department, the Office of Management and Budget (OMB), and Congress with improved visibility of the ongoing efforts for establishing a central DHS facility. Additionally, the new appropriation will allow the Department to facilitate better reporting and overall management of the program.

B – Budget Activities:

DHS Headquarters Consolidation – Mission Support

As part of the DHS National Capital Region Housing Master Plan, and in an effort to achieve a “One DHS” culture, the Department will consolidate existing leases of components that provide mission support functions from 46 locations to approximately eight with the appropriate Interagency Security Committee (ISC) criteria. This project is very important to the overall plan as 82% of the existing leases are expiring before 2015.

DHS Headquarters Consolidation – St. Elizabeths

With facilities dispersed over more than 46 locations throughout the National Capital Region, many with sub-optimal security protections, DHS will continue the development of the DHS Headquarters Consolidation at the St. Elizabeths Campus to house executive leadership, operations coordination, and policy and program management functions in a secure setting. This integrated approach will allow DHS to effectively communicate and engage in critical events as they occur and share such information to help secure America.

C – Budget Request Summary:

The Under Secretary for Management requests 0 positions, 0 FTE, and \$362.8M for FY 2011. The FY 2011 request includes program enhancements for the following projects:

- Support the consolidation of mission support elements not re-locating to the St. Elizabeths Campus. (0 positions, 0 FTE, and \$75M)
- Support the consolidation of DHS Headquarters to the St. Elizabeths campus. (0 positions, 0 FTE, and \$287.8M).

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Departmental Management and Operations
DHS HQ Consolidation**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
DHS HQ Consolidation Project - Mission Support	-	-	-	-	-	75,000	-	75,000		75,000	-	-
DHS HQ Consolidation Project - St. Elizabeths	-	-	-	-	-	287,800	-	287,800	-	287,800	-	-
Subtotal, Enacted Appropriations and Budget Estimates	---	\$0	---	\$0	---	362,800	---	362,800	---	362,800	---	\$0
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	---	\$0	---	\$0	---	\$362,800	---	\$362,800	---	\$362,800	---	\$0

III. Current Services Program Description by PPA

Department of Homeland Security
Departmental Management and Operations
DHS HQ Consolidation
Program Performance Justification
 (Dollars in Thousands)

PPA: DHS HQ Consolidation – Mission Support

	Perm. Pos	FTE	Amount
2009 Actuals
2010 Enacted
2011 Adjustments-to-Base
2011 Current Services
2011 Program Change	75,000
2011 Total Request	75,000
Total Change 2010 to 2011	75,000

The Under Secretary for Management requests \$75M for the DHS HQ Consolidation Mission Support Project. This request will allow for the consolidation of leases for the Department in accordance with the “One DHS” culture.

CURRENT SERVICES PROGRAM DESCRIPTION:

The DHS Headquarters Consolidation Project does not have current services funding for FY 2011.

FY 2009 Accomplishments

Developed the Department of Homeland Security (DHS) National Capital Region (NCR) Housing Master Plan to provide the strategic vision for facilities that support a unified department, organizational structure, operations and culture. The plan proposes to consolidate the remaining functions not relocating to St. Elizabeths to enhance performance across the spectrum of operations, through improved communications and coordination among all DHS Headquarters components:

- Developed a migration plan that consists of two phases for efficiently consolidating the leases at the lowest cost, the fewest locations possible and the fewest moves required; and
- Prepared and coordinated a 1.2 million rentable square feet (RSF) prospectus for lease authority to OMB.

FY 2010 Planned Accomplishments

- Develop the procurement plan for leasing the necessary office space for consolidation;

FY 2011 Planned Accomplishments

- Complete the acquisition of the leased space; and
- Complete the design and construction of phase 1; and
Begin the design for phase 2.

PPA: DHS HQ Consolidation – St. Elizabeths

	Perm. Pos	FTE	Amount
2009 Actuals
2010 Enacted
2011 Adjustments-to-Base
2011 Current Services
2011 Program Change	287,800
2011 Total Request	287,800
Total Change 2010 to 2011	287,800

The Under Secretary for Management requests \$287.8M for the DHS HQ Consolidation St. Elizabeths Project. This request will continue the build out of the St. Elizabeths campus.

CURRENT SERVICES PROGRAM DESCRIPTION:

The DHS Headquarters Consolidation Project does not have any current services funding for FY 2011.

FY 2009 Accomplishments

The FY 2009 appropriations bill and the American Recovery and Reinvestment Act initiated the execution phase of the St. Elizabeths development as the DHS Consolidated Headquarters Campus:

- With GSA, awarded the Design-Build Bridging Contract for the U. S. Coast Guard (USCG) Headquarters Building to Clark Design-Build, LLC of Bethesda MD (Clark Construction) with a total value of \$435.381M.
- Successfully concluded the planning, National Environmental Policy Act (NEPA), and Section 106 processes and received National Capital Planning Commission Approval for the St. Elizabeth’s Master Plan;
- Participated in the General Services Administration (GSA) Design Excellence Source Selection Panel for two Architectural Firms to design the remaining phases of development of the campus (one A/E to design Adaptive Reuse and the national

Operations center/Collocation of Component operations centers and one A/E to design the remaining new construction on the campus);

- Initiated the initial programming tasks for the National Operations Center (NOC) and Collocation of Component Operations Center Design effort;
- Initiated initial programming tasks for the FEMA Headquarters design; and

FY 2010 Planned Accomplishments

DHS will continue execution phase of the St. Elizabeths development as the DHS Consolidated Headquarters Campus as follows:

- Commence site development, complete design and commence construction of the USCG Headquarters Building and garage facility;
- Complete design of remaining Phase 1B shared use and special purpose facilities and award construction contracts for this development;
- Complete design of the NOC & Collocation of Component Operations Centers;
- Complete design of FEMA Headquarters Building; and
- Initiate design of the DHS Headquarters.

FY 2011 Planned Accomplishments

Currently there is no base funding in FY 2011 for the DHS HQ Consolidation Project. The FY 2011 request will continue the execution of the St. Elizabeths development for the DHS Consolidated Headquarters Campus as follows:

- Continuing Phase 1A and Phase 1B construction activities to meet the expected FY 2013 completion date;
- Procuring outfitting for the USCG Headquarters Building and special purpose spaces to meet an FY 2013 completion;
- Commencing Phase 2 Construction of the NOC/Collocation of Component Operations Centers, FEMA and the DHS Headquarters to meet an FY 2014 completion; and
- Continuing with campus infrastructure development

IV. Program Justification Changes

Department of Homeland Security Departmental Management and Operations DHS HQ Consolidation

Justification of Program Changes (Dollars in Thousands)

Program Increase #1: DHS HQ Consolidation – Mission Support
PPA: DHS HQ Consolidation Project – Mission Support
Program Increase: Positions - 0 FTE - 0 Dollars -\$75,000

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	-
Program Increase	-	-	-	-	-	-	-	-	75,000
Total Request	\$75,000

Description of Item

The Department of Homeland Security (DHS) National Capital Region (NCR) Housing Master Plan was developed to provide the strategic vision for facilities that support a unified department, organizational structure, operations and culture. The Plan was submitted to Congress on October 25, 2006 as required by Public Law 109-295. The plan outlines priorities of implementation and addresses the mission fragmentation caused by the Headquarters (HQ) elements being located in over 46 locations throughout the NCR.

To meet the component office space requirements through FY 2011 for headquarters facilities, the department will require about 8 million gross square feet (GSF) of office space in the NCR. While St. Elizabeths will accommodate the main Department and component HQ mission execution functions, it does not have the capacity to accommodate all of the DHS mission support elements. The DHS NCR Housing Master Plan proposes to consolidate the mission support elements that are currently dispersed throughout the NCR to support functional integration, improving the effectiveness and efficient management of the real estate portfolio.

Justification

The Department of Homeland Security (DHS) mission is to lead a unified national effort to secure America. Yet the Department's legacy facilities are dispersed throughout the

National Capital Region (NCR) with sub-optimal security protections that negatively impact critical communication, coordination, and cooperation across DHS components.

The Department will consolidate the mission execution functions of executive leadership, operations coordination, policy development and program management in an Interagency Security Committee (ISC) Level 5 secure campus setting at St. Elizabeths and the remaining mission support functions off campus in facilities that achieve the appropriate ISC criteria. Mission support consolidation will reduce the Department's overall security risk while improving response capability. It will also lower the total number of locations that house DHS components from 46 to approximately eight and incorporate the fact that more than 82% of the existing leases are expiring before FY 2015. In the first phase of the new lease alone, DHS will consolidate 15 leases in 500,000 RSF housing 5,140 employees. It will reduce fragmenting of component business units, standardize the work environment and improve communication and coordination across all DHS Headquarters. Consolidating aims to foster a "one-DHS" culture will optimize prevention and response capabilities across the spectrum of operations. The Mission Support consolidation plan has the potential to achieve over \$400M Net Present Value (NPV) savings/cost avoidances. It minimizes vacancy risk, short term lease extensions and multiple move requirements and forms the basis of the FY 2011 budget request.

DHS currently has over 10 space requests pending with GSA to accommodate existing requirements within the NCR that already exceed the capacities of the department's real estate portfolio. These requests, coupled with the existing 46 locations, have the potential to further exacerbate the challenges to the effective and efficient management of the portfolio in support of operations and integration. Without consolidation, as organizations mature and new program requirements develop, space requests will continue to be addressed with limited opportunities for strategic realignments and result in the lease renewals in an uncoordinated manner at higher overall costs and miss the opportunity to leverage existing federally owned and occupied locations. It is beneficial to gain from the opportunity to replace the large volume of expiring leases in a coordinated manner with the St. Elizabeths effort that takes financial advantage of the current depressed real estate market.

DHS plans to lease 1.2 million RSF of space with a two phase implementation schedule in calendar years 2013 and 2014. In cooperation with DHS and OMB, a Mission Support Consolidation Prospectus for lease authority was submitted by GSA to Congress on October 18, 2009 that will address the department's current housing needs through FY 2011. The prospectus is for leased office space and GSA will pass all cost to DHS and therefore, GSA will not request an appropriation. The FY 2011 request of \$75M initiates the project by funding the leasing for phase 1. The current schedule developed by GSA for this initiative is:

- Advertise – March 2010
- Offers Due – May 2010
- Source Selection Evaluation – September 2010
- Lease Signatures – March 2011

- Final Lease Award – June 2011
- Phase 1 & 2 Design and Phase 1 Construction Complete – July 2013
- Phase 1 Move-In – August/September 2013
- Phase 2 Construction Complete – July 2014
- Phase 2 Move-In – August/September 2014

Phase 1 of the new lease will consolidate 15 leases in 500,000 RSF housing 5,140 employees; part of Citizen Immigration Services (CIS) (2,154 seats), elements of the Undersecretary for Management (USM) (2,357 seats) and all of Science and Technology (S&T) (629 seats). Phase 2 will house the remainder of CIS.

GSA’s Pricing Guide requires tenant agencies to fully fund tenant improvements (TI). Tenant improvements are the finishes and fixtures that typically take space from the “shell” condition to a finished, usable condition. GSA provided the estimated TI for the mission support consolidation which is listed in the table below. DHS will request the remaining funding in future year budgets to complete the phase 2 improvements and for procurement and installation of fixtures, furnishings, deployment costs and IT/Telecom equipment requirements.

Mission Support Project Requirement	FY 2011
Tenant Improvements (Facilities)	\$49,450,000
Tenant Improvement (Security)	\$25,000,000
New Campus SCIF	\$550,000
Total FY 2011 Request Mission Support Consolidation	\$75,000,000

The Mission Support consolidation will also contribute to a reduction in facility operation and maintenance costs and provide quality of life features, as well as other amenities to attract and retain the best professional workforce. It is a foundation for developing a culture of success for DHS to achieve its mission. All new leased space will achieve administration and DHS sustainability goals for Leadership in Energy and Environmental Design (LEED).

Impact on Performance (Relationship of Increase to Strategic Goals)

The status quo will continue to impact the effective communications and coordination among the headquarters and components due to the increasingly scattered nature of the portfolio. Without the requested funds it will be more difficult for DHS to operate as an integrated organization, and responses to natural disasters or terrorist attacks will not be as coordinated because the facilities will not be aligned to support effective mission execution. Due to lack of existing funds, as organizations mature and new program requirements develop, space requests will continue to be addressed with limited opportunities for strategic realignments, further resulting in uncoordinated lease renewals at higher overall costs estimated at over \$400M on a net present value basis. The Department identified the implementation of the DHS National Capital Region Housing Master Plan and the creation of a unified departmental headquarters as one of the top initiatives critical to establishing a common identity, supporting teamwork and a unified

culture. The joint funding of the Mission Support consolidation and the St. Elizabeths West Campus development will ensure the program is executed effectively.

(Dollars in Thousands)

Program Increase #2: DHS HQ Consolidation – St. Elizabeths Project
PPA: DHS HQ Consolidation Project – St. Elizabeths
Program Increase: Positions - 0 FTE - 0 Dollars -\$287,800

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	-
Program Increase	-	-	-	-	-	-	-	-	287,800
Total Request	\$287,800

Description of Item

The request of \$287.8M will continue the development of the DHS Consolidated Headquarters at St. Elizabeths on schedule and continue to be synchronized with the GSA funding request and performance. GSA Pricing Policy requires shared responsibility for federal office space development with the customer agencies responsible to fund specific tenant build out requirements, including outfitting and move costs.

Justification

The DHS mission is to lead a unified national effort to secure America. The mission demands an integrated approach to all hazards. Yet the Department’s legacy facilities are dispersed over more than 46 locations throughout the National Capital Region (NCR), sometimes with sub-optimal security protections and routinely impacting adversely critical communication and coordination across DHS components. To support the incident management and command-and-control requirements of the DHS mission, the Department will continue development of the DHS Consolidated Headquarters at St. Elizabeths Campus to house executive leadership, operations coordination, policy and program management functions in a secure setting.

Consolidation will allow the strategic realignment of the portfolio to more effectively and efficiently support the mission as organizations mature and new program requirements develop. In addition, consolidation will contribute to reduced facility costs, provide quality work space and other amenities to attract and retain the best professional workforce.

The request of \$287.8M maintains the Phase 1 construction of the USCG Headquarters on target for a FY 2013 completion date and initiates construction of the Phase 2A DHS Headquarters, and the National Operations/Collocation of Component Operations Centers immediately adjacent to the USCG site.

Phase 2A construction elements overlap with the Phase 1 site, requiring a seamless integration of this phase in order to avoid significant adverse impacts to costs and schedule between the phases due to site disturbances, conflicts, and loss of construction efficiency opportunities. At a funding level of \$287.8M, the DHS Consolidated Headquarters 3-Phase development plan remains on schedule with Phase 1 occupancy (USCG) planned for FY 2013, Phase 2 occupancy (DHS HQ, NOC/Collocation of Component Operations Centers, FEMA) planned for FY 2014 and Phase 3 occupancy (TSA, CBP, ICE, USCIS, USSS, S&T, DNDO) planned for FY 2016.

Phase 1 Items	FY 2011
Fee: GSA Management Fee (MI)	\$998
Outfitting Costs	\$47,449
Tenant Build-out (IT equipment)	\$19,967
Total Design & Construction	\$68,414
Fee: GSA RWA fee	\$2,773
Net Phase 1 Sub-total w/ GSA RWA fee)	\$71,187
Phase 2 Items	FY 2011
Fee: GSA Management Fee (MI)	\$9,210
Construction (Tenant Buildout of Office space + Signage)	\$55,785
Construction (Tenant Buildout of Special/Classified/SCIF/Secret + Generator)	\$106,614
Construction (Tenant Buildout of IT infrastructure)	\$76,181
Construction (Tenant Buildout of Security infrastructure)	\$13,768
Total Design & Construction	\$261,559
Fee: GSA RWA fee	\$10,499
Net phase 2 subtotal w/ GSA RWA fee	\$272,058
Build-out portion included in GSA budget request for Tenant Improvement Allowance	\$(55,444)
Net Phase 2 subtotal - (subtract out the Tenant Improvement Allowance)	\$216,613
Phase I and II Total FY 2011 Budget Request	\$287,800

Impact on Performance (Relationship of Increase to Strategic Goals)

This funding request directly supports the Department’s strategic goal to Strengthen and Unify DHS Operations and Management. Continued development of the DHS Consolidated Headquarters at St. Elizabeths will allow the Department to enhance performance through improved communications and coordination across all DHS Headquarters units. Consolidating will foster a “one-DHS” culture and optimize prevention and response capabilities across the spectrum of operations.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Departmental Management and Operations
DHS HQ Consolidation
Justification of Proposed Changes in Salaries and Expenses
Appropriation Language**

For necessary expenses to plan, acquire, construct, renovate, remediate, equip, furnish and occupy buildings and facilities for the consolidation of department headquarters at St. Elizabeths and associated mission support consolidation, \$362,800,000.

B: FY 2010 to FY 2011 Budget Change

**Department of Homeland Security
 Departmental Management and Operations
 DHS HQ Consolidation
 FY 2010 to FY 2011 Budget Change
 (Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2009 Actual.....	---	---	\$0
FY 2010 Enacted.....	---	---	\$0
Adjustments-to-Base			
Total Adjustments-to-Base.....	---	---	\$0
2011 Current Services.....	---	---	\$0
Program Changes			
Program Increases/(Decreases)			
DHS HQ Consolidation - Mission Support.....	---	---	75,000
DHS HQ Consolidation - St. Elizabeth's.....	---	---	287,800
Total Program Changes.....	---	---	\$362,800
2011 Request.....	---	---	\$362,800
2010 to 2011 Total Change.....	---	---	\$362,800

C: Summary of Requirements

**Department of Homeland Security
 Departmental Management and Operations
 DHS HQ Consolidation
 Summary of Requirements
 (Dollars in Thousands)**

	2011 Request		
	Perm. Pos.	FTE	Amount
FY 2009 Actual	---	---	\$0
2010 Enacted	---	---	\$0
Adjustments-to-Base (See "FY 2010 to FY 2011 Budget Change" for details)			
Transfers	---	---	---
Increases	---	---	---
Decreases	---	---	---
Total Adjustments-to-Base	---	---	---
2011 Current Services	---	---	---
Program Changes (See "FY 2010 to FY 2011 Budget Change" for details)	---	---	362,800
2011 Total Request	---	---	\$362,800
2010 to 2011 Total Change	---	---	362,800

Estimates by Program/Project Activity	2010 Enacted			2011 Adjustments-to-Base			2011 Program Change			2011 Request			2010 to 2011 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 DHS HQ Consolidation Project - Mission Support	-	-	-	-	-	-	-	-	75,000	-	-	75,000	-	-	75,000
2 DHS HQ Consolidation Project - St. Elizabeths	-	-	-	-	-	-	-	-	287,800	-	-	287,800	-	-	287,800
Total	---	---	\$0	---	---	\$0	---	---	362,800	---	---	362,800	---	---	362,800

D. Summary of Reimbursable Resources

Not Applicable

E: Summary of Requirements by Object Class

Department of Homeland Security
Departmental Management and Operations
DHS HQ Consolidation
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actual	2010 Enacted	FY 2011 Request	2010 - 2011 Change
11.1 Total FTE & personnel compensation	-	-	-	-
11.3 Other than full-time permanent	-	-	-	-
11.5 Other Personnel Compensation	-	-	-	-
11.8 Special Service Pay	-	-	-	-
12.1 Benefits	-	-	-	-
13.0 Benefits - former	-	-	-	-
Total, Personnel Comp. & Benefits	-	-	-	-
Other Object Classes:				
21.0 Travel	-	-	-	-
22.0 Transportation of things	-	-	-	-
23.1 GSA rent	-	-	75,000	75,000
23.2 Other rent	-	-	-	-
23.3 Communications, utilities, & other misc. charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	-	-	-	-
25.3 Purchases of goods & svcs. from Gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development contracts	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	-	-	-	-
31.0 Equipment	-	-	-	-
32.0 Land & structures	-	-	287,800	287,800
41.0 Grants/Subsidies/Contributions	-	-	-	-
42.0 Indemnity	-	-	-	-
43.0 Interest & dividends	-	-	-	-
44.0 Refunds	-	-	-	-
91.0 Unvouchered	-	-	-	-
99.0 Other	-	-	-	-
Total, Other Object Classes	\$0	\$0	\$362,800	\$362,800
Total, Direct Obligations	\$0	\$0	\$362,800	\$362,800
Unobligated balance, start of year	---	---	---	
Unobligated balance, end of year	---	---	---	
Recoveries of prior year obligations	---	---	---	
Total requirements	\$0	\$0	\$362,800	

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not Applicable

H: PPA Budget Justifications

Department of Homeland Security
Departmental Management and Operations
DHS HQ Consolidation
DHS HQ Consolidation - Mission Support
Funding Schedule
(Dollars in Thousands)

PPA: DHS HQ Consolidation - Mission Support		2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Object Classes:					
11.1	Perm Positions	-	-	-	-
11.3	Other than perm	-	-	-	-
11.5	Other per comp	-	-	-	-
11.8	Spec Srvc Pay	-	-	-	-
12.1	Benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	75,000	75,000
23.2	Other rent	-	-	-	-
23.3	Communication, Utilities, and misc charges	-	-	-	-
24.0	Printing	-	-	-	-
25.1	Advisory & Assistance Services	-	-	-	-
25.2	Other Services	-	-	-	-
25.3	Purchase from Govt. Accts.	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research & Development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation & maintenance of equipment	-	-	-	-
25.8	Subsistence & Support of persons	-	-	-	-
26.0	Supplies & materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land & Structures	-	-	-	-
41.0	Grants/Subsidies/Contributions	-	-	-	-
42.0	Indemnity	-	-	-	-
91.0	Unvouchered	-	-	-	-
Total, DHS HQ Consolidation - Mission Support		\$0	\$0	\$75,000	\$75,000
Full Time Equivalents		---	---	---	---

PPA Mission Statement

The DHS mission is to lead a unified national effort to secure America. The lessons learned from Hurricane Katrina and the Second Stage Review reinforced the critical requirement that DHS operate with increased integration to prepare for and respond to natural disasters or terrorist attacks. Our mission demands this approach to all hazards. Yet the Department's legacy facilities are dispersed over more than 40 locations and more than 80 buildings throughout the National Capital Region (NCR), sometimes with sub-optimal security protections and routinely impacting adversely critical communications, coordination, and cooperation across DHS components. To support the incident management and command-and-control requirements of our mission, the Department will consolidate executive leadership, operations, coordination, policy and program management functions in a secure setting at St. Elizabeth's and needs to reduce the total number of locations that house DHS components to as few as possible to reduce fragmenting of component business units, standardize the work environment, improve communications, coordination and cooperation across all DHS Headquarters units. Consolidating will foster a "one-DHS" culture and optimize our prevention and response capabilities across the spectrum of operations.

Summary Justification and Explanation of Changes

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 0
GSA Rent	\$0	\$0	\$75,000	\$75,000

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes an increase of \$75,000,000 to begin the lease consolidation as approved per the National Capital Region Housing Master Plan.

H: PPA Budget Justifications

Department of Homeland Security
Departmental Management and Operations
DHS HQ Consolidation
DHS HQ Consolidation - St. Elizabeths
Funding Schedule
(Dollars in Thousands)

PPA: DHS HQ Consolidation - St. Elizabeths		2009	2010	2011	2010 to 2011
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	-	-	-	-
11.3	Other than perm	-	-	-	-
11.5	Other per comp	-	-	-	-
11.8	Spec Srvc Pay	-	-	-	-
12.1	Benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, Utilities, and misc charges	-	-	-	-
24.0	Printing	-	-	-	-
25.1	Advisory & Assistance Services	-	-	-	-
25.2	Other Services	-	-	-	-
25.3	Purchase from Govt. Accts.	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research & Development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation & maintenance of equipment	-	-	-	-
25.8	Subsistence & Support of persons	-	-	-	-
26.0	Supplies & materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land & Structures	-	-	287,800	287,800
41.0	Grants/Subsidies/Contributions	-	-	-	-
42.0	Indemnity	-	-	-	-
91.0	Unvouchered	-	-	-	-
Total, DHS HQ Consolidation - St. Elizabeths		\$0	\$0	\$287,800	\$287,800
Full Time Equivalents		---	---	---	---

PPA Mission Statement

The DHS mission is to lead a unified national effort to secure America. The lessons learned from Hurricane Katrina and the Second Stage Review reinforced the critical requirement that DHS operate with increased integration to prepare for and respond to natural disasters or terrorist attacks. The mission demands this approach to all hazards. Yet the Department's legacy facilities are dispersed over more than 40 locations and more than 80 buildings throughout the National Capital Region (NCR), sometimes with sub-optimal security protections and routinely impacting adversely critical communications, coordination, and cooperation across DHS components. To support the incident management and command-and-control requirements of our mission, the Department will consolidate executive leadership, operations, coordination, policy and program management functions in a secure setting at St. Elizabeths and needs to reduce the total number of locations that house DHS components to as few as possible to reduce fragmenting of component business units, standardize the work environment, improve communication and coordination across all DHS Headquarters. Consolidating will foster a "one-DHS" culture and optimize our prevention and response capabilities across the spectrum of operations.

Summary Justification and Explanation of Changes

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 0
Land & Structures	\$0	\$0	\$287,800	\$287,800

Land & Structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 Request includes an increase of \$287,800,000 for the continued build out of Phase 1 for the USCG HQ, initiates construction of Phase 2A DHS HQ, and the National Operations/Collocation of component operations center.

I. Changes in FTE

Not Applicable

J. Working Capital Fund

Not Applicable

Department of Homeland Security

Departmental Management and Operations

Office of the Chief Financial Officer



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

DEPARTMENT OF HOMELAND SECURITY DEPARTMENTAL MANAGEMENT AND OPERATIONS OFFICE OF THE CHIEF FINANCIAL OFFICER

I. Appropriation Overview

	Perm Pos	FTE	Amount
2009 Actual	163	128	\$43,900
2010 Enacted	183	173	60,530
2011 Adjustments-to-Base	38	29	1,750
2011 Current Services	221	202	62,280
2011 Program Change	0	0	3,272
2011 Request	221	202	65,552
Total Change 2010-2011	38	29	5,022

The Office of the Chief Financial Officer (OCFO) requests \$65.552 million for FY2011. This is an increase of \$5.022 million over FY 2010.

A. Mission Statement for the Office of the Chief Financial Officer (OCFO):

The mission of the Office of Chief Financial Officer (OCFO) is to provide guidance and oversight of the Department's budget, financial management, and resource management systems to ensure funds necessary to carry out the Department's mission are obtained, allocated, and expended in accordance with the Department's priorities and relevant law and policies.

The DHS CFO goals are:

1. To provide greater visibility into DHS' financial activity, through timely, accurate, and useful financial related data.
2. To improve systems and processes eventually leading to sustainable clean audit opinions.
3. To provide reasonable assurance about our internal controls over financial reporting.
4. To provide efficient financial management services.
5. To integrate the budget process with the policy and planning process.
6. To support the Under Secretary for Management and business line chiefs by supporting integration and standardization of our resource management systems.

B. Budget Activities:

Under the OCFO, the following Divisions fulfill these functions:

Program Analysis and Evaluation (PA&E):

- Develop and perform analyses and evaluations of alternative plans, programs, personnel levels, and budget submissions for the Department in relation to United States homeland security

objectives, projected threats, vulnerability assessments, estimated costs, resource constraints, and the most recent homeland security strategy;

- Provide guidance and oversee the development of the Future Years Homeland Security Program (FYHSP) of the Department;
- Lead the performance measurement and reporting for DHS mission-oriented programs;
- Oversee preparation of the DHS performance plan and other performance reporting;
- Integrate performance measurement into strategic planning, resource allocation, program evaluation, evaluation of management personnel, and the culture of DHS;
- Act as the Program Improvement Officer (PIO) in order to supervise performance management activities; provide advice on program performance goals; convene responsible parties to assess and improve program performance; and guide the use of performance measures in personnel performance appraisals;
- Provide leadership in developing and promoting improved analytical tools and methods for analyzing homeland security planning and the allocation of resources;
- Establish policies for, and oversee the integration of the planning, programming, and budgeting system of the Department; and
- Coordinate with and support the Office of Policy on DHS long-term strategic planning.

Budget:

- Administer the Departmental budget, appropriations, and expenditures of funds;
- Work with PA&E and DHS components to formulate annual budget submissions, assure these properly reflect the requirements of DHS, and assist in the presentation and defense of submissions to OMB and Congress;
- Coordinate and review budget execution for each component and appropriation; conduct spend plan and execution reviews; and act on requests for modifications;
- Conduct special studies and analyses of execution of financial plans and recommend reprogrammings as necessary for effective funds utilization;
- Prepare budgetary reports as necessary or as required by OMB and Congress;
- Administer funds not specifically allotted to other components of DHS, such as the Pandemic Influenza Supplemental;
- Prepare the Secretary to testify on the budget request;
- Track and monitor status of reports to Congress required by appropriations bills;
- Ensure technical accuracy and consistency of component budget materials in accordance with OMB or Congressional guidance;
- Manage and coordinate components' input into the President's electronic on-line MAX (budget preparation) data system;
- Analyze budget's impact and review pending legislation, reports to Congress, testimony, and other documents; and
- Coordinate and review apportionments, reapportionments, and allotments for all DHS appropriations.

Office of Financial Operations:

- Oversee all aspects of budget formulation and execution for Components under Title 1 of the DHS Appropriations Act, except for the Office of the Inspector General (OIG) and Analysis and Operations (A&O) appropriation;

- Provide budget execution, accounting, and financial management and reporting services for Title 1 Components, except OIG and A&O, including managing apportionments, allotments, funds certifications, invoice processing, general ledger, payroll reconciliations, bank card, and travel;
- Oversee and manage the DHS Working Capital Fund (WCF);
- Perform internal audits and audit follow-up; and
- Provide reasonable assurance on internal controls over financial reporting and internal controls over operations.

Office of Financial Management:

- Develop and oversee Departmental financial management policy; coordination of government-wide financial management initiatives in the Department;
- Prepare the Department's consolidated financial statements and other required financial information due to OMB and Treasury, including the Annual Financial Report at year end;
- Provide guidance and oversight to DHS components on accounting and financial reporting requirements, and coordinate the annual audit of the Department's financial statements included in the Annual Financial Report; and
- Administer the DHS Bankcard (purchase, travel, and fleet) Program, develop and document bankcard policy, provide training and establish and maintain internal control to provide reasonable assurance that the goals and objectives of the Bankcard Program are met and safeguard against fraudulent, improper, abuse, and untimely payment is identified on a timely basis and appropriate corrective action is taken.

Resource Management Transformation Office (RMTO):

- Manage system transformation projects to increase efficiencies, data reliability and financial transparency across DHS;
- Lead the effort to consolidate financial management systems with a focus on standardizing and centralizing business processes, moving to a single OMB-compliant accounting system, facilitating clean audit opinions and utilizing business intelligence tools to yield timely and accurate financial data; and
- Serve as the program management office (PMO) providing day-to-day project management and communications with stakeholders for the following DHS initiatives:
 1. Transformation and Systems Consolidation (TASC).
 2. E-Gov Travel Implementation.
 3. Business Intelligence/DHS Treasury Information Executive Repository (DHSTIER).

GAO and OIG Audit Liaison:

- Coordinate the Department's engagement in Government Accountability Office (GAO) and Office of the Inspector General (OIG) audits, including entrance and exit conferences, and the Department's response to audit reports and findings;
- Track audit recommendations and the Department's implementation of those recommendations; and
- Provide oversight and guidance to component-level GAO and OIG audit liaison offices and to DHS employees involved in audits, investigations, and inspections.

Internal Control Management Office:

- Implement the Federal Managers' Financial Integrity Act and its guidelines; OMB Circular A-123; *Management's Responsibility for Internal Control*; the Chief Financial Officers Act; the DHS Financial Accountability Act;
- Lead the Department's assessment of internal controls;
- Coordinate the development and implementation of Mission Action Plans to address material weaknesses and other significant conditions;
- Direct the Department's efforts to implement the Improper Payments Information Act;
- Issue guidance on, and coordinate preparation of, the Secretary's year-end Internal Control Assurance Statements; and
- Conduct reviews of key financial processes to ensure internal controls are operating effectively, with the goal of identifying weaknesses before they become problems.

Grants Management Division:

- Set policy for and oversee the management and administration of DHS grants and financial assistance;
- Provide oversight of determinations and decisions concerning financial assistance transactions in compliance with law and policy;
- Collect accurate and complete financial assistance information to address government-wide report and audit requirements;
- Collect and maintain grants and assistance award data, monitor close-out status, and assist DHS component grants awarding offices in closing out delinquent assistance awards;
- Promote information technology to increase productivity and streamline financial assistance systems;
- Represent the Department with other federal agencies or entities on government-wide initiatives and activities related to financial assistance management;
- Develop and maintain Grant Officer/Assistance Officer standards and qualifications; and
- Advise senior DHS leadership on DHS and government-wide statutes, regulations, OMB circulars, and Executive Orders related to grants management activities.

Workforce Development Division:

- Provide the training and tools to support excellence in personal performance, career path development, and to execute talent management initiatives to recruit the next generation of OCFO leaders;
- Provide experiences and opportunities designed to establish a strong foundation in financial management disciplines to optimize career building at DHS; and
- Create a pipeline of strong candidates for senior financial management leadership roles at DHS, specifically the CFO and/or Deputy CFO positions.

C. Budget Request Summary:

The Office of the Chief Financial Officer (OCFO) requests 221 positions, 202 FTE, and \$65.552 million for FY 2011. The total adjustments-to-base are 29 FTE (19 are for contract to FTE conversion) and \$3.272 million.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Office of the Chief Financial Officer
 Summary of FY 2011 Budget Estimates by Appropriation
 Total Appropriations
 (Dollars in Thousands)

Budget Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Office of the Chief Financial Officer	128	\$43,900	173	\$60,530	202	\$65,552	29	\$5,022	---	\$3,272	29	\$1,750
Subtotal, Enacted Appropriations and Budget Estimates	128	\$43,900	173	\$60,530	202	\$65,552	29	\$5,022	0	\$3,272	29	\$1,750
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	128	\$43,900	173	\$60,530	202	\$65,552	29	\$5,022	0	\$3,272	29	\$1,750

III. Current Services Program Description

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Financial Officer
Program Performance Justification

(Dollars in thousands)

	Perm Pos	FTE	Amount
2009 Actual	163	128	\$43,900
2010 Enacted	183	173	60,530
2011 Adjustments-to-Base	38	29	1,750
2011 Current Services	221	202	62,280
2011 Program Change	0	0	3,272
2011 Request	221	202	65,552
Total Change 2010-2011	38	29	5,022

The Office of the Chief Financial Officer (OCFO) requests \$65.552 million for FY2011. This is an increase of \$5.022 million over FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of the Chief Financial Officer (OCFO) has made significant progress leading improvement to financial management at DHS.

Key Accomplishments

In FY 2009, the OCFO accomplished the following:

- Completed the Department's multi-year plan to implement OMB Circular No. A-123, Management's Responsibility for Internal Control, and reduced the number of Component conditions that contributed to our material weaknesses in internal control over financial reporting by more than half since FY 2006.
- Achieved compliance with the Improper Payments Information Act, the Debt Collection Improvement Act, and the Government Performance and Results Act.
- Engaged the Department's Independent Auditor to conduct the Department's first ever integrated internal control and financial statement audit.
- DHS launched the E-Gov Travel system that provides a common, automated, web-based approach to managing government travel and follows a fee-for-service, shared service provider model. Over the spring and summer of 2009, four DHS components completed the transition to e-Travel, four more began the transition process including U.S. Citizenship and Immigration Services, and planning began for three additional components.
- Continued regular management assurance audits to identify vulnerabilities to waste, fraud, and abuse, and develop and strengthen internal controls.
- The CFO developed and launched, an on-line web-based manual consisting of comprehensive sets of financial management regulations for conducting financial management operations, from budgetary policy to financial reporting, resulting in common standards of accountability. The on-line policy and manual is designed to ensure proper stewardship of taxpayer dollars

remains tantamount to our mission and that DHS maintains efficient and transparent operations and our resources are not vulnerable to waste, fraud and mismanagement.

- Transitioned to GSA's SMART-PAY 2 program for Fleet, Travel, and Purchase cards.
- Successfully migrated the DHS Treasury Information Executive Repository (TIER) and CFO Vision applications and reports from Treasury to DHS.
- Responded effectively to all Headquarters' financial reporting requirements; monitored the monthly reconciliation of Headquarters' cash account; and certified each month that Headquarters' financial data was complete and accurate.
- Enhanced the Headquarters' internal functions by increased focus on meeting financial reporting requirements and internal control responsibilities.
- DHS budget information and requests were developed, coordinated, and delivered on time to the Office of Management and Budget and Congress, including reprogrammings and monthly budget execution reports. Additionally, key DHS leadership, including the Secretary, were well prepared to testify to Congress on all aspects of the DHS budget request. The CFO coordinated DHS responses to over 1,800 Congressional questions for the record resulting from 14 Appropriations Committee hearings, ensuring responses were accurate and timely, including providing the responses to several hundred questions in an unprecedented two week period.
- Submitted the FY 2011 Budget to OMB using the new Budget Formulation and Execution Manager (BFEM) System. This was the first year of pilot use at the Department level and select members of the DHS financial management community.
- Over the course of two months the CFO organized and developed options for resource decisions using seven cross-cutting issue teams to cover major programmatic issues such as border management, transportation security, air and marine coordination, immigration enforcement, and a host of smaller issues such as national security systems and radiological/nuclear detection systems.
- Continuing on a multi-year trend of improvement, the DHS Annual Performance Report was cited by the Mercatus Center as one of the best examples of performance reporting in the government, ranking it fourth out of 24 agencies. The DHS report provided a well organized, concise and easy to read direct link between mission outcomes and the dollars we spent, including information on the public benefit and positive outcomes DHS delivers in the use of tax-payers dollars.
- Implemented the first stage of Department-wide internal controls for the verification and validation of our publically reported set of Government Performance and Results Act measures.
- Conducted five independent program reviews to assess issues of cost and benefits within the Department.
- DHS continues the Transformation and Systems Consolidation project to establish standard business processes, strengthen internal controls, provide timely, accurate and comprehensive reporting and establish a standard line of accounting for DHS. In 2009, DHS requested and received industry proposals to provide an integrated financial, acquisition and asset management solution and, based on those proposals, is evaluating and selecting a contractor. Contract award is expected during the second quarter of 2010.
- The WCF Governance Board was formally established to provide oversight and help ensure all activities and cost allocations are reviewed and approved, and customers receiving the services

delivered through the fund. The Board developed and approved clear criteria for determining whether a new activity should be included in WCF, and reviewed the billing methods for current WCF activities.

- Began building the Department's grant management and oversight function to issue policy and monitor DHS grants and assistance awards and resolution of audit findings.
- Continued to refine, expand, and improve DHS financial management community human capital initiatives to improve human capital capabilities and a common culture.
 - A total of 142 individuals received training through the mentorship program, new hire, financial specialist intern and the financial management symposium. An additional 24 individuals received certification training for the Certified Government Financial Manager (CGFM) exam.
- Launched a far reaching pilot increasing the link between organizational and individual performance for senior executives.

In FY 2010, OCFO plans to accomplish the following:

- Improve the quality and completeness of Headquarters' financial data and implement a strategy to strengthen Headquarters' internal controls.
- Further reduce the number of material weaknesses on the DHS Financial Statements.
- Integrate and coordinate management assurance audit efforts with the Department's Independent Auditor to support the internal control and financial statement audit.
- Complete an assessment of processes that provide internal control over the financial reporting of the Statement of Budgetary Resources and Statement of Net Cost.
- Enhance the Treasury Information Executive Repository (TIER) System within DHS.
- Continue the DHS-wide implementation of e-Gov travel.
- Enhance the use of performance information in key DHS internal business processes, such as strategic planning, resource allocation, and senior leader performance evaluations.
- Lead the Fiscal Year 2012-2016 program resource and performance planning, including the Bottom-Up Review.
- Implement the Budget Formulation and Execution Manager (BFEM) System throughout DHS.
- Award a contract for the acquisition of a consolidated department-wide financial, acquisition, and asset management solution.
 - Validate and document component current state business processes for selected migrating components.
 - Deliver Data Clean-Up Guidance for selected migrating components.
 - Complete IT Systems Discovery Analysis for selected migrating components.
- Finalize grant management administrative policy and procedures in order to implement an oversight program that will identify internal control concerns, provide technical assistance to address those concerns and adjudicate A-133 audit findings.
- Continue to build on successes achieved in improving human capital capabilities through continuation of the mentorship program, the financial specialist intern program, and training for the Certified Government Financial Manager (CGFM) exam.

- Conduct several independent program reviews in order to evaluate and assess issues such as true costs and benefits of programs within the Department.

In FY 2011, OCFO plans to accomplish the following:

- Further reduce the number of material weaknesses on the DHS Financial Statements.
- Continue efforts to integrate and coordinate management assurance audit efforts with the Department's Independent Auditor to support the internal control and financial statement audit.
- Continue ongoing support and maintenance for the Treasury Information Executive Repository.
- Establish a DHS-wide Common Government-wide Accounting Classification (CGAC).
- Implement e-Gov travel at all remaining Components.
- Conduct risk based internal control assessments to sustain compliance with OMB Circular No. A-123, Management's Responsibility for Internal Control.
- Have a Component Senior Assessment Team that is actively engaged in overseeing Headquarters' assessments of internal controls and in preparing the annual assurance statements to the Secretary.
- Be able to better account for, and report on, real property, including Construction in Progress, leasehold improvements, and internal use software.
- Align and report on performance achievements related to the DHS strategic missions and goals defined by the Department's Quadrennial Homeland Security Review. Conduct approximately seven independent program reviews to evaluate and assess issues such as true costs and benefits of programs within the Department.
- Full performance of the Budget Formulation and Execution Manager (BFEM) System, including creation and submission of the FY 2013 budget to OMB and Congress.
- Continue updates and revisions to the Financial Management Policy Manual.
- Conduct additional independent program reviews in order to evaluate and assess issues such as true costs and benefits of programs within the Department.
- Migrate initial components to the consolidated department-wide financial, acquisition, and asset management solution.
- Award task order for solution configuration.
- Award task orders for selected migrating components.
- Finalize standardization of the nine business processes areas for DHS.
- Continue aggressive actions to establish action plans with definite milestones, and actively monitor and hold components accountable for making progress to improve Departmental operating effectiveness.
- Further build on successes achieved through DHS-wide training courses and programs.
- Facilitate grant management training required for Grant Officer Certifications.
- Implement business intelligence initiatives for financial management.

IV. Program Justification of Changes

**Department of Homeland Security
Departmental Operations and Management
Office of the Chief Financial Officer
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Improved Financial Accountability

Program Increase: Positions 0 FTE 0 Dollars \$3,272

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									
Program Increase									\$3,272
Total Request									\$3,272

Description of Item

The Office of the Chief Financial Officer (OCFO) requests 0 FTE and \$3.272 million to support enhanced financial management services.

Justification

DHS is committed to addressing outstanding financial management challenges. The Fiscal Year (FY) 2009 audit shows the Department continues to make progress in implementing corrective actions and improving the quality and reliability of financial reporting. As DHS increases the number of standalone audits, there will be numerous additional opportunities for financial management improvement and to strengthen internal controls. Continued progress may require DHS to prepare two sets of financial statements (DHS-all and civilian components-only); at the same time the scope of the financial audits will be increasing. Increased funding is needed to continue with internal assurance teams to work proactively identifying and correcting emerging risk areas, financial reporting and internal control issues. Additional funding will help ensure DHS can properly account for and report on its resources, audit recommendations are addressed and tracked to completion, and good internal controls are in place to mitigate future risks.

Additionally, the Department is engaged in the implementation of major acquisitions that are key to the success of DHS' mission requirements. To provide for continued and enhanced support of these major acquisitions, funding is requested for the Office of Program Analysis and Evaluation to conduct a series of independent program/acquisition evaluations on programs that have a substantive impact on DHS or agency missions. Independent reviews, above and beyond internal evaluations alone, will systematically improve DHS programs to accomplish intended purposes and by contributing to a better understanding of true program costs, benefits, and improved mission performance.

Impact on Performance:

The Department's accountability, transparency, efficiency and effectiveness are significantly increased by improving financial management policy and oversight. Improving financial and programmatic accountability directly supports strengthening and unifying the Department. The overall result will be improved Departmental operations, resource allocation decision making, and audit effectiveness.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Financial Officer
Justification of Proposed Changes
Appropriation Language**

For necessary expenses of the Office of the Chief Financial Officer as authorized by section 103 of the Homeland Security Act of 2002 (6 U.S.C. 113), [\$60,530,000] **\$65,552,000** of which \$11,000,000 is available until expended for financial systems consolidation efforts.

Explanation of Changes:

No substantive changes.

B. FY 2010 to FY 2011 Budget Change

**Department of Homeland Security
Office of the Chief Financial Officer
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2009 Actuals	156	128	\$43,900
FY 2010 Enacted	183	173	60,530
Adjustments-to-Base			
Increases (Decreases)			
Annualization of Prior Year Funding.....	---	10	939
Annualization of FY 2010 Pay Raise.....	---	---	200
FY 2011 Pay Increase.....	---	---	514
GSA Rent Increase.....	---	---	22
Working Capital Fund Increase.....	---	---	75
DHS Balanced Workforce Strategy.....	38	19	---
Total Adjustments-to-Base	38	29	1,750
FY 2011 Current Services	221	202	62,280
Program Changes			
Program Increases/(Decreases)			
Financial Management Activities.....	---	---	3,272
Total Program Changes	-	-	3,272
FY 2011 Request	221	202	65,552
2010 to 2011 Total Change	38	29	5,022

NOTE: \$11 million for DHS Improved Financial Systems carried over from FY 2009 to FY 2010.

C. Summary of Requirements

**Department of Homeland Security
Office of the Chief Financial Officer
Summary of Requirements
(Dollars in Thousands)**

	2011 Request		
	Perm. Pos.	FTE	Amount
FY 2009 Actual	156	128	43,900
FY 2010 Enacted	183	173	60,530
Adjustments-to-Base (See "FY 2010 to FY 2011 Budget Change" for details)			
Transfers	---	---	---
Increases	38	29	1,750
Decreases	---	---	---
Total Adjustments-to-Base	38	29	1,750
FY 2011 Current Services	221	202	62,280
Program Changes (See "FY 2010 to FY 2011 Budget Change" for details)	---	---	3,272
FY 2011 Total Request	221	202	65,552
2010 to 2011 Total Change	38	29	5,022

Estimates by Program/Project Activity	2010 Enacted			2011 Adjustments-to-Base			2011 Program Change			2011 Request			2010 to 2011 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Office of the Chief Financial Officer	183	173	60,530	38	29	1,750	---	---	\$ 3,272	221	202	\$65,552	38	29	\$5,022
Total	183	173	\$60,530	38	29	\$1,750	---	---	\$3,272	221	202	\$65,552	38	29	\$5,022

D. Summary of Reimbursable Resources

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Financial Officer
Summary of Reimbursable Resources
(Dollars in Thousands)**

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
Office of the Chief Financial Officer
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
11.1 Total FTE & personnel compensation	\$12,714	\$19,691	\$23,717	\$4,026
11.3 Other than full-time permanent	297	325	379	54
11.5 Other Personnel Compensation	537	612	685	73
11.8 Special Service Pay	---	---	---	---
12.1 Benefits	3,459	4,434	4,980	546
13.0 Benefits - former	---	---	---	---
Total, Personnel Comp. & Benefits	\$17,007	\$25,062	\$29,761	\$4,699
Other Object Classes:				
21.0 Travel	317	239	239	---
22.0 Transportation of things	---	---	---	---
23.1 GSA rent	2,267	2,369	2,464	95
23.2 Other rent	89	94	94	---
23.3 Communications, utilities, & other misc. charges		---	---	---
24.0 Printing and reproduction	47	47	47	---
25.1 Advisory and assistance services	14,948	35,712	25,513	(10,199)
25.2 Other services	650	478	478	---
25.3 Purchases of goods & svcs. from Gov't accounts	7,904	6,920	6,335	(585)
25.4 Operation & maintenance of facilities	77	154	157	3
25.5 Research and development contracts	---	---	---	---
25.6 Medical care	9	---	---	---
25.7 Operation and maintenance of equipment	---	---	---	---
25.8 Subsistence and support of persons	---	---	---	---
26.0 Supplies and materials	504	377	385	8
31.0 Equipment	76	78	79	1
32.0 Land & structures	---	---	---	---
41.0 Grants/Subsidies/Contributions	---	---	---	---
42.0 Indemnity	5	---	---	---
43.0 Interest & dividends	---	---	---	---
44.0 Refunds	---	---	---	---
91.0 Unvouchered	---	---	---	---
99.0 Other	---	---	---	---
Total, Office of the CFO	\$26,893	\$46,468	\$35,791	(\$10,677)
Total, Direct Obligations	\$43,900	\$71,530	\$65,552	(\$5,978)
Unobligated balance, start of year	0	(11,000)		
Unobligated balance, end of year	11,000	0		
Recoveries of prior year obligations	69			
Total Requirements	\$54,969	\$60,530	\$65,552	\$5,022

NOTE: \$11 million for DHS Improved Financial Systems carried over to FY 2010 from FY2009.

F. Permanent Positions by Grade

Department of Homeland Security Office of the Chief Financial Officer Permanent Positions by Grade

Grades and Salary Ranges	2009	2010	2011	2010 to 2011
	EOY Actual	President's Budget	Request	Change
	Pos.	Pos.	Pos.	Total
Total, SES	11	11	11	---
Total, EX	1	1	1	---
GS-15	27	29	32	3
GS-14	57	66	85	19
GS-13	29	34	49	15
GS-12	14	18	20	2
GS-11	9	10	9	(1)
GS-9	9	8	8	---
GS-7	6	6	6	---
Total Permanent Positions	163	183	221	38
Unfilled Positions EOY	7	10	---	
Total Perm. Employment EOY	156	173	221	48
FTE	128	173	202	29
Headquarters	163	183	221	38
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	163	183	221	38
Average ES Salary	\$ 176,012	\$ 179,532	\$ 183,302	\$ 3,770
Average GS Salary	\$ 99,810	\$ 101,806	\$ 103,943	\$ 2,137
Average GS Grade	13.55	13.56	13.68	0.12

G. Capital Investment and Construction Initiative Listing

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Financial Officer**

Not applicable

H. PPA Budget Justifications

**Department of Homeland Security
Office of the Chief Financial Officer
Funding Schedule
(Dollars in Thousands)**

		2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Object Classes:					
11.1	Perm Positions	12,714	19,691	23,717	\$4,026
11.3	Other than perm	297	325	379	54
11.5	Other per comp	537	612	685	73
12.1	Benefits	3,459	4,434	4,980	546
13.0	Benefits-former	0	0	0	---
21.0	Travel	317	239	239	---
23.1	GSA rent	2,267	2,369	2,464	95
23.2	Other rent	89	94	94	---
24.0	Printing and Reproduction	47	47	47	---
25.1	Advisory & Assistance Services	14,948	35,712	25,513	(10,199)
25.2	Other Services	650	478	478	---
25.3	Purchase from Govt. Accts.	7,904	6,920	6,335	(585)
25.4	Operation & maintenance of facilities	77	154	157	3
25.6	Medical care	9	---	---	---
26.0	Supplies & materials	504	377	385	8
31.0	Equipment	76	78	79	1
42.0	Indemnity	5	---	---	---
Total, Office of the CFO		\$43,900	\$71,530	\$65,552	(\$5,978)
Full Time Equivalents		128	173	202	29

NOTE: \$11 million for DHS Improved Financial Systems carried over to FY 2010 from FY2009.

Mission Statement

The mission of the Office of Chief Financial Officer (OCFO) is to provide guidance and oversight of the Department’s budget, financial management, investment review, and resource management systems to ensure funds necessary to carry out the Department’s mission are obtained, allocated, and expended in accordance with the Department’s priorities and relevant law and policies.

Summary Justification and Explanation of Changes

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Salaries and Benefits	\$17,007	\$25,062	\$29,761	\$4,699

Salaries and Benefits includes costs for 202 FTEs. The FY 2011 request includes an increase of \$514,000 for the proposed Fiscal Year 2011 increase in personnel compensation; \$200,000 in annualization for the Fiscal Year 2010 increase in personnel compensation; and an increase in 29 FTEs for \$939,000 (10 FTE from annualization ; 19 FTE from contract conversion). The contract conversion is in support of the DHS Balanced Workforce Strategy to ensure efficiencies, cost-effective performance improvements, and a more appropriate balance between in-house and contract resources.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Travel	\$317	\$239	\$239	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
GSA Rent	\$2,267	\$2,369	\$2,464	\$95

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Other Rent	\$89	\$94	\$94	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Printing and Reproduction	\$47	\$47	\$47	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Advisory and Assistance Services	\$14,948	\$35,712	\$25,513	(\$10,199)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Other Services	\$650	\$478	\$478	\$0

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$7,904	\$6,920	\$6,335	(\$585)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Operation & Maintenance of Facilities	\$77	\$154	\$157	\$3

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Supplies & materials	\$504	\$377	\$385	\$8

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Equipment	\$76	\$78	\$79	\$1

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in FTE

**Department of Homeland Security
Office of the Chief Financial Officer**
Changes in Full-Time Equivalents

	FY 2009	FY 2010	FY 2011
Base: Year-end Actual from Prior Year	120	128	173
INCREASES			
Increase #1: Program Changes	8	11	0
Increase #2: Annualization of Prior Year Staffing Increase	0	24	10
Increase #3: Improve Financial Accountability	0	10	0
Increase #4: RMTO Contract to FTP Conversion	0	0	9
Increase #5: Financial Management Contract to FTP Conversion	0	0	10
Sub-Total Increases	8	45	29
DECREASES			
Year-end Actual/Estimated FTEs	128	173	202
Net Change from prior year base to Budget Year Estimate:	8	45	29

J. FY 2011 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Financial Officer**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	Increase for FY 2011
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Office of the Chief Financial Officer	\$7,493	\$9,870	\$10,035	\$165
Total Working Capital Fund	\$7,493	\$9,870	\$10,035	\$165

DEPARTMENT OF HOMELAND SECURITY
Departmental Management and Operations
Office of the Chief Information Officer



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

I. Appropriation Overview

A – Mission Statement for the Office of the Chief Information Officer:

The Department of Homeland Security (DHS) Office of the Chief Information Officer (CIO), in collaboration with the DHS Chief Information Officer Council, is responsible for implementing the necessary programs to align the Information Technology (IT) organization, including all of the systems and infrastructure, to support the missions and activities across the Department.

Under the leadership of the CIO, IT will enable the transformation of the Department into a performance based and integrated organization by providing effective technologies and systems. This transformation will align information-delivery resources into appropriate functions to achieve DHS missions. To that end, the CIO and the CIO Council are committed to providing the following:

- A secure means of sharing appropriate information to all internal and external stakeholders
- A set of advanced tools that enables the DHS workforce to rapidly and efficiently communicate, process, retrieve, deliver, and share information
- A single, DHS-wide IT infrastructure environment that is reliable, scalable, flexible, maintainable, and secure
- A clear set of performance metrics and efficient business processes
- IT standards and frameworks that provide for integration
- A single, consistent IT governance model
- Continued improvements in cyber security
- A mature and fully detailed Enterprise Architecture
- The alignment of acquisition for IT goods and services to the department's goals

B – Budget Activities:

The OCIO has a myriad of Information Technology related services and support programs that impact components across DHS. The Office is divided into four major programs as follows:

Salaries and Expenses

Salaries and Expenses is a crosscutting program that provides technology management, shared services, acquisition strategy and executive leadership support to all offices within the OCIO. This program provides Operations and Maintenance (O&M) of legacy

infrastructure as well as new information technology infrastructure investments. This program also provides security policy, architecture, Certification and Accreditation (C&A) remediation, Federal Information Security Management Act (FISMA) compliance and oversight, and IT awareness and training programs. The Salaries and Expenses program also includes the Office of Accessible Systems and Technology which provides guidance and oversight to all DHS components on implementing and maintaining initiatives to ensure that electronic and technological information is accessible to DHS employees and customers with disabilities.

Department-Wide Technology Investments

Information Technology Services – A program that supports development, implementation, and maintenance of a comprehensive and integrated enterprise architecture, and the integration of the following initiatives across DHS: accessibility across the DHS enterprise architecture; IT Policy and Management; Strategic and Performance Goals; Capital Plan Investment Control and Guidance; geospatial technologies; Enterprise Data Management; and information sharing. This program also includes the planning and delivery of secure, enterprise application services that include IT operations such as Application Delivery, Enterprise Portal, and Solutions Engineering.

Infrastructure and Security Activities – A set of programs that provide for the integration and protection of sensitive and collateral DHS information. In FY 2011, the DHS OCIO will continue its efforts to consolidate disparate data centers into two DHS Data Centers; establish Disaster Recovery capability for primary DHS systems; consolidate multiple disparate networks into DHS OneNet; manage infrastructure support to include network services, data center services and application support for 15 enterprise applications; establish Trusted Internet Connection (TIC) capability and move all traffic behind the TIC; and Implement Single Sign-On and HSPD-12 initiatives. The DHS OCIO's immediate and long term goal is to protect DHS IT resources from cyber threats, provide One DHS Infrastructure platform, and foster information sharing across the Department. These initiatives fully support the Department's strategic goal to strengthen and unify DHS operations and management.

National Security Systems (NSS) – The NSS Program provides the environment for sharing and processing classified (Secret and Top Secret/SCI) information across the homeland security enterprise. This new PPA has three major projects that provide DHS the capability to receive, transmit, process and safeguard classified information: Homeland Secure Data Network (Secret network), Homeland Top Secret/SCI Network, and Communications Security Modernization. The CIO is requesting this reorganization to clearly identify projects associated with the securing of classified networks and the equipment utilized for secure communications. In prior years, this PPA contained only the Homeland Secure Data Network (HSDN).

The HSDN project is a classified wide-area network for DHS and its components, with specific and controlled interconnections to the Intelligence Community (IC) and federal law enforcement resources. HSDN is a critical asset to provide a pathway for secure information to reach federal agencies that are involved in homeland security. With

HSDN capabilities, DHS has the ability to collect, disseminate and exchange both tactical and strategic intelligence information throughout DHS and DHS partners. HSDN provides a state-of-the-art, flexible, secure through security certification and accreditation, Secret-classified, collateral, integrated, and centrally managed enterprise wide-area network.

The Homeland Top Secret/SCI Network (HTSN) project provides consolidation, alignment and management of an enterprise-wide comprehensive architecture and information sharing capability. The project enables intra-DHS TS/SCI communication, common provisioning of enterprise applications including office, file shares, e-mail; central Network and Security Operations Centers; centrally managed back-up, disaster recovery and Continuity of Operations capabilities; and redundant and controlled access to Joint Worldwide Intelligence Communications System (JWICS) and Intelligence Community resources. The project leverages existing and planned DHS network circuits to components.

The Communications Security (COMSEC) Modernization project provides a variety of COMSEC equipment and technical support to secure all the classified communications within the Department to protect the dissemination of Intelligence information on dangerous people and their activities. Further, the COMSEC program provides the support mechanism for secure communications interoperability between DHS HQ, components, State, Local, Tribal Governments, and the Department of Defense as well as other Government Agencies and Organizations.

C – Budget Request Summary:

The CIO requests \$398.459M, 322 positions and 309 FTE for the FY 2011 Budget. The total net adjustment-to-base is an increase of \$1.831M, 27 positions, and 106 FTEs. This adjustment-to-base includes a 2011 pay inflation increase of \$226K, annualization of 2010 pay rise of \$108K, a Working Capital Fund increase of \$78K, a GSA Rent increase of \$1.419M, and an increase of 106 FTE resulting from contractor conversions.

CIO requests a net increase of \$58.235M for the following program changes in FY 2011:

- An increase of \$1.358M for the stand-up of the Office of Accessible Systems and Technology. Funding will be used to support the Operations & Maintenance and enhancements for the Accessibility Compliance Management System and to purchase Section 508-related testing tools for use by component-level testing programs across DHS.
- An increase of \$5M for Enterprise System Delivery program. Funding will go towards consolidating legacy component Web 2.0 infrastructure at legacy data centers which will be integrated into the target SharePoint environment at the department's data centers. Funds will be used to support the target intranet

website (DHSONline replacement) for use by components, the Idea Factory, and other enterprise unifying initiatives.

- An increase of \$7.609M for Enterprise Data Management program. Additional funding will allow the Enterprise Data Management Office to put in place procedures and practices across the components that will lower development costs by \$100M and decrease Operations and Maintenance of data by \$370M by FY 2013. The additional funds will allow DHS to build data standards for the Information Sharing Environment such as Alerts and Warnings, Suspicious Activity, Terrorist Watch Lists, and Cargo/Trade Screening. It will also allow DHS to support the National Information Exchange Model (NIEM) Program Management Office, including support to State and Local participation in the Information Sharing Environment thru the tools, training and technical support for the NIEM program.
- An increase of \$32.268M for Information Security and Infrastructure program. Increased funding will allow the Department of Homeland Security to consolidate component e-mail messaging systems into the DHS Stennis and EDS Data Centers through the standup of a unified E-mail as a Service (EaaS) capability. The increase in resources will also enhance the Single Sign-on (SSO) and Public Key Infrastructure(PKI) by leveraging technologies which will improve operator access to timely, secure mission applications for DHS employees and Federal, State, Local and Private Sector Partners.
- An increase of \$2.2M for the Homeland Secure Data Network to provide security enhancements to the classified wide-area network for DHS and its components, with specific and controlled interconnections to the Intelligence Community and federal law enforcement resources. With HSDN capabilities, DHS has the ability to collect, disseminate and exchange both tactical and strategic intelligence information throughout DHS and DHS partners.
- An increase of \$16.1M for Homeland Top Secret Network program. This new initiative will provide a centrally governed Enterprise-level Top Secret/SCI network which also enables intra-DHS TS/SCI communication, common provisioning of Enterprise applications including Office, file shares, e-mail; central NOC and SOC. Centrally managed back up, recovery and COOP operational capability, redundant and controlled access to JWICS and IC resources.
- A decrease of \$1.1M in the Applied Information Technology and Research Services program. This is due to the termination of the Applied Information Technology and Research Services program.
- A decrease of \$5.2M in the Infrastructure Operations program. This decrease will not impact OCIO's ability to protect the department's critical IT infrastructure.

- National Security Systems (NSS) is a new PPA beginning in FY 2011. In prior years, this PPA contained only the HSDN program. OCIO is requesting a reorganization of this PPA to include the COMSEC modernization and Homeland Top Secret/SCI Network projects. This reorganization will allow OCIO to properly align the above named projects with their IT responsibility for securing classified networks and communications for the Department.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	¹ FY 2009 Actual		² FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses	98	86,122	161	86,912	216	82,727	55	(4,185)	-	(4,942)	55	757
Information Technology Services	-	59,883	30	51,417	69	56,079	39	4,662	-	12,609	39	(7,947)
³ Infrastructure and Security Activities	-	134,133	11	152,403	22	185,644	11	33,241	-	32,268	11	973
Wireless Activities	-	2,543	-	-	-	-	-	-	-	-	-	-
⁴ National Security Systems	-	53,854	1	47,661	2	74,009	1	26,348	-	18,300	1	8,048
Subtotal, Enacted Appropriations and Budget Estimates	98	\$336,535	203	\$338,393	309	\$398,459	106	\$60,066	---	\$58,235	106	\$1,831
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	98	\$336,535	203	\$338,393	309	\$398,459	106	\$60,066	---	\$58,235	106	\$1,831

Notes:

¹ FY 2009 Actuals includes obligations from prior year funding.

² The FY 2010 Enacted was 94 FTP/FTE.

³ Name of PPA modified only; all programs, projects, and activities remain the same as in prior years.

⁴ National Security Systems is a new PPA beginning in FY 2011. Prior year budget numbers are for the Homeland Secure Data Network, which is a program under this PPA in FY 2011.

III. Current Services Program Description by PPA

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Program Performance Justification**
(Dollars in Thousands)

PPA: Salaries and Expenses

	Perm. Pos	FTE	Amount
2009 Actuals	98	98	86,122
¹ 2010 Enacted	211	161	86,912
2011 Adjustments-to-Base	10	55	757
2011 Current Services	221	216	87,669
2011 Program Change	-	-	(4,942)
2011 Total Request	221	216	82,727
Total Change 2010 to 2011	10	55	(4,185)

The Office of the Chief Information Officer requests 221 positions, 216 FTEs, and \$82.727M for this activity. This is an increase of 10 positions, 55 FTEs over the FY 2010 revised enacted level and includes a decrease of \$4.185M in budgetary resources. The adjustment to base includes increases in Working Capital Fund contributions, GSA Rent charges, and an increase of 55 FTE resulting from contractor conversions. The program change decreases are due to the elimination of the Applied IT and Research Services program and the decrease in the Infrastructure Operations program. The increases in adjustments-to-base are for pay inflation and the Working Capital Fund cost increases.

The OCIO is committed to building a strategic human capital planning capability that is supported by a structured total workforce approach; one that seeks efficiencies, cost effective performance improvements, and a more appropriate balance of in-house and contractor resources. During FY 2010, and with the FY 2011 request, the OCIO is implementing a DHS Balanced Workforce Strategy involving contractor conversions and the creation of additional personnel positions to provide greater government oversight and management of IT projects. The additional positions being requested in FY 2011 will be funded through the realignment of base resources.

¹ The FY 2010 Enacted level is 94 FTP/FTE, but is revised based on the DHS Balanced Workforce Strategy for FY 2010 and FY 2011.

CURRENT SERVICES PROGRAM DESCRIPTION:

DHS Information Security Program

The DHS Information Security Program provides oversight to ensure a secure and trusted computing environment that enables the Department to effectively share information in support of its mission. It also works to ensure compliance with the Federal Information Security Management Act (FISMA) and National Institute of Standards and Technology (NIST) security policies and requirements. The services of the program are to develop and document departmental information security requirements, develop enterprise security management tools, and oversee the implementation of information security for the information and systems that support the operations of the Department. Specifically, the program provides:

Security Policy – Establishes and implements DHS information security policies and guidance to ensure the protection of DHS information resources, and incorporate new information security requirements and best practices promulgated by Congress, the Office of Management and Budget (OMB), Homeland Security Presidential Directives (HSPDs), and NIST.

Security Architecture/Strategy - Supports information sharing and interoperability by integrating information security architecture with DHS Enterprise Architecture (EA), System Life Cycle, Capital Planning Investment Control (CPIC), and acquisition processes. Security Architecture works to develop enterprise procedures for dealing with cyber attacks, incidents, and newly discovered vulnerabilities (including patch management). Additionally, Security Architecture assesses technologies that show the greatest promise for enhancing information sharing and security and that can be scaled for enterprise application.

Compliance and Oversight – Comprises the management and oversight of the IT system inventory, the certification and accreditation (C&A) process, Plans of Action and Milestones (POA&M), FISMA reporting, the implementation of security management tools, and visits to assist with component compliance. The program also includes oversight of weakness remediation to resolve IT security weaknesses. This activity supports security metrics verification and enhancements to security tools to integrate functionality to improve FISMA compliance management and reporting.

DHS IT Security Awareness, Training, and Education - Ensures that all Federal regulations, OMB, and NIST guidance relating to IT Security Training are complied with. It supports the standardization of security content development within the Department. The IT Security Training Program provides IT Security Awareness, role-based IT security training for personnel with significant security responsibilities, and provides role-based training to improve reporting for FISMA and related metrics.

FY 2009 Accomplishments

- Maintained full FISMA compliance for over 700 systems in the Department's annual inventory;
- Implemented a standardized operational review methodology to ensure compliance with network and technical guidance;
- Continued to standardize the Department's security operations activities;

- Monitored and reported DHS components' progress on completing system accreditations and resolving weaknesses identified in the components' respective POA&Ms; and
- Completed a rigorous review of the Enterprise Infrastructure and Architecture to ensure compliance with the Security Architecture Guidance annual review.

FY 2010 Planned Accomplishments

- Improve the Department's classified cyber threat information processing capability and improve the analytical capability to better understand and respond to sophisticated threats;
- Conduct in-depth Technical Reviews for at least 20% of the Department's IT systems to assess quality assurance and validate compliance with DHS security requirements;
- Continue to upgrade the DHS IT system inventory, which includes aligning investments to IT systems;
- Implement weakness remediation plan for operational systems by focusing on effective POA&M management;
- Continue to enhance and maintain security management tools for FISMA compliance management and reporting; and
- Continue implementation of the OCIO/ISO Staffing with a goal of 80% staffing on board by the fourth quarter.

FY 2011 Planned Accomplishments

- Continue to improve the Department's classified cyber threat information processing capability and improve the analytical capability to better understand and respond to sophisticated threats;
- Continue the implementation of the Information Strategic Plan;
- Conduct in-depth Technical Reviews for at least 20% of the Department's IT systems to assess quality assurance and validate compliance with DHS security requirements;
- Continue to upgrade the DHS IT system inventory, which includes aligning investments to IT systems;
- Continue to enhance and maintain security management tools for FISMA compliance management and reporting;
- Monitor and report DHS component's progress with completing system accreditations and resolving weaknesses identified in the component's POA&M; and
- Continue the OCIO/ISO hiring recruitment with a goal of 100% fully staffed by the fourth quarter.

Infrastructure Operations

Infrastructure Operations (IO): IO includes initiatives for the following: Information Technology Security, Security Awareness and Training, Incident Response Team, Information Assurance Team, Headquarters Operations Center, and IT Business Process Re-engineering. IO program capabilities provide network, e-mail, internet, intranet, telecommunications infrastructure and end-user services including desktop computing, telecommunications, cell phones, Blackberry devices, printers, and peripheral equipment to users in the DHS Headquarters Offices.

IO responds to changes that include increases in Headquarters personnel, moves and consolidations of office space, renovations of facilities, and the expansion of mission

applications. IO also responds to infrastructure changes during periods of emergency, infrastructure disruption, and disasters by performing IT Contingency, IT Disaster, and business continuity planning as well as IT/communications support to those situations requiring a FEMA response. In addition, IO also provides two alternate sites with necessary IT/communications capabilities to support emergency operations during periods of activation by the President or Secretary for Continuity of Operations (COOP).

DHS' mission requires high performance standards for multiple data, voice and video network environments (sensitive but unclassified (SBU), Secret, and Top Secret/Sensitive Compartmented Information) with higher than normal levels of redundancy and continuous support. The IT infrastructure is comparable to the Department of Defense (DOD) in its scope, complexity and need for uninterrupted service. In the event of a national security emergency, the infrastructure must have the resiliency and capacity to provide uninterrupted operations to ensure that DHS maintains the ability to coordinate actions to protect the homeland.

This program also provides IT Continuity Management which includes: performing periodic risk, interdependency and business impact assessments; developing recovery strategies, writing business resumption, incident response and escalation, and network/system specific contingency plans; and conducting test, training, and exercise of plans and capabilities to ensure the continuation of services and capabilities. Continuity of Operations responsibilities include the IT/communications services and support of the components, preparation of exercises with more than 60 departments and agencies participating in efforts to test and improve their ability to perform essential government functions during threats and emergencies, and developing supporting capabilities and plans within the Office of the CIO.

Information Technology Security: The Information Technology Security program organizes mandated requirements and “best practices” to ensure security controls and measures are functional, active and assessed with respect to the business mission and acceptable level of risk acceptance. The program leverages DHS security stakeholder relationships with an application of Federal security policies, guidelines, and directives to partner with Chief Information Security Officer (CISOs) and Information Systems Security Managers (ISSMs) throughout the HQ DHS enterprise in refining the DHS security mission. The successful implementation of this program, as a whole, is absolutely essential and critical to protect America's sensitive and classified information, meet mandated security requirements, and ensure the Department of Homeland Security is practicing due diligence in protecting such information.

The key strategies to achieve this are:

- **Policy Adherence** – The IT Security Program promotes compliance in all areas of the DHS IT infrastructure. Current DHS IT standards provide the backbone to the program; therefore, enforcing the use and compliance to these standards not only ensure a standard security posture, but it also assists in mitigating unnecessary risk;
- **Key Stakeholder Collaboration** – The IT Security Program relies upon vigorous partnership and collaborations throughout the DHS CIO organization and its affiliates to execute security controls and enforce security standards. Coordination within the organization is critical to the program; and

- **Best Practices Familiarity** - The strategies, policies and methodologies of the IT Security Program are based on industry best practices as well as federally-mandated standards.

The IT Security Program's planning and reporting applies information security policies, executes the DHS Security Program to meet (FISMA) objectives, and oversight of DHS cyber-infrastructure integration. It also provides Certification & Accreditation and Information Systems Security Officer services, including project-specific security integration services, FISMA reporting, and security policy development. Specifically, the program addresses security plans and reports; identifies the personnel and approach needed for the DHS HQ to meet the requirements of FISMA and DHS Management Directive (MD) 4300.1; respond to congressional and audit requests, and enable situational awareness of DHS HQ information security posture.

FY 2009 Accomplishments

- Acquired a suite of security applications products to better assess the security posture of the HQ IT infrastructure;
- Implemented an improved Information Security Vulnerability Management and Patch Management Process, and assigned roles and responsibilities; assessed patching of Linux Systems; prepared Patch Management Plan for non-Window Servers;
- Issued or expounded upon existing DHS and Federal policies regarding IT security;
- Conducted the first annual National Security Agency Blue Team Assessment for the DHS Secret network;
- Put mission focus and internal resources in place to facilitate annual National Security Agency Blue Team Assessments for DHS Unclassified and Secret networks;
- Developed methodology for determining complexity of DHS systems in support of effort to allocate security expenditures to ITSO Divisions and specific programs;
- Renamed and made permanent the DHS Infrastructure Change Control Board (ICCB), expanded ICCB scope to include Directory Services and Exchange Services (DSES) and Single Sign-On infrastructure, and added as ICCB voting members the Office of Intelligence & Analysis and the Science & Technology Directorate; and
- Completed the update of information in the Trusted Agent FISMA (TAF) for the Office of Management and Budget (OMB) 300 Exhibit with all systems within DHS.

FY 2010 Planned Accomplishments

- Baseline the security suites to provide the best scope from a defense in depth perspective of the HQ IT Infrastructure;
- Conduct the second annual National Security Agency Blue Team Assessment for the DHS unclassified and Secret networks; and
- Complete the update of information in the Trusted Agent FISMA (TAF) for the Office of Management and Budget (OMB) 300 Exhibit with all systems within DHS.

FY 2011 Planned Accomplishments

- Complete the update of information in the Trusted Agent FISMA (TAF) for the Office of Management and Budget (OMB) 300 Exhibit with all systems within DHS.

Security Awareness and Training: Capabilities include reviewing current DHS security training process, procedures, and content for accuracy and relevance, and make recommendations where improvements can be made.

FY 2009 Accomplishments

- Developed a Security Awareness Role-based Training program and conducted a pilot program.

FY 2010 Planned Accomplishments

- Continue the process of fortifying or constructing security awareness materials to refine the strategy of risk avoidance through improved training tailored to specific security functions.

FY 2011 Planned Accomplishments

- Continue the process of fortifying or constructing security awareness materials to refine the strategy of risk avoidance through improved training tailored to specific security functions.

Security Compliance and Oversight: Compliance with information security laws, guidance, regulations, and policies is a necessary part of any security program. A mix of information security practitioners, such as engineers, policy developers and certification and accreditation (C&A) professionals that have the necessary skills to review processes and procedures in the areas of National Security Agency Red Team-Blue Team exercises, compliance audits, C&A, and Service Level Agreements (SLAs) are engaged to action and report findings back to the CISO.

FY 2009 Accomplishments

- Completed majority of project actions to mitigate Blue Team findings about LAN A and verified their compliance.
- Completed remediation of printers, Internetwork Operating System (IOS) code upgrade, and BlackBerry remediation.
- Conducted testing and began implementation of Random Password Manager (RPM) at Stennis.
- Addressed meeting Microsoft Federal Server Core Configuration (FSCC) and Chief Information Security Officer (CISO) requirements.

FY 2010 Planned Accomplishments

- Initiate and remedy a new iteration of Blue Team Assessments for one or more of the enclaves within the ITSO umbrella; and
- Improve the consistency of Federal Information Security Management Agency (FISMA) score – maintain current ‘A’ grade score.

FY 2011 Planned Accomplishments

- Improve the consistency of Federal Information Security Management Agency (FISMA) score – maintain current ‘A’ grade score.

Incident Response Team: Tracks and mitigates incidents involving the unintentional release (spillage) of secure IT information, as well as, deviations from Rules of Behavior use of DHS IT

systems and equipment; and provides recommendations for closure to the HQ CISO and tracks and reports incidents via the DHS Security Operations Center (SOC) Portal.

FY 2009 Accomplishments

- Remedied 100% of identified security incidents to closure with approval from the HQ CISO.

FY 2010 Planned Accomplishments

- Maintain 100% remediation of identified security incidents to closure with approval from the HQ CISO.

FY 2011 Planned Accomplishments

- Remedy 100% of identified security incidents to closure with approval from the HQ CISO.

Information Assurance Team: Mission involves detecting, reporting, and responding to cyber threats. It entails testing the security of customers' systems, providing Operations Security (OPSEC) assistance, and evaluating commercial software and hardware against nationally set standards to better meet the department's information assurance needs.

FY 2009 Accomplishments

- Positioned an IA Lead at each of the Data Centers utilized by DHS to ensure compliance and situational awareness;
- Created a testing lab to test security solutions or identify issues with a proposed implementation;
- Prepared ISB Security Capabilities Overview Briefing for presentation at the US Immigration and Customs Enforcement (ICE) 'Birds of a Feather' Conference;
- Reviewed 394 Change Requests (CRs) and provided security assessments and security control recommendations prior to review by the Infrastructure Change Control Board (ICCB). Reviewed 147 CRs and provided security recommendations prior to review by the Review and Approval Committee (RAC); and
- Tested, scanned and/or provided hundreds of results and security assessments of Privileged Access Requests (PARs), computer hardware and application additions, from a defense-in-depth perspective, resulting in a more expedient business and security determination to approve or deny PAR requests or determine the need for system accreditation or re-accreditation.

FY 2010 Planned Accomplishments

- Using the testing environment implemented in FY 2009, collaborate with other Divisions of ITSO to evaluate security issues and solutions for a proposed rollout within the HQ IT Infrastructure; and
- Facilitate the alignment of federal desktop core configuration requirements as mandated by OMB.

FY 2011 Planned Accomplishments

- Using the testing environment implemented in FY 2009, continue to collaborate with other Divisions of ITSO to evaluate security issues and solutions for a proposed rollout within the HQ IT Infrastructure.

Headquarters Operations Center: The Headquarters Services Division (HSD) within the CIO has determined that the creation of a central facility for CIO network and security monitoring will alleviate many historical support issues and allow for efficient growth of the Department of Homeland Security's network infrastructure. This central facility was completed in April 2008 at the Nebraska Avenue Complex (NAC) and is commonly referred to as the Headquarters Operation Center (or the HOC). The IT security aspects of the HOC are supported by resources and oversight of the Information Security Division's personnel and provide Initial Operation Capability with three security personnel. This portion of the HOC mission is called the Security Management Center (SMC) and includes efforts to:

- Reduce the IT infrastructure vulnerabilities;
- Protect confidentiality and data integrity to ensure privacy and security;
- Identify and assess the vulnerability of key critical infrastructure assets;
- Develop timely and actionable information from intelligence and vulnerability assessments;
- Provide capabilities to detect and prevent terrorism and other illegal activities;
- Ensure the continuity of essential functions in the event of disaster; and
- Strengthen nationwide recovery plans and capabilities.

The SMC is responsible for assuring delivery and maintenance of available, confidential and high integrity IT and telecommunications services. In addition, the SMC is responsible for managing the configuration, operation, monitoring and maintenance of security devices deployed around the enterprise and responding to security events for all three DHS network enclaves. During subsequent phases of the HOC project, the contractor personnel will be replaced by Customs and Border Protection (CBP) personnel.

FY 2009 Accomplishments

- Achieved Full Operating Capability of the HOC; and
- Replaced contractor personnel with CBP personnel to perform security monitoring with the HOC.

FY 2010 Planned Accomplishments

- Review and update the applications and vehicle for retaining CBP to perform security monitoring within the HOC.

FY 2011 Planned Accomplishments

- Posture the HOC to be able to elevate SCI events reporting to the appropriate levels within the Intelligence Community; and
- Maintain the applications and vehicle for retaining CBP to perform security monitoring within the HOC.

Applications Operations & Maintenance (AO&M)

AO&M plans, implements, and maintains development, test and production infrastructure within both enterprise data centers to support the efficient development and implementation of enterprise application services. AO&M also provides ongoing maintenance and operations of enterprise application services, and implements necessary controls and procedures to enable the

cost effective delivery of secure services. These funds include the operation and maintenance of enterprise application services that support the DHS Headquarters and other DHS components, including enterprise internet/extranet/ intranet portals (e.g., DHS.gov, DHS Online, and DHS Interactive) and several CFO, CPO, and CAO applications.

FY 2009 Accomplishments

- Consolidated web physical infrastructure to include Storage Area Network, backup and database licenses to reduce licensing and operational cost; and
- Deployed applications to second data center to achieve full availability and reliability to support COOP requirements.

FY 2010 Planned Accomplishments

- Establish Development and Test infrastructure within both enterprise data centers for development of enterprise application services;
- Develop and implement virtualization framework to enable rapid provisioning of secure development/test/production environments and reduce overall operational costs; and
- Establish SharePoint as a service in both enterprise data centers.

FY 2011 Planned Accomplishments

- Certify and accredit development/test/production environments for high availability, confidentiality, and integrity.

Infrastructure Transformation Program (ITP) Operations

The Infrastructure Transformation Program (ITP) was established in FY 2004 as part of on-going efforts to optimize the Department of Homeland Security's (DHS) Information Technology (IT) infrastructure and increase the Department's effectiveness and efficiency.

ITP is led by the Chief Information Officer (CIO) and each project ("Domain") is led by a component acting as a Steward.

FY 2009 Accomplishments

- Supported operations and maintenance expenditures related to ITP investments (e.g. Network and Active Directory Exchange (Adex)/E-mail); and
- Ensured capability readiness and migration of legacy data center systems to the DHS Data Centers.

FY 2010 Planned Accomplishments

- Support operations and maintenance expenditures related to ITP investments (e.g. Network, Adex/E-mail, Single Sign-On and Wireless).

FY 2011 Planned Accomplishments

- Support operations and maintenance expenditures related to ITP investments (e.g. Network, Adex/E-mail, Single Sign-On and Wireless).

PPA: Information Technology Services

	Perm. Pos	FTE	Amount
2009 Actuals	59,883
² 2010 Enacted	60	30	51,417
2011 Adjustments-to-Base	17	39	(7,947)
2011 Current Services	77	69	43,470
2011 Program Change	12,609
2011 Total Request	77	69	56,079
Total Change 2010 to 2011	17	39	4,662

The Office of the CIO requests 77 positions and 69 FTEs and \$56.079M for Information Technology Services, an increase of 17 positions, 39 FTEs, and \$4.662M over the FY 2010 revised enacted amount. The adjustment-to-base is a result of Working Capital Fund and GSA Rent cost increases and the realignment of the COMSEC modernization program (\$8.022M) to the National Security Systems program, as well as an increase of 39 FTE resulting from contractor conversions. The requested FY 2011 program increase of \$12.609M is for the Enterprise Data Management and the Enterprise Service Delivery programs, which are further discussed in the program change section.

The OCIO is committed to building a strategic human capital planning capability that is supported by a structured total workforce approach; one that seeks efficiencies, cost effective performance improvements, and a more appropriate balance of in-house and contractor resources. During FY 2010, and with the FY 2011 request, the OCIO is implementing a DHS Balanced Workforce Strategy involving contractor conversions and the creation of additional personnel positions to provide greater government oversight and management of IT projects. The additional positions being requested in FY 2011 will be funded through the realignment of base resources. In future budget requests, the OCIO will realign personnel and funding to Salaries and Expenses.

CURRENT SERVICES PROGRAM DESCRIPTION:

Geospatial Management Office (GMO)

The Geospatial Management Office (GMO) provides oversight and guidance to DHS component organizations for geospatial policy and technology matters and serves as the central point of coordination for the maturing geospatial investment across the Department. The GMO executes a comprehensive program that enables the effective, collaborative, and integrated application of geospatial capabilities. DHS requires coordinated, and in some cases consolidated, enterprise geospatial solutions for emergency management, law enforcement, and other homeland security mission objectives, to ensure efficient and cost effective shared use of geospatial assets. The

² The FY 2010 Enacted level is 0 FTP/FTE, but is revised based on the DHS Balanced Workforce Strategy for FY 2010 and FY 2011.

GMO is also a participant on and thought leader for the coordination of the OMB Geospatial Line of Business (LoB) initiative across the Federal geospatial community of interest.

FY 2009 Accomplishments

- Demonstrated cost avoidance benefits from applying portfolio management to geospatial investments of the DHS enterprise by fully funding (\$5.24M per year) Enterprise License Agreement for geospatial software valued at \$21.1M;
- Established a Geospatial Concept of Operations to support the National Response Framework. Initial baseline work product intended to improve National Incident Management System (NIMS) and National Response Framework (NRF) geospatial information management concepts and principles; and more clearly define roles and responsibilities for creating and disseminating geospatial products during all phases of the emergency management lifecycle;
- Established the Geospatial Information Infrastructure (GII) support services to provide an infrastructure to meet both common and mission-specific geospatial requirements of DHS components. The GII will be a modular, scalable, managed infrastructure that includes a core architecture, common operating data, and enterprise geospatial services. Capabilities provided through the GII will leverage economies of scale, existing investments, and shared services enhancing both the capability and cost effectiveness of partner geospatial initiatives;
- Supported the migration of the NPPD geospatial service (iCAV) into the EDS Data Center as the initial capability of the GII;
- Operationalized a capability to provide GPS interference reports to all Federal partners to support law enforcement, intelligence and operational missions of DHS and comply with DHS responsibilities under NSPD-39;
- Coordinated with the DHS Office of Grant Policy and Oversight to release geospatial guidance specific to the Homeland Security Grant Program;
- Provided technical staff to support the Federal Emergency Management Agency's National Response Coordination Center (NRCC) during Stafford Act declarations and the Secret Service during National Special Security Events (NSSE);
- Supported the establishment of the Department's Interagency Remote Sensing Coordination Council (IRSCC) by performing an imagery collection assessment, infrastructure requirements for a discovery and dissemination services;
- Contributed to the eGov Geospatial Line of Business activities in a coordinated approach to assess and prioritize tasks and data initiatives that support the mission objectives of the Department;
- Refined and consolidated the Geospatial Domain within the National Information Exchange Model (NIEM) and established the GMO as the domain steward;
- Revised and updated the Department's Geospatial Data Model (v 2.7);
- Supported the coordination of the delivery of DHS COD to the State and Local community through the HSIP Freedom program via HSIN;
- Completed 2008 Federal Radio-navigation Plan for the Secretary's signature;
- Established a standard reporting format for reporting GPS interference related issues to be used by USAF GPS Operations Center, USCG Navigation center and the FAA National Operations Center; and

- Completed requirements development for creating a central data repository for GPS interference reports. Utilized proven FAA's Spectrum Engineering Tracking System technical capability and significantly reduced risk and greater than \$1.25M cost avoidance.

FY 2010 Planned Accomplishments

- Demonstrate cost avoidance benefits from applying portfolio management practices to geospatial investments of the DHS enterprise of at least \$10M;
- Complete migration of DHS component's geospatial software into the enterprise-wide Environmental Systems Research Institute (ESRI) Smart-Buy investment, projecting cost savings for the Department of over \$4.75M, representing an O&M phase of support and allowing for targeted expansion (5x) of select component usage (e.g. ICE), with corresponding cost savings;
- Implement shared enterprise services through the Geospatial Information Infrastructure; potential examples include geo-coding, map sharing, and user defined operational pictures (UDOP), avoiding costs of individual component implementations while increasing DHS interoperability to support disaster response and other missions;
- Consolidate two component geospatial applications to the target DHS geospatial information infrastructure (GII) target architecture, avoiding O&M costs for stand alone systems;
- Extend the Geospatial Concept of Operations to reflect requirements of a catastrophic disaster;
- Continue to look for areas to provide additional geospatial standards, guidance and recommendations for use in other DHS grant and financial assistance areas;
- Build upon eGov Geospatial Line of Business to access, produce, maintain, and utilize geospatial data to ensure and continue sustainable participation from Federal partners, and extend participation to State, Local and Tribal partners and the commercial stakeholder community;
- Establish DHS commercial remote sensing professional services contracts to provide remote sensing support to FEMA during emergency events. Coordinate with federal partners to disseminate post event data using existing geospatial portals in accordance with DHS functional requirements;
- Implement shared enterprise services for streaming video, imagery feature and map services, avoiding costs of individual component implementations while increasing DHS interoperability to support disaster response and other missions;
- Complete GPS risk assessment and technical capability gaps of Critical Infrastructure Key Resources (CIKR) sectors to baseline and develop a national level operations response plan. Prioritize CIKR sectors to identify mature technical capabilities for the protection of CIKR sectors;
- Continue to conduct Command Post Exercises (CPX) to identify response capability gaps among USG participants. Conduct CPX as part of national level exercise;
- Continue to engage DHS S&T and participate in capstone initiatives for Office of Applied Technology (OAT) positioning, navigation and timing programs;
- Complete national sensor strategy for positioning, navigation, and timing sensor capability requirements documentation to initiate development of Patriot Watch and Patriot Shield;
- Continue to work with Department of State on Presidential Study Directive – 3 on space-based PNT services as related to interference, detection and mitigation capabilities;
- Complete 2010 Federal Radio-navigation Plan;

- Continue working with National Geospatial Agency (NGA) on the development of domestic sensor gathering capabilities based on the DOD/NGA Joint Logistics Operations Center (JLOC) model. Establish DHS domestic JLOC master station for storing spectrum data;
- Complete feasibility studies at White Sands Missile Range on mature technical capabilities to be used in the national sensor network, Patriot Watch/Patriot Shield; and
- Consolidate USG efforts on development of a domestic sensor network.

FY 2011 Planned Accomplishments

- Renegotiate the enterprise agreement for the Environmental Systems Research Institute (ESRI) Smart-Buy investment, projecting cost savings for the Department of at least \$4.75M. Continue to expand component usage, with corresponding cost savings;
- Consolidate three additional component geospatial applications to the target DHS geospatial information infrastructure (GII) target architecture, avoiding O&M costs for stand alone systems;
- Extend the Geospatial Concept of Operations to reflect requirements for law enforcement missions;
- Implement shared enterprise services; potential examples include geo-coding, imagery service, and map sharing avoiding costs of individual component implementations while increasing DHS interoperability to support disaster response and other missions;
- Expand enterprise services for streaming video and imagery services, avoiding costs of individual component implementations while increasing DHS interoperability to support disaster response and other missions; and
- Frame the national sensor network into Patriot Watch and Patriot Shield. Work with DoD on risk assessment associated with utilization of Patriot Shield for domestic use.

Enterprise Architecture (EA)

Enterprise Architecture supports a "blueprint" for systematically and completely defining DHS' baseline environment, target environment, and transition plan to a common IT environment. This program establishes a Department-wide roadmap to improve mission effectiveness and efficiency, eliminate existing stovepipe systems, and increase interoperability and information sharing. It ensures the essential evolution of information systems and the development of a common environment.

FY 2009 Accomplishments

- Documented benefits from the DHS EA process for costs avoidance and/or efficiency improvements of \$30M;
- Used the Homeland Security Enterprise Architecture (HLS EA) to guide the Strategic Requirements Planning Process (SRPP), Directive 102.1 (acquisition management policy), the Integrated Planning Guidance (IPG) FY 2011-2015 and the Quadrennial Homeland Security Review (QHSR) process;
- Enterprise Architecture Information Repository achieved IOC for the pilot at the SBU level;
- Transitioned to the DHS target architecture for 25% of all Data Center needs and 75% of all network needs;
- Conducted 100% of the mandated certifications or reviews of major IT programs; (EAB Reviews 40, ITAR Reviews 340, ACE M1 CDR);

- Developed Segment Architectures for Law Enforcement Shared Mission Community, National Biosurveillance Information Sharing Environment, and Identity & Access Management; and
- Updated the Screening, Intelligence and Enterprise IT Infrastructure Services segment architectures.

FY 2010 Planned Accomplishments

- Demonstrate benefits from the DHS EA process for costs avoidance and/or efficiency improvements for at least \$30M;
- Incorporate results of the SRPP into the re-validation process for the mission/business architecture;
- Develop Segment Architectures for 4 of the 10 functional areas of the HLS EA;
- Document, by the end of FY 2010, transition to the DHS target architecture for 65% of all Data Center needs and 95% of all network needs;
- Conduct four critical design or production readiness reviews of major IT programs; and
- Implement the Performance Reference Model (PRM) governance process with the DHS Performance Improvement Office.

FY 2011 Planned Accomplishments

- Demonstrate benefits from the DHS EA process for costs avoidance and/or efficiency improvements for at least \$50M;
- Completed Segment Architectures for 7 of the 10 functional areas of the HLS EA;
- Document by the end of FY 2011, transition to the DHS target architecture for 85% of all Data Center needs and 99% of all network needs;
- Conduct four critical design or production readiness reviews of major IT programs; and
- Track implementation of the Performance Reference Model (PRM) in coordination with the DHS Performance Improvement Office.

Enterprise Data Management

The Enterprise Data Management program provides the Enterprise Architecture Data Reference Model for the understanding of data assets within and across the Department. The Enterprise Data Management Office (EDMO) establishes the guidance and oversight to DHS for data policy, data management, and data stewardship. This program supports the development of the Department-wide roadmap for data to improve mission effectiveness and efficiency, eliminating existing stovepipe data systems, and increasing interoperability and information sharing. The Data Reference Model (DRM) is a key governance tool to assure that mission needs drive technology investments. Additionally, through the use of the DRM, the EDMO is expected to recommend realignment of IT Investments or Acquisitions through the identification of targets at an estimated reduction of \$10M in annual IT costs by reducing the systems under maintenance, or driving common requirements for the development of centralized services.

The EDMO's program plans integrate information sharing requirements and enable access across all levels of government, first responders, and stakeholders in the private sector through the use of National Information Exchange Model (NIEM), development of Information Exchange Package Document (IEPD) guidelines, and collaboration with DHS components and external partners for IEPD development.

FY 2009 Accomplishments

- Demonstrated repeatable Enterprise Data Management business case that showed cost avoidance of \$24M, (\$14M over target) in the reduction of new development through discovery and re-use of existing assets, by use of the Data Asset Repository (DAR) and/or NIEM implementation.
 - Continued development and support of the National Information Exchange Model (NIEM) as a standard for information exchange for the Department, including specific DHS information exchanges or Domains, such as (but not limited to):
 - Integration of Maritime domain community into NIEM in support of HSPD 13-driven Maritime Domain Awareness (MDA) information-sharing between USCG, Navy, CBP, and other Federal, state, local and international allies;
 - Developed the Core Biographic Person Data Elements information exchange within the Person Screening functional areas in support of the DHS Screening Coordination Office (SCO); and
 - Developed the NIEM-based person biometrics interoperability between major Federal agencies and DHS with the augmentation of the Terrorist Watchlist Person Data Element Standards into the US VISIT IDENT information exchange.
 - Advanced the to-be target data architecture including the development of at least 2 mission based Logical Data Models identified by the EA Transition Strategy; and
 - Identified and adopted international or industry data standards into EA, with an expected volume of 20 data standard insertions as part of the target data architecture.

FY 2010 Planned Accomplishments

- Develop the Baseline to understand the 'Total Cost of Data' within the department (i.e. the total cost to maintain and store data); and
- Demonstrate cost avoidance of \$10M in the reduction of new development through discovery and re-use of existing assets, by use of the Data Asset Repository (DAR) and/or National Information Exchange Model (NIEM) implementation.

FY 2011 Planned Accomplishments

- Measure the cost avoidance in IT dollars within the department as dollars spent shift from Operations & Maintenance (O&M) phase to Design, Modernization and Enhancements (DME) phase through the effective discovery and re-use of the Data Asset Repository (DAR);
- Measure the cost avoidance in IT dollars not spent the DME phase due to NIEM implementation;
- Roll-out formal NIEM Training Curriculum to the department to meet the needs of diverse stakeholders; and
- Increase rate of NIEM adoption to 90% of Major DHS IT Level 1 and 2 Programs.

Enterprise Service Delivery (ESD)(formerly Enterprise Application Delivery)

ESD provides the planning and delivery of secure, high-quality enterprise application services for DHS customers. ESD is an initiative that leverages the capabilities and resources of three distinct IT operations: Application Delivery (AD); Enterprise Portal (EP); and Solutions Engineering (SE). ESD engineers and oversees implementation of several key headquarter and

enterprise applications. ESD is also the primary delivery function for the Enterprise Portal, which is the Department's primary gateway for DHS employees, stakeholders, and citizens to share information in compliance with the expectations established in the President's Management Agenda. ESD is currently implementing standards-based web environment at DHS Data Center services to support improved collaboration and information sharing.

FY 2009 Accomplishments

- Stabilized and enhanced the ECT infrastructure to improve system performance and deploy new capabilities to DHS users. Leveraged ECT as the Department go-to product to deploy this system to other components in order to reduce operational cost and realize savings through shared service;
- Provided system enhancement to the project management tool to provide a centralized view of tracking cost, schedule, performance, risk/issues and provide accurate and timely reporting; and
- Deployed enterprise portal environment at enterprise data center 1 via MS SharePoint portal for internal collaboration and information sharing.

FY 2010 Planned Accomplishments

- Establish key enterprise platform and software services to reduce overall costs and timeframes associated with the development of enterprise and HQ applications. Pilot services include portal/collaboration, Customer Relationship Management, staff management, and Business Intelligence;
- Establish Application Lifecycle Management (ALM) service for end-to-end management of requirements and delivery of enterprise services. Establish streamlined development standards/procedures that outline common evaluation criteria and agile certification processes to accelerate certification of reusable platforms and services and reduce implementation delays; and
- Implement upgrade of DHS Internet and Intranet platforms to improve end user experience and collaboration capabilities. Modernize current HQ applications that reside on existing Internet/Intranet development platforms.

FY 2011 Planned Accomplishments

- Consolidate operational maintenance of enterprise application services to reduce operational cost;
- Establish cost recovery model and customer engagement strategy for the ongoing development, support, and maintenance of enterprise application services; and
- Upgrade and modernize key USM business applications to reduce operational costs and improve business capabilities to streamline key business processes (applications include the Future Years Homeland Security Plan and the Mail Business Intelligence Tool).

Program Management Support

The OCIO Program Management program conducted by the Enterprise Business Management Office provides Program Management Office (PMO) services to the OCIO and DHS management to enhance IT program management capabilities and plans and executes an effective resource allocation program to support the Department's IT investments. Its activities include:

- IT Program Management;
- IT Services Portfolio Management and governance ;
- Alignment of portfolios to achieve DHS and IT Goals and Objectives, and the DHS Enterprise Architecture;
- IT acquisition strategy;
- Investment performance and budget integration;
- IT policy, including annual development of an IT Strategic Plan; and
- Develop improved enterprise acquisition and performance management tools

FY 2009 Accomplishments

- Developed automated ITAR front-end business process solution-ready for beta test;
- Validated 98% alignment of Information Technology Acquisition Reviews (ITAR) to budgeted DHS CPIC Investments;
- Completed 50% of the Level 1 and 2 programs required to submit a Probability of Program Success (PoPS) report;
- 81% of Level 1 and 2 programs are reporting within 10% of planned cost and schedule; and
- Created and implemented a nPRS Configuration Management process and Change Management Control board to facilitate and control system enhancements;
- Conducted Budget Review of all Level 1, 2 and 3 IT investments; providing recommendations to leadership on several billion dollars of IT investments; and
- Developed the DHS IT Strategic Plan, which will be utilized to develop the DHS FY 2011-2015 Integrated Planning Guidance;

FY 2010 Planned Accomplishments

- Implement a fully automated ITAR (ITAR online) business process solution;
- Develop automated capability leveraging SMART to analyze 100% of level 1 and 2 investments and 50% of level 3 investments;
- Align DHS IT Budget to 60% of the DHS Enterprise Architecture Functional, Technical, Data, and Performance Objectives;
- Conduct Budget Review of all Level 1, 2 and 3 IT investments and provide funding and recommendations to leadership;
- Work with the Office of Policy, OCIO Direct Reports and components to prepare the BY 2012-2016 IT Integrated Planning Guidance;
- Using integrated governance policies ensure 100% alignment of new investments/acquisitions to established targets; and
- Support the ARB investment reviews for compliance to nPRS and SMART;

FY 2011 Planned Accomplishments

- Incorporate automated ITAR (ITAR Online) business process improvements from FY 2010 ICSAT (ITAR Component Senior Advisory Team) output;
- Reduce the number of red investments on the new IT Dashboard by 25%;

- Using lessons learned from FY 2010, refine standards for IT Program Management within DHS consistent with ITIL, CMMI, and DHS standards for PM Certification;
- Continue to support the OCIO efforts to refine and mature an ITIL governance structure for DHS IT Services. Support the evolution of the IT Services Governance Board functions;
- Using integrated governance policies, ensure 100% alignment of new investments/acquisitions to established targets;
- Continue the implementation of standard risk profiles in all Level 1 and 2 investments and 75% of reporting Level 3 investments.
- Ensure all documentation associated with the ARB or EACOE process is included on the SharePoint site; and
- Provide CIO analysis for 90% of DHS investment review at the ARB level;

Cyber Identity and Credentialing (Smartcard)

Cyber Identity management includes the electronic matching of the appropriate users to the data, systems, and business transactions to which they require access. Cyber Identity management supports three of the Secretary's five goals for the Department: 1. Protect the Nation from Dangerous People; 3. Protect the Critical Infrastructure; and 5. Strengthen and Unify DHS Operations and Management. Each of these goals has need of strong electronic (cyber) identity management in order to ascertain who has access to information, networks and systems. Homeland Security Presidential Directive (HSPD-12) requires the issuance of a "secure and reliable form of identification" based on sound criteria for verifying an individual's identity, is strongly resistant to identity fraud, tampering, counterfeiting and terrorist exploitation that can be rapidly authenticated electronically to all employees and contractors. The prescribed identification credential is a smartcard. Smartcard technology coupled with the required Public Key Infrastructure (PKI) provides a high assurance token to be used as the basis for logical access to Departmental Information Technology systems, supports enablement of Single Sign on (SSO) solutions, Attribute Based Access Control (ABAC) solutions and federated access control solutions. Combined, Smartcards, SSO, ABAC, and federated access control solution technologies offer high-security, and efficient user access to the Department's information systems while allowing information sharing to outward facing partners – other Federal Agencies, State, Local and Tribal governments.

FY 2009 Accomplishments

- Issued Smartcards to all DHS Headquarters employees and contractors; and
- Developed requirements, methodology, and began implementation of two-factor logical access using smartcards.

FY 2010 Planned Accomplishments

- Continue roll out of Smartcard issuance to DHS components;
- Complete implementation for full operational capability for the Enterprise Identity Management Systems (EIMS); and
- Implement usage of HSPD-12 Smartcards for logical access.

FY 2011 Planned Accomplishments

- Work with the Office of the Chief Security Officer to issue Smartcards to all DHS employees and contractors; and

- Implement mandatory usage of HSPD-12 Smartcards for logical access.

³PPA: Infrastructure and Security Activities

	Perm. Pos	FTE	Amount
2009 Actuals	134,133
⁴2010 Enacted	22	11	152,403
2011 Adjustments-to-Base	...	11	973
2011 Current Services	22	22	153,376
2011 Program Change	32,268
2011 Total Request	22	22	185,644
Total Change 2010 to 2011	...	11	33,241

Note: This PPA has changed in name only. All programs, projects, and activities are the same as in prior years.

The Office of the Chief Information Officer requests 22 positions, 11 FTEs, and \$185.644M for this activity, an increase of 11 FTEs and \$33.241M over the FY 2010 enacted amount. The adjustment-to-base is a result of Working Capital Fund, GSA Rent cost increases, and an increase of 11 FTE resulting from contractor conversions. The FY 2011 program increase is requested for the Information Security and Infrastructure program.

The OCIO is committed to building a strategic human capital planning capability that is supported by a structured total workforce approach; one that seeks efficiencies, cost effective performance improvements, and a more appropriate balance of in-house and contractor resources. During FY 2010, and with the FY 2011 request, the OCIO is implementing a DHS Balanced Workforce Strategy involving contractor conversions and the creation of additional personnel positions to provide greater government oversight and management of IT projects. The additional positions being requested in FY 2011 will be funded through the realignment of base resources. In future budget requests, the OCIO will realign personnel and funding to Salaries and Expenses.

CURRENT SERVICES PROGRAM DESCRIPTION:

WATCH LIST

The Watch List program supports the sharing of information included within the Terrorist Screening Center's Database and accomplishes the technical integration required to interoperably

³ This PPA has changed in name only. All programs, projects, and activities are the same as in prior years.

⁴ The FY 2010 Enacted level is 0 FTP/FTE, but is revised based on the DHS Balanced Workforce Strategy for FY 2010 and FY 2011.

share data in a secure manner with key DHS and other entities. The Watch List Technical Integration program accomplished its intended goal at the end of FY 2009.

FY 2009 Accomplishments

- Completed implementation of the centralized DHS Watch List Services.

FY 2010 Planned Accomplishments

- Provide Operation and Maintenance Support to DHS Watch List Services; and
- Provide Training Curriculum and Support to DHS Watch List Services.

FY 2011 Planned Accomplishments

- Continue to provide Operation and Maintenance Support to DHS Watch List Services; and
- Continue to provide Training Curriculum and Support to DHS Watch List Services.

Information Security and Infrastructure

The Information Security & Infrastructure (ISI) activity supports investment and investment-related Operations and Maintenance (O&M) and O&M for the capabilities developed in the Enterprise Services Division (ESD) of the IT Services Office (ITSO). Specifically, the ISI appropriation funds development of capabilities in Network Services, Active Directory Exchange (ADEX/E-mail Services), and supports the management and oversight of the ITP.

Network Services

The Steward for the Network Services project is Customs and Border Protection (CBP). Network Services will provide a reliable, resilient and secure DHS-wide data network that streamlines appropriate sharing and discovery of information within the Department and associated organizations. The core of the unified environment will be consolidating all legacy networks to one enterprise-wide, integrated network called "OneNet." Major services provided by Network Services include:

- DHS OneNet - Wide Area Network (WAN) Services
- Network and Security Operations Centers
- Traffic Modeling and Data Analysis
- IP Address Administration
- Network Management
- Access Controls

OneNet will be comprised of two independent Multi-Protocol Label Switching (MPLS) networks, each provided by a separate vendor. Through physical line redundancy and first-tier vendor carrier delivery, the WAN systematically provides continuity and network availability. DHS sites will be connected to the WAN via two physical connections, each terminating at a different vendor's MPLS network. Key features of the MPLS-based network employed by OneNet include increased flexibility, scalability and security, as well as a lower total cost of ownership.

The Network Operations Centers/Security Operations Centers (NOC/SOC) will centrally oversee DHS' infrastructure systems and network components. Incident response and detection is

coordinated and escalated by the NOC/SOC within the network security and computing services groups depending on the nature of the breach or failure. This aids in availability management and capacity management by providing respective service groups with collected monitoring data.

Transitioning DHS Network Services (Legacy and OneNet) to General Services Administration's (GSA) Networx Contract will achieve greater network functionality and telecommunications capabilities than possible under the previous GSA contract vehicle.

FY 2009 Accomplishments

- Implemented and can now monitor SOC Engineering Tool Set;
- Implemented Enterprise Anti-Virus Services;
- Integrated Wireless/Satellite;
- Performed Analysis/Management;
- Maintained Network Port Security;
- Integrated voice over IP (VOIP) and video conferencing capabilities using the OneNet infrastructure as a transport vehicle;
- Granted authority to individual Verizon and AT&T NOC to operate as part of the DHS Joint NOC;
- Completed multiple upgrades to the DHS Circuit Ordering system updates (NIMS) allow components to capability order under the Networx contract;
- Successfully completed the capability of NIMS to interface with AT&T and Verizon ordering systems;
- Peered FLETC 100% to OneNet;
- Maintained existing NOC/SOC capability;
- Completed Engineering and implementation of Second TIC at DC2;
- Executed Multicast capabilities on the OneNet WAN;
- Implemented Quality of Service (QoS) in the Carrier cloud, Field Sites, and at Datacenter Edge Routers (to prioritize delay sensitive data);
- Implemented multiple HSDN sites in the OneNet WAN;
- Implemented a point-to-point OC12 circuit between DC1 and DC2 for replication and disaster recovery;
- Maintained Internet and Extranet gateways;
- Updated and maintained Infrastructure Information Repository (IIR); and
- Supported transition to IPv6.

FY 2010 Planned Accomplishments

- Network Services - Transition component Network Operations and the consolidation of major large program networks such as HSDN to OneNet Operations and Administration;
- Execute Engineering Enhancements & Upgrades;
- Migrate all DHS component Internet, Remote Access, Extranet, and Applications Hosting services to the OMB-approved TICs;
- Transitioning all high availability component sites to Networx;
- Provided IPv6 Alignment Support;
- Finalize Department migration subsequent to the DHS-approved TIC;
- Complete High Assurance Gateway;

- Complete the implementation of Verizon and AT&T backup NOCs;
- Complete the capability of the DHS Ticketing System to successfully interface with Verizon and AT&T ticketing systems; and
- Complete Public Facing Domain Name System Security (DNSSEC).

FY 2011 Planned Accomplishments

- PEP completion;
- Enable Department TIC IPv6;
- Implement Reverse Proxy solution;
- Move 50% of components behind the PEP;
- Technology Replacement/Enhancement for the RTIC and OneNet; and
- Establish an Enterprise-LAB.

Active Directory and Exchange (ADEX)/E-mail Services

The Steward for ADEX/E-mail Services is the US Coast Guard (USCG). E-mail and active directory services will provide more effective communication between and within DHS. ADEX/E-mail legacy systems will be consolidated within DHS to utilize a consolidated EaaS capability at the Enterprise Data Centers. ADEX/E-mail Services will allow personnel to gain access to critical business communications and are designed to deliver greater security, availability, and reliability.

Major services provided by the ADEX/E-mail Services program include:

- Consolidated DHS-wide Global Address List (GAL)
- Standard e-mail naming convention
- Delivery and management of a DHS-wide active directory
- Delivery of a DHS-wide e-mail platform

FY 2009 Accomplishments

- Transitioned DHS e-mail gateways to the DHS TIC locations at both data centers;
- Engaged component technical POCs, through the EaaS Project, with the development of e-mail requirements and service deliverables in preparation of technical roadmap future implementation; and
- Integrated the Directory Services and Exchange Services into the Infrastructure change Control Board Process

FY 2010 Planned Accomplishments

- Complete migration of DHS headquarters and FEMA e-mail inboxes, including e-mail archiving capability, to EaaS at the DHS Enterprise Data Centers

FY 2011 Planned Accomplishments

- Begin migration of CBP, USCIS, FEMA, ICE, NPPD, S&T, USSS and DHS HQ of e-mail inboxes, including e-mail archiving capability, to EaaS at the DHS Enterprise Data Centers

Data Center Development

Two enterprise-wide data centers will consolidate the Department's legacy data centers. Data Center Services will provide management and control of data center hardware, operating systems software, and environmental systems. Both data centers will have the ability to continuously

synchronize applications based upon mission requirements, so either facility can seamlessly take over in the event of a disaster. The DHS Data Center capabilities will provide the personnel and tools to manage service delivery and support activities.

Major services provided by Data Center Services include:

- Capacity management
- Availability management
- System management and administration
- Hardware/software maintenance
- Facility monitoring, management, and security
- Disaster recovery management and testing

The Data Center Development provides funding to consolidate and assist migrating data center environments to two enterprise-wide DHS Data Centers. The program will focus on continuing to build capabilities at both DHS Data Centers. In FY 2010, CIO is contributing a total of \$82.8M towards Data Center Consolidation; \$58.8M for Data Center Development power and infrastructure upgrades, and \$24M for O&M. In FY 2011, CIO is planning to contribute \$83.9M towards Data Center Consolidation; with \$74.7M towards development and \$9.2M for O&M.⁵

FY 2009 Accomplishments

- Began Federal Emergency Management Agency (FEMA) discovery efforts for migration to DC2;
- Established disaster recovery capability between the two DHS Data Centers in support of DHS Strategic Goal 3.2 to ensure continuity of government communications and operations;
- Completed the first major legacy data center migration, TSA Hazelwood;
- Began HSDN migration to DC2 and then synchronized HSDN services between DC1 and DC2; and
- Contracted two large-scale power projects for implementation while zone remediation projects progressed.

FY 2010 Planned Accomplishments

- Support major component data center migrations into the two DHS Data Centers;
- Fully address component disaster recovery within the two data centers; and
- Complete HSDN migration to DC2 and then synchronize HSDN services between DC1 and DC2.

FY 2011 Planned Accomplishments

- Continue to enable the smooth transition of major component data center migrations into the two DHS Data Centers.

⁵ An additional \$108.2M is being provided to certain components, to be managed through the Working Capital Fund, to migrate those components to the two enterprise-wide DHS Data Centers.

⁶PPA: National Security Systems

	Perm. Pos	FTE	Amount
2009 Actuals	53,854
⁷2010 Enacted	2	1	47,661
2011 Adjustments-to-Base	...	1	8,048
2011 Current Services	2	2	55,709
2011 Program Change	18,300
2011 Total Request	2	2	74,009
Total Change 2010 to 2011	...	1	26,348

Note: The OCIO is requesting this new PPA beginning in FY 2011. Prior year numbers shown above are for the Homeland Secure Data Network program only, which will be a program under this PPA beginning in FY 2011.

The Office of the Chief Information Officer requests \$74.009M for the NSS. The adjustment-to-base is a result of Working Capital Fund, GSA Rent cost increases, the realignment of the COMSEC Modernization program from the ITS program (+\$8.022M), and an increase of 1 FTE resulting from contractor conversions. The FY 2011 program increases are requested for the Homeland Top Secret Network program and the Homeland Secure Data Network, which are described in the program change section of this document. The CIO is requesting this reorganization to clearly identify projects associated with the securing of classified networks and the equipment utilized for secure communications. In prior years, this program contained only the Homeland Secure Data Network.

The OCIO is committed to building a strategic human capital planning capability that is supported by a structured total workforce approach; one that seeks efficiencies, cost effective performance improvements, and a more appropriate balance of in-house and contractor resources. During FY 2010, and within the FY 2011 request, the OCIO is implementing a DHS Balanced Workforce Strategy involving contractor conversions and the creation of additional personnel positions to provide greater government oversight and management of IT projects. The additional positions being requested in FY 2011 will be funded through the realignment of base resources. In future budget requests, the OCIO will realign personnel and funding to Salaries and Expenses.

CURRENT SERVICES PROGRAM DESCRIPTION:

Homeland Secure Data Network

HSDN is a single program within DHS that enables agencies to collaborate and communicate effectively at a SECRET-classified level among Federal and State government and supporting

⁶ The OCIO is requesting this new PPA beginning in FY 2011. Prior year numbers shown above are for the Homeland Secure Data Network program only, which will be a program under this PPA beginning in FY 2011.

⁷ The FY 2010 Enacted level is 0 FTP/FTE, but is revised based on the DHS Balanced Workforce Strategy for FY 2010 and FY 2011.

entities. With HSDN capabilities, DHS has the ability to collect, disseminate and exchange both tactical and strategic intelligence information throughout DHS and partners.

- HSDN has established 138 sites composed of some 2,294 workstations;
- HSDN has approximately 5,252 established end user accounts who currently logon and exchange information across HSDN in performing their daily mission requirements; and
- HSDN currently operates its system-wide core capabilities and infrastructure consisting of its Network Operating Center (NOC), Secure Operating Center (SOC), four-tiered helpdesk, first data center, and system-wide telecommunications backbone on 24-hour operations in support of the mission requirements of its established end users.

FY 2009 Accomplishments

- Completed NSA Blue Team audit of HSDN enterprise network in May 2009 with a passing score in network security;
- Successfully completed the HSDN Core (NOC, SOC, Help Desk, Data Center) reaccreditation for another 3 years;
- Completed HSDN site reaccreditations for all sites installed before December 31, 2005;
- Successfully Transitioned Operations from the HSDN Data Center at Fair Lakes, VA to the Data Center at Stennis, MS;
- Achieved ATO for the Talon Closed Storage Solution;
- Supported the national COOP exercise in July;
- Transitioned the HSDN Data Center from the Fair Lakes facility to the EDS facility at Clarksville, VA;
- Completed critical refreshment of one third of the established system-wide core infrastructure and site-specific aging HSDN equipment;
- Completed annual Operational Analysis periodic review and reporting process, for identifying areas for improvements in costs and operational efficiencies and effectiveness;
- Transition of Level 3 circuits to OneNet (80 sites); 3 complete at this time; and
- HSDN Deployment to 198 new sites, in addition to the 52 new sites included in the O&M baseline (250 total new sites in FY 2009) with the potential for an additional 150 sites for a total of 400 new sites deployments in FY 2009).

FY 2010 Planned Accomplishments

- Complete annual Operational Analysis periodic review and reporting process, for identifying areas for improvements in costs and operational efficiencies and effectiveness;
- Transition Enterprise Portal to Operations;
- Complete Level 3 circuits to OneNet transition (80 sites);
- Continue tech refresh of site-specific aging equipment and Data Centers; and
- Continue build out of HSDN.

FY 2011 Planned Accomplishments

- Complete annual Operational Analysis periodic review and reporting process, for identifying areas for improvements in costs and operational efficiencies and effectiveness;
- Continue build out of HSDN;
- Enhance user authentication security;

- Continue to add new applications; and
- Continue tech refresh of site-specific aging equipment and Data Centers.

Communications Security (COMSEC)

The Homeland Security Central Office of Record (COR) was established to meet the national security policies associated with providing accounting, safeguarding and management control over classified communications security keying material and equipment.

The DHS COR provides COMSEC accounting services in accordance with established National Security Agency (NSA) policies and directives. This process includes processing incoming and outgoing transactions, destruction reports, and maintaining a consolidated database detailing the location and quantity of COMSEC material and key updates DHS COMSEC accounting policies and COMSEC training.

The COMSEC program provides keying material and technical support to the Transportation Security Agency (TSA) Trace system, the DHS NOC, and the Office of Intelligence and Analysis (I&A) to protect classified communications. The COMSEC program provides a variety of COMSEC equipment and technical support to secure all the classified communications within the Department to protect the dissemination of intelligence information.

FY 2009 Accomplishments

- Developed modernization plan to transition all current voice communications using STU IIIs and STEs to new and enhanced cryptographic systems;
- Procured over \$2.8M dollars gratis in excess Secure Telephone Equipment from another Federal Agency which resulted in cost avoidance for DHS. This equipment replaced legacy secure phones and provided for new emerging requirements;
- Trained 69 students in equipment and custodian administration courses;
- Fielded Enhanced Crypto Cards (ECC) by December 2009;
- Provided updated COMSEC security policies and procedures annually for use by the components and performed audits of COMSEC accounts; DHS COR contributed over 117 legacy COMSEC items to the NSA COMSEC Utility Program allowing for over \$1.5M in cost avoidance and savings to other Civil and Department of Defense COMSEC Accounts;
- Established an interagency agreement with Tobyhanna Army Depot and SPAWAR Systems Center Charleston for equipment maintenance and repair; and
- Conducted 100% inventory of COR and COMSEC Headquarters accounts.

FY 2010 Planned Accomplishments

- Replace KG-175 IT data encryption devices and train users on new equipment;
- Present new Business Case to DHS Management for Regionalization of the COMSEC support structure which will close the 105 current accounts and consolidate to 15 accounts. This will save 180 positions in DHS for other duties as the current 250 full and part time COMSEC personnel are replaced with 70 full time personnel saving training, travel and audit funds as well as reducing account management costs. Identify locations of Regional support offices and obtain funding for FY 2011;
- Study use of Voice Over Internet Protocol (VOIP) secure phones for use on HSDN in lieu of the 6,500 STEs in use for classified communications;

- Procure SME PEDS to DHS and business partners;
- Develop plan for an infrastructure to support the transition of DHS accounts from EKMS to the NSA mandated “Key Management Infrastructure (KMI)”. This 5-7 year project will transition and replace all of the DHS Communications Security Infrastructure;
- Procure new COMSEC equipment to replace obsolete COMSEC equipment 18 months before the decertification dates;
- Recruit and train new Regional staff to assume COMSEC support functions;
- Provide updated COMSEC security policies and procedures annually for use by the components and perform audits of COMSEC accounts; and
- Develop Electronic Key Management System (EKMS) Operation and Maintenance (O&M) contract.

FY 2011 Planned Accomplishments

- Update plan for an infrastructure to support the transition of DHS accounts from EKMS to the NSA mandated “Key Management Infrastructure” (KMI);
- Field Modern easy to use Crypto Fill Device – Really Simple Key Loader (RASKL);
- Upgrade Electronic Key Management Software (EKMS) in order to prepare for transition to KMI;
- Procure additional Inline Network Encryptors to offset initial fielding cost of future KMI deployment;
- Plan for network certification and accreditation in support of anticipated fielding of KMI to allow required and necessary network centric capabilities to be deployed on DHS Networks; and
- Posture DHS COOP COMSEC operations for KMI Pilot Program.

IV. Program Justification Changes

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Justification of Program Changes**
(Dollars in Thousands)

Program Increase #1: Office of Accessible System & Technology
PPA: Salaries and Expenses
Program Increase: Positions -0 FTE - 0 Dollars -\$1,358

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	-
Program Increase	-	-	-	-	-	-	-	-	1,358
Total Request			-			-	-	-	1,358

Description of Item

DHS created the Office of Accessible Systems & Technology (OAST) as part of both the Office of the Chief Information Officer (OCIO) and the Office for Civil Rights & Civil Liberties (CRCL) in 2005. OAST is dedicated to guiding and supporting all DHS components in removing barriers to information access and employment of qualified individuals with disabilities in accordance with Section 508 of the Rehabilitation Act (as amended). OAST strives to ensure that electronic and information technology (EIT) procured, developed, maintained, or used is accessible to DHS employees and customers with disabilities through a range of policy, training, technical assistance, compliance and governance activities. Like any new program, OAST started out small and focused on establishing department-wide policies and procedures and putting business processes in place to promote Section 508 compliance. Over time, gaps were identified and programs launched to address those gaps. OAST relies on a network of component-level Section 508 Coordinators to work within their respective components on Section 508-related activities. Management Directive 0007.1 – Information Technology Integration and Management requires each component CIO to establish a component Accessible Systems & Technology Program and requires the Director of OAST to coordinate with component CIOs to define oversight and compliance requirements along with performance metrics necessary to ensure the entire network of 14 programs align with DHS policies and that they meet all of the requirements established by public law.

From FY 2005 to FY 2010, OAST received its support from both the OCIO and CRCL through contributions. CRCL contributed two FTEs used to stand up the office and \$500K for

operational support. The OCIO initially provided one support contractor and office space. Since that time, OAST has grown to include 7 FTEs (6 belong to CRCL) and 6 contractors. The OCIO is currently contributing \$1.3M that is used to support the contractors and operational expenses.

OAST activities can be divided into three distinct business tracts: Compliance, Services, and Management.

Compliance: Management and oversight of the Web Accessibility and Remediation Program (WARP), the Section 508 Acquisition Audit Program, the Trusted Agent FISMA (TAF) Section 508 Audit Program, and the Section 508 Compliance Enterprise Architecture and Life Cycle Programs. Oversight involves conducting compliance reviews, assistance visits, and program management to verify and validate compliance with DHS Section 508 requirements. These efforts ensure that regular Web accessibility scans are completed and that OAST approved testing methods are followed, that acquisition audits for Section 508 compliance are conducted on a routine basis, that IT system owners have appropriately inputted the required accessibility information into TAF and uploaded the requisite Section 508 artifacts, and that EA Section 508 compliance reviews are conducted and the Section 508 requirements for the DHS SELC are adhered to.

Services: Management and oversight of Section 508 compliance for DHS IT Change Management and the EIT and Learning Management System (LMS) Accessibility Assessment Programs. Oversight involves conducting EIT accessibility assessments of software, Web, telecommunications, multimedia and video, self-contained and stand-alone products, and desktop and portable computers to determine Section 508 compliance. Oversight also requires a close working relationship with the Department's LMSs to ensure e-learning platforms and courses are Section 508 compliant when deployed.

Management: Management and oversight of OAST operations including contract management, strategic planning, and administrative support and operations. This program is also responsible for managing and operating the DHS Accessible Help Desk, and training and outreach activities. The Accessibility Help Desk serves as a single point of entry for disability-related services and technical assistance for the Department. The goal of this program is to work in concert with existing DHS and component-level help desks to ensure seamless delivery of IT services for customers with disabilities, including the provision of reasonable accommodations. The training program provides Section 508 Awareness, hands-on EIT accessibility testing training for personnel with significant development responsibilities, and provides role-based training for the process of relevant Section 508-related reporting and related metrics. The goal of this activity is to develop a knowledgeable workforce and culture in accordance with Section 508 accessibility requirements.

Justification

In FY 2011 the DHS Office of Accessible Systems & Technology (OAST) requests \$1.358M. A small portion of the funds will be used to support the O&M and possible enhancements for the

Accessibility Compliance Management System and to purchase Section 508-related testing tools for use by component-level testing programs.

A majority of the funds will be used to fund contract-support services in the following areas: support Section 508 compliance quality assurance and independent validation & verification of COTS/GOTS products and systems; and support services to modify existing training courses (both online and classroom style) to reflect the new Section 508 Technical Standards expected out in late 2010 or early 2011.

Funds will also be used to support ongoing strategic planning activities to position OAST to better meet accessibility compliance and governance needs; support oversight and evaluation of component-level Accessible Systems & Technology Programs; and support ongoing oversight of accessibility compliance in change management, enterprise architecture, FISMA systems reporting, and acquisitions review activities.

The OAST spend plan consists of the following and will rely on contract support, to be expended at a continuous rate over the year:

Ongoing quality assurance, and independent verification and validation: \$357K

Contract support performs numerous Section 508 compliance assessments of new and upgraded IT applications (including COTS/GOTS applications) to ensure equal access to information and data.

Training development: \$294K

Development of online and classroom training related to the update of the Section 508 Electronic and Information Technology Accessibility Standards, online Program/Project Manager trainings, etc.

Strategic planning: \$71K

Update the OAST strategic plan and complete metrics development and monitoring of component-level Accessible Systems and Technology Programs.

Governance support: \$540K

Ongoing Enterprise Architecture Program and Technical Reviews, document review for change management, Section 508 compliance of TAFISMA systems, and Web Accessibility and Remediation Program.

Section 508 compliance and document remediation automated tools: \$96K

AccRepair, Common Look, ECMF, and JAWS maintenance.

Estimated quarterly expenditures are:

- Q1: \$315.5K
- Q2: \$315.5K
- Q3: \$411.5K (annual maintenance incurred in 3rd quarter)
- Q4: \$315.5K

Impact on Performance (Relationship of Increase to Strategic Goals)

OAST funding will be used to align with the Federal government Section 508 strategic goals as provided. OAST has identified performance measures which include the strategic goal, objective and metric to achieve the overall mission goals.

Performance Measure 1:

Strategic Goal 1: Provide technical and administrative support services to optimize systems and technology access.

Objective 1.1: Establish accessibility testing across DHS where appropriate.

Metric: Percent of components that adopt Section 508 testing procedures.

Risks: Production has significant Section 508 compliance gaps and incurs remediation expenses.

Objective 1.2: Increase visibility of Section 508 compliance for DHS IT systems and Web sites.

Metric: Percent of TA-FISMA systems validated for Section 508. Percent of Web sites attaining a status of “yellow” or better.

Risks: Legal risks for formal complaints. OAST is unaware of the current level of Section 508 compliance.

Objective 1.3: Enhance EIT acquisition reviews by implementing auditing procedures.

Metric: Percent of acquisition reviews audited that meet Section 508 requirements.

Risks: DHS accepts products that are not meeting requirements. DHS will incur increased project remediation costs and delays in delivering projects.

Objective 1.4: Further integrate Accessibility Help Desk (AHD) department-wide.

Metric: Percent of DHS and component-level Help Desks that liaise with the AHD. Improve customer satisfaction with people who are disabled.

Risks: People don't have access to their information and data. DHS may receive complaints related to Equal Employment Opportunity.

Performance Measure 2:

Strategic Goal 2: Maximize recognition and utilization of OAST services.

Objective 2.1: Develop comprehensive marketing plan to integrate OAST services across DHS.

Metric: Percent of DHS constituents that are aware of OAST services and Section 508.

Risks: Expend DHS resources and provide limited outreach to the appropriate audiences as well as a lack of raised awareness.

Performance Measure 3:

Strategic Goal 3: Provide training and materials to increase awareness of Section 508 principles and overall DHS EIT accessibility.

Objective 3.1: Enhance training program to deliver the most effective content.

Metric: Number of training evaluations provided and *percentage rated satisfied or higher*.

Risk: Expending resources without increasing performance.

Objective 3.2: Enhance training delivery methods to increase access from remote locations.

Metric: Percent of trainings conducted in remote locations.

Risks: Non-local developers/testers/project managers are unaware of Section 508 or the requirements.

Performance Measure 4:

Strategic Goal 4: Accomplish OAST mission in the most cost effective, efficient, and in an accountable manner.

Objective 4.1: Periodically monitor OAST processes to ensure program and staff capabilities meet changing needs.

Metric: Percent of quarterly performance and accountability reports that receive a favorable rating.

Program Increase #2: Enterprise Systems Delivery – Web 2.0

PPA: Information Technology Services

Program Increase: Positions -0 FTE - 0 Dollars -\$5,000

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	9,749
Program Increase	-	-	-	-	-	-	-	-	5,000
Total Request			9,796			9,674	-	-	14,749

Note: In FY 2011, Enterprise Application Delivery (EAD) is being changed in name only to the Enterprise Systems Delivery Office (ESDO). Funding shown in prior years was allocated to EAD.

Description of Item

DHS currently lacks a cross-enterprise information sharing and collaboration capability. In response to leadership’s priority to unify the department, the DHS OCIO is working with component CIOs and Business Offices, including the Office of Public Affairs to build out an

innovative, collaborative environment as part of the Web 2.0 initiative. To meet the requirements from DHS Leadership and the DHS community as a whole, the DHS OCIO requests a budget increase of \$5M.

The funds will go towards consolidating legacy component Web 2.0 infrastructure at legacy data centers which will be integrated into the target SharePoint environment at the department's data centers.

Funds will be used to support the target intranet website (DHSONline replacement) for use by components, Idea Factory, and other enterprise unifying initiatives.

Justification

Web 2.0 tools will enhance communication, collaboration, and information exchange; streamline processes; and foster productivity improvements in every aspect of Homeland Security. Use of Web 2.0 tools supports DHS goals of achieving the OneDHS to Strengthen and Unify DHS Operations and Management through interoperable and common operating environment by improving the Homeland Security's effectiveness through seamless access to critical information. Web 2.0 tools are useful in a geographically and functionally diversified enterprise by enabling personnel to more effectively collaborate and share information. The gains in productivity, efficiency, and innovation will be significant. Initial progress is being made toward this end as the Under Secretary for Management's office has recently reported to the White House how DHS is leveraging a Web 2.0 pilot to support the Secretary's Efficiency Review initiative.

This funding request will not only ensure the gains in the productivity, efficiency and innovation through use of Web 2.0 tools, but will further ensure tools do not compromise data confidentiality and integrity, and provides a secure environment to operate Web 2.0 tools. The framework will have extraordinary measures in implementing Web 2.0 technologies or integrating these tools into the "One DHS" environment.

Itemized Breakdown:

\$4.5M – Deploy enterprise Web 2.0 capabilities across DHS and include services on both intranet and internet capabilities. For the intranet, DHS is standardizing on a common service offering in the Enterprise Data Centers. This funding will directly support:

- Establishing a Web 2.0 content delivery capability across the enterprise, modeled after the same capability used to deliver DHS.gov, TSA.gov, FEMA.gov among others on the internet.
- Establishing Initial Operating Capability for the DHS Web 2.0 Intranet site to include federated search across legacy intranet sites, enabling blogs, wikis, DHS employee locator services, etc.
- Enhancing the Secretary-directed Idea Factory Web 2.0 capability across DHS.
- Conducting a pilot for mobile Web 2.0 services where those services will be available across DHS blackberries
- Enhance DHS.gov current capabilities to include web reporting analytics, video streaming media services and other Web 2.0 capabilities

- Initiate the migration of legacy intranet sites to the target DHS Web 2.0 connection site. OCIO is establishing the enterprise service in FY 2010 and components will begin migrating off their legacy portal/collaboration sites to the new platform in the DHS Enterprise Data Centers in FY 2011.

\$500K – Support consolidation of legacy DHS SBU paths to HSIN Web 2.0

Additional resources required to manage and facilitate component SBU portal migration. This funding will be used to consolidate DHS SBU Maritime and Intelligence portal data to HSIN, simplifying DHS ability to share information with its partners.

- This funding will be used to complete HSIN SLC migration from legacy hosting environment and sunset that legacy service.
- The funding will also be used to migrate maritime data from the legacy USCG Homeport solution to HSIN and then retire Homeport.
- Ensuring Web 2.0 capabilities meet federal compliance standards.

Impact on Performance

This initiative will help achieve the DHS strategic goal of strengthening and unifying DHS operations and management by facilitating and streamlining information sharing and collaboration both within DHS and with citizens and partners. The impacts to performance for DHS employees will be achieved through a more cost efficient communications platform, improving transparency, accountability and information sharing across DHS.

Program Increase #3: Enterprise Data Management

PPA: Information Technology Services

Program Increase: Positions -0 FTE - 0 Dollars -\$7,609

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	1,972
Program Increase	-	-	-	-	-	-	-	-	7,609
Total Request			2,000			1,972	-	-	9,581

Description of Item

Data Architecture/Data Management

An addition of \$1.359M from the funding request for EDMO will allow the Enterprise Data Management Office to put in place procedures and practices across the components that will lower development costs and decrease Operations and Maintenance of data significantly.

Data Standards for the Information Sharing Environment

An addition of \$2M from the funding request will allow DHS to build data standards for the Information Sharing Environment such as Alerts and Warnings, Suspicious Activity, Terrorist Watch Lists, and Cargo/Trade Screening.

Support for State and Local participation in the Information Sharing Environment.

An addition of \$4.25M from the funding request will allow DHS to support the NIEM Program Management Office, including the support of State and Local participation in the Information Sharing Environment through the tools, training and technical support provided by the NIEM program. All of these initiatives will increase the success of the DHS goals for Information Sharing and increase the effectiveness of DHS Terrorism Preparedness, Prevention, and Response Discretionary Grants program.

Justification

Despite limited funding in FY 2009, the EDMO was able to document \$26M in cost avoidance using data architecture / data management practices. The additional \$7.609M requested in FY 2011 will allow the EDMO to put in place additional policies and practices to increase the \$26M of cost avoidance significantly in FY 2011 through FY 2013. Along with cost avoidance, these activities target performance increases for all major mission areas such as reduced time for detainee processing, increased usage of the Terrorist Watchlist, decreased time for adjudication of cases for U.S. citizenship, and increased capacity to screen cargo for dangerous materials. This funding impacts the performance of all DHS components that create, store, manage or share data.

This funding request will increase the number of standards available for use in the Information Sharing Environment, tripling the current capacity of the EDMO. In FY 2009, the EDMO facilitated the development of 20 standards. With additional funding, the number of standards developed in FY 2011 will increase significantly by FY 2013.

For State and Local information sharing, funding the NIEM program management office will increase the quality of the training by 100%, and increase the number of trainees per year from 300 in FY 2009 to an annual rate of 750 per year in FY 2011 and a sustainable capacity of 1200 in FY 2013. In addition, funding the PMO will decrease the cost for the development of tools for NIEM from \$3M in FY 2009 to \$1M in FY 2011.

The funding increase will allow EDMO to fully fund the core data architecture and information sharing environment initiatives; thereby reducing the risk of an uncoordinated response in the event of a disastrous event.

Impact on Performance (Relationship of Increase to Strategic Goals)

This increase directly supports the DHS Strategic Goal 5: Strengthen and Unify DHS Operations and Management, Strategic Objective 5.1 Improve Department Governance and Performance by implementing a comprehensive, governance for the development of data standards and supports the Information Sharing Governance Board (ISBG). IT supports Objective 5.2 *Advanced Intelligence and Information Sharing* by supporting the development of standards, and the

development of training and tools for use within DHS, and with State, Local, Tribal and Private sector partners.

Program Increase #4: Information Security and Infrastructure
 PPA: Infrastructure and Security Activities
 Program Increase: Positions -0 FTE - 0 Dollars -\$32,268

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	66,615
Program Increase	-	-	-	-	-	-	-	-	32,268
Total Request			65,810			67,775	-	-	98,883

Description of Item

The Information Security & Infrastructure (ISI) appropriation supports investment and investment-related Operations and Maintenance (O&M) and O&M for the capabilities developed in the Enterprise Services Division (ESD) of the IT Services Office (ITSO). Specifically, the ISI appropriation funds development of capabilities in Network Services, ADEX/E-mail Services, and supports the management and oversight of the ITP.

Justification

Through targeted investments, the \$32.268M increase requested in FY 2011 would facilitate, strengthen and unify DHS Information Security and Infrastructure (ISI) operations, management, governance and performance. Enhancement objectives include investment in:

Single Sign-on (SSO) and PKI (\$12.268M): SSO funding will leverage technologies to improve operator access to timely, secure access to mission applications for DHS employees and Federal, State, Local and Private Sector Partners.

The Steward for SSO is Immigration and Customs Enforcement (ICE). SSO will minimize the number of distinct user login credentials that users will need to log-in to their systems and applications. By implementing SSO, DHS computer users will be able to log-in to their systems with only a single set of credentials to access multiple applications, minimizing the need for a user to log-in multiple times for different applications. SSO will also provide the ability to manage user names and passwords across potentially hundreds of applications throughout DHS. Ultimately, this will provide additional security and auditing to support the complex DHS IT infrastructure.

E-mail (\$20M): The Department of Homeland Security will be able to consolidate component messaging systems into the DHS Stennis and EDS Data Centers with the standup of a unified

EaaS capability. The requirements for the EaaS service offering have been jointly defined by representatives from each of the components as selected by the G7 Chief Information Officer (CIO) Council (CIO-C) members.

The funding would mitigate high risk areas within the DHS firewall by establishing Policy Enforcement Points (PEPs) across the DHS Network to reduce vulnerability and improve security within the DHS IT Enterprise. The improved DHS SOC remediation and forensics capabilities would counter threats and mitigate threat consequences by establishing robust classified facilities with highly skilled analysts and migrating legacy connections behind the DHS Trusted Internet Connections (TICs) for remediation.

The funding would further reduce vulnerability at the perimeter by establishing a High Assurance Guard to support DHS mission requirements for accessing social networking sites and establish a DHS e-mail disaster recovery capability for 100% of all e-mail traffic behind the two DHS TICs.

Impact on Performance (Relationship of Increase to Strategic Goals)

This increase supports DHS Strategic Goal 3: Protect Critical Infrastructure, Strategic Objective 3.3 Improve Cyber Security. The Department is aligning infrastructure cyber security under a comprehensive, IT security strategy that maintains an appropriate set of common enterprise controls to facilitate information sharing within and across all appropriate mission boundaries.

This increase also directly support DHS’s Strategic Goal 5: Strengthen and Unify DHS Operations and Management, Strategic Objective 5.1 Improve Department Governance and Performance by implementing a comprehensive, defense-in-depth IT security strategy that maintains an appropriate set of common enterprise controls to facilitate information sharing within and across all appropriate mission boundaries.

Program Increase #5: Homeland Secure Data Network
PPA: National Security Systems
Program Increase: Positions -0 FTE - 0 Dollars -\$2,200

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	47,687
Program Increase	-	-	-	-	-	-	-	-	2,200
Total Request			53,854			47,661	-	-	49,887

Description of Item

The \$2.2M funding requested for the Homeland Secure Data Network will be used for security enhancements to the secret classified wide-area network for DHS and its components, which

provide specific and controlled interconnections to the Intelligence Community and federal law enforcement resources. HSDN is a critical asset to provide a pathway for secure information to reach federal agencies that are involved in homeland security. With HSDN capabilities, DHS has the ability to collect, disseminate and exchange both tactical and strategic intelligence information throughout DHS and DHS partners. HSDN provides a state-of-the-art, flexible, secure through security certification and accreditation, Secret-classified, collateral, integrated, and centrally managed enterprise wide-area network.

Specific spending includes:

- Mapping - \$400K
- Network IDS/Network IPS - \$570K
- Host IDS/Host IPS – \$430K
- Computer Incident Response Teams (CIRT) - \$800K

Justification

The OCIO is responsible for ensuring the security of the classified networks utilized by the Department and its components for strategic and tactical information sharing. Upgrading the HSDN security posture to a Secret wide area network will decrease and mitigate intrusion.

The Homeland Secure Data Network provides a more effective, scalable, and secure centralized access to Intelligence Community resources (an enterprise approach) currently enabled by independent connections at each DHS component (an enclave approach). The enterprise approach improves the communication of Secret information across the Department and facilitates greater information sharing between DHS and the IC.

Impact on Performance

This program directly supports Goal 5 and Strategic Objective 5.2 – Advance Intelligence and Information Sharing.

The proposed HSDN funding increase will provide DHS to foster a more defense in depth approach to security of its classified secret network and its ability to share information.

Program Increase #6: Homeland Top Secret/SCI Network
 PPA: National Security Systems
 Program Increase: Positions -0 FTE - 0 Dollars -\$16,100

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	-
Program Increase	-	-	-	-	-	-	-	-	16,100
Total Request			-			-	-	-	16,100

Description of Item

The \$16.1M funding requested will provide a centrally governed and managed enterprise-level Top Secret/Sensitive Compartmented Information (TS/SCI) network that is highly scalable, and has the flexibility to add server and storage resources as needed. It will leverage existing and planned DHS network circuits to DHS field components, enabling intra-DHS TS/SCI communication, including shared redundant and controlled access to Joint Worldwide Intelligence Communications System (JWICS) and Intelligence Community (IC) resources. It will provide an infrastructure on which to host existing and planned intelligence applications, consolidated common provisioning of enterprise applications including Office, file shares, and e-mail; central network and security operations and monitoring capability; leverage type-certified workstation solutions, Wide Area Network (WAN) and communication interface designs, and provide centrally managed back up, Disaster Recovery, and Continuity Of Operations Planning (COOP) capability for the TS/SCI network.

Specific spending and milestones include:

- Critical Design Review - \$1.1M
- Certification & Accreditation of Core System - \$3M
- Initial Operating Capability of Core System - \$5M
- Initial Operating Capability of Core Network - \$7M

Justification

The HTSN program will establish a core enterprise TS/SCI infrastructure with common governance, a consistent and transparent funding model, standardized connection policies, and Department-aligned technology, with a comprehensive acquisition strategy and operating model.

The Homeland Top Secret/SCI Network (HTSN) provides more effective, scalable, and secure centralized access to IC resources (an enterprise approach) currently enabled by independent connections at each DHS component (an enclave approach). The enterprise approach both (a) improves the communication of TS/SCI information across DHS and (b) facilitates greater information sharing between DHS and the IC. Current DHS TS/SCI network infrastructure is

limited to a small number of sites within the Washington, DC area and independent enclaves in the broader Continental United States (CONUS). Most requirements for TS/SCI connectivity are being addressed independently in the components. Dedicated enclave connections to IC sources result in higher costs through duplication of infrastructure, staff, and cleared support personnel. Service, governance and management of local infrastructure varies widely, creating uncertainty in availability and reliability during crisis, creating additional challenges when attempting to define and implement information sharing across DHS at the TS/SCI level.

Key objectives include:

- Increase classified information sharing capabilities across DHS at the TS/SCI level through a readily scalable infrastructure that can reach across the CONUS;
- Provide central management and governance to the enterprise network infrastructure with common provisioning; centralized security, operations, and monitoring; and centralized policy and connection management;
- Improve reliability and resiliency by leveraging DHS data centers and communications capabilities, and by implementing critical backup, Disaster Recovery and COOP;
- Reduce complexity and cost by sharing high-capacity external connections, and by implementing standard type-certified site configurations and workstation solutions; and
- Establish a consistent and transparent funding model that will include capital funding for new investments and operations and maintenance based on defined service objective. HTSN will include the cost of the network infrastructure and resources to govern, manage, and support it in keeping with “One DHS” and the President’s IT priorities, which include transparency, participation and collaboration, efficiency and effectiveness.

Impact on Performance

This program directly supports Goal 5 and Strategic Objective 5.2 – Advance Intelligence and Information Sharing.

The proposed HTSN will provide a means to communicate TS/SCI information across the Department in the Washington Metropolitan Area and in selected locations nationwide. It will provide a Core TS/SCI Network allowing communication access for up to 100 sites for DHS and its components.

All components will share the HTSN infrastructure including:

- A centrally governed enterprise-level TS/SCI network that will leverage existing and planned DHS network circuits to Department field components;
- An infrastructure on which to host existing and planned intelligence applications;
- Common provisioning of enterprise applications to include office, file shares, and e-mail;
- Central network and security operations and monitoring capability;
- Conventional and low-cost type certified workstation solutions, WAN and communication interface designs; and

- Critical backup, Disaster Recovery, and COOP capability.

Program Decrease #1: Applied Information Technology and Research Services

PPA: Salaries and Expenses

Program Decrease: Positions -0 FTE - 0 Dollars – (\$1,100)

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	-
Program Decrease	-	-	-	-	-	-	-	-	(1,100)
Total Request		1,017	-			1,100	-	-	(1,100)

Description of Item

Under this program, DHS funds enterprise access to commercial IT research and advisory services. These services provide IT personnel with world-class IT knowledge resource to select and manage technology and participate in development of standards for DHS specific applications.

Justification

This program will be phased out by DHS OCIO in FY 2010.

Impact on Performance (Relationship of Decrease to Strategic Goals)

DHS components will be able to procure IT research and advisory services as needed from the same or similar sources as presently provided by OCIO. As a result, there will be no impact on performance.

Program Decrease #2: Infrastructure Operations

PPA: Salaries and Expenses

Program Decrease: Positions -0 FTE - 0 Dollars – (\$5,200)

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	33,705
Program Decrease	-	-	-	-	-	-	-	-	(5,200)
Total Request			35,484			33,705	-	-	28,505

Description of Item

IO program capabilities provide network, e-mail, internet, intranet, telecommunications infrastructure and end-user services including desktop computing, telecommunications, cell phones, Blackberry devices, printers, and peripheral equipment to users in the DHS Headquarters Offices.

IO responds to changes that include increases in Headquarters personnel, moves and consolidations of office space, renovations of facilities, and the expansion of mission applications. IO also responds to infrastructure changes during periods of emergency, infrastructure disruption, and disasters by performing IT Contingency, IT Disaster, and business continuity planning as well as IT/communications support to those situations requiring a FEMA response. In addition, IO also provides two alternate sites with necessary IT/communications capabilities to support emergency operations during periods of activation by the President or Secretary for Continuity of Operations.

This program also provides IT Continuity Management which includes: performing periodic risk, interdependency and business impact assessments; developing recovery strategies, writing business resumption, incident response and escalation, and network/system specific contingency plans; and conducting test, training, and exercise of plans and capabilities to ensure the continuation of services and capabilities. Continuity of Operations (COOP) responsibilities include the IT/communications services and support of the components, preparation of exercises with more than 60 departments and agencies participating in efforts to test and improve their ability to perform essential government functions during threats and emergencies, and developing supporting capabilities and plans within the Office of the CIO.

Justification

The OCIO will continue to strive for efficiencies while providing the same level of service for DHS HQ A- and C-LANs for the disaster recovery (DR) program. The OCIO will continue to maximize resources while implementing project schedules towards a full disaster recovery capability.

Impact on Performance (Relationship of Decrease to Strategic Goals)

This funding decrease will not have an impact on the ability to achieve DHS Strategic Goal 3: Protect Critical Infrastructure, Strategic Objective 3.2 to Ensure Continuity of Government Communications and Operations and DHS Strategic Goal 5: Strengthen and Unify DHS Operations and Management, Strategic Objective 5.1 Improve Department Governance and Performance.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Departmental Management and Operations
Justification of Proposed Changes in the Office of the Chief Information Officer
Appropriation Language**

For necessary expenses of the Office of the Chief Information Officer, as authorized by section 103 of the Homeland Security Act of 2002 (6 U.S.C. 113), and Department-wide technology investments, [\$338,393,000] **\$398,459,000**; of which [\$86,912,000] **\$82,727,000** shall be available for salaries and expenses; and of which [\$251,481,000] **\$315,732,000**, to remain available until expended, shall be available for development and acquisition of information technology equipment, software, services, and related activities for the Department of Homeland Security.

B: FY 2010 to FY 2011 Budget Change

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
 FY 2010 to FY 2011 Budget Change
 (Dollars in Thousands)

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2009 Actual	98	98	\$336,535
¹ FY 2010 Enacted	295	203	\$338,393
Adjustments-to-Base			
Increases			
Annualization of 2010 pay raise.....	---	---	108
2011 pay increase.....	---	---	226
GSA Rent.....	---	---	1,419
Working Capital Fund.....	---	---	78
DHS Balance Workforce Strategy	27	106	---
Total Increases.....	<u>27</u>	<u>106</u>	<u>1,831</u>
Total Adjustments-to-Base	27	106	\$1,831
2011 Current Services	322	309	\$340,224
Program Changes			
Program Increases/(Decreases)			
Office of Accessible Systems and Technology.....	---	---	1,358
Enterprise Systems Delivery Office - Web 2.0.....	---	---	5,000
Enterprise Data Management Office.....	---	---	7,609
Information Security and Infrastructure.....	---	---	32,268
Homeland Secure Data Network	---	---	2,200
Homeland TS/SCI Network.....	---	---	16,100
Applied Technology.....	---	---	(1,100)
Infrastructure Operations.....	---	---	(5,200)
Total Program Changes	---	---	\$58,235
2011 Request	322	309	\$398,459
2010 to 2011 Total Change	27	106	\$60,066

¹The FY 2010 Enacted level is 94 FTP/FTE.

C: Summary of Requirements

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
 Summary of Requirements
 (Dollars in Thousands)

	2011 Request		
	Perm. Pos.	FTE	Amount
FY 2009 Actual	98	98	\$336,535
¹ 2010 Enacted	295	203	\$338,393
Adjustments-to-Base (See "FY 2010 to FY 2011 Budget Change" for details)			
Transfers	---	---	---
Increases	27	106	1,831
Decreases	---	---	---
Total Adjustments-to-Base	27	106	1,831
2011 Current Services	322	309	\$340,224
Program Changes (See "FY 2010 to FY 2011 Budget Change" for details)	---	---	58,235
2011 Total Request	322	309	\$398,459
2010 to 2011 Total Change	27	106	60,066

Estimates by Program/Project Activity	2010 Enacted			2011 Adjustments-to-Base			2011 Program Change			2011 Request			2010 to 2011 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Salaries and Expenses	211	161	86,912	10	55	757	-	-	(4,942)	221	216	82,727	10	55	(4,185)
2 Information Technology Services	60	30	51,417	17	39	(7,947)	-	-	12,609	77	69	56,079	17	39	4,662
3 Infrastructure and Security Activities	22	11	152,403	-	11	973	-	-	32,268	22	22	185,644	-	11	33,241
4 National Security Systems	2	1	47,661	-	1	8,048	-	-	18,300	2	2	74,009	-	1	26,348
Total	295	203	\$338,393	27	106	\$1,831	---	---	\$58,235	322	309	\$398,459	27	106	\$60,066

Note:

¹The FY2010 Enacted level is 94 FTP/FTE.

D: Summary of Reimbursable Resources

Department of Homeland Security
 Departmental Management and Operations
 Office of the Chief Information Officer
 Summary of Reimbursable Resources
 (Dollars in Thousands)

Collections by Source	FY 2009 Actual			2010 Revised Estimate			2011 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
National Protection and Programs Directorate	---	---	1,896	---	---	4,598	---	---	4,662	---	---	64
United States Citizenship and Immigration Services	---	---	490	---	---	914	---	---	927	---	---	13
Customs and Border Protection	---	---	10,030	---	---	12,805	---	---	12,984	---	---	179
Director of National Intelligence	---	---	659	---	---	---	---	---	---	---	---	---
Transportation Security Administration	---	---	7,415	---	---	18,230	---	---	18,485	---	---	255
Federal Emergency Management Agency	---	---	3,445	---	---	6,119	---	---	6,205	---	---	86
Immigration and Customs Enforcement	---	---	1,583	---	---	4,327	---	---	4,388	---	---	61
United States Secret Service	---	---	---	---	---	---	---	---	---	---	---	---
United States Coast Guard	---	---	200	---	---	1,800	---	---	1,825	---	---	25
United States Visit	---	---	1,988	---	---	16,184	---	---	16,411	---	---	227
Federal Law Enforcement Training Center	---	---	4	---	---	8	---	---	8	---	---	0
Office of Health Administration	---	---	160	---	---	196	---	---	199	---	---	3
Office of Operations Coordination	---	---	1,078	---	---	1,809	---	---	1,834	---	---	25
Domestic Nuclear Detection Office	---	---	---	---	---	295	---	---	299	---	---	4
Science and Technology	---	---	553	---	---	1,334	---	---	1,353	---	---	19
Office of the Chief Administrative Officer	---	---	---	---	---	---	---	---	\$0	---	---	---
Total Budgetary Resources	---	---	\$29,501	---	---	\$68,619	---	---	\$69,580	---	---	\$0

Obligations by Program/Project Activity	FY 2009 Actual			2010 Revised Estimate			2011 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Salaries and Expenses	-	-	27,313	-	-	16,125	-	-	16,350	-	-	226
Information Technology Services	-	-	200	-	-	1,670	-	-	1,693	-	-	23
Security Activities	-	-	1,988	-	-	50,824	-	-	51,536	-	-	712

Total Obligations	---	---	\$29,501	---	---	\$68,619	---	---	\$69,580	---	---	\$961

Explanation of Increase/Decrease:

Salaries and Expenses: Increase due to Anticipated Data Center Migration Activity

Information Technology Services: Increase due to Anticipated Enterprise Data Management services

Security Activities: Increase due to Anticipated Data Center Migration Activity

E: Summary of Requirements by Object Class

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actual	2010 Enacted	FY 2011 Request	2010 - 2011 Change
11.1 Total FTE & personnel compensation	10,469	16,672	16,165	(507)
11.3 Other than full-time permanent	71	398	74	(324)
11.5 Other Personnel Compensation	363	402	381	(21)
11.8 Special Service Pay	271	250	284	34
12.1 Benefits	2,725	5,264	4,982	(282)
13.0 Benefits - former	-	-	-	-
Total, Personnel Comp. & Benefits	\$13,899	\$22,986	\$21,886	(\$1,100)
Other Object Classes:				
21.0 Travel	629	451	724	273
22.0 Transportation of things	-	32	-	(32)
23.1 GSA rent	5,310	6,272	7,691	1,419
23.2 Other rent	419	14	412	398
23.3 Communications, utilities, & other misc. charges	366	18,208	360	(17,848)
24.0 Printing and reproduction	46	40	45	5
25.1 Advisory and assistance services	83,205	97,220	82,222	(14,998)
25.2 Other services	10,772	15,063	17,838	2,775
25.3 Purchases of goods & svcs. from Gov't accounts	42,392	43,483	68,045	24,562
25.4 Operation & maintenance of facilities	10,305	10,256	16,179	5,923
25.5 Research and development contracts	-	384	-	(384)
25.6 Medical care	10	-	10	10
25.7 Operation and maintenance of equipment	139,467	98,409	125,032	26,623
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	351	236	353	117
31.0 Equipment	29,258	60,012	57,660	(2,352)
32.0 Land & structures	-	-	-	-
41.0 Grants/Subsidies/Contributions	-	-	-	-
42.0 Indemnity	106	-	-	-
43.0 Interest & dividends	-	-	-	-
44.0 Refunds	-	-	-	-
91.0 Unvouchered	-	-	-	-
99.0 Other	-	-	-	-
Total, Other Object Classes	\$322,636	\$350,080	\$376,573	\$26,493
Total, Direct Obligations	\$336,535	\$373,066	\$398,459	\$25,393
Unobligated balance, start of year	(95,153)	(34,673)	---	
Unobligated balance, end of year	34,673	---		
Recoveries of prior year obligations	(7,394)	---		
Total requirements	\$268,661	\$338,393	\$398,459	

F: Permanent Positions by Grade

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Permanent Positions by Grade**

Grades and Salary Ranges	2009	¹ 2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
	Pos.	Pos.	Pos.	Total
Total, SES	7	7	7	---
Total, EX	---	---	---	---
GS-15	43	105	113	8
GS-14	37	101	109	8
GS-13	10	49	55	6
GS-12	---	29	34	5
GS-11	---	3	3	---
GS-10	---	---	---	---
GS-9	---	---	---	---
GS-8	---	---	---	---
GS-7	---	---	---	---
GS-6	---	---	---	---
GS-5	---	---	---	---
GS-4	---	---	---	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	1	1	1	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	98	295	322	27
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	98	295	322	27
FTE	98	203	309	106
Headquarters	98	295	322	27
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	98	295	322	27
Average ES Salary	\$ 185,730	\$ 185,730	\$ 193,345	\$ 7,615
Average GS Salary	\$ 135,300	\$ 135,300	\$ 140,847	\$ 5,547
Average GS Grade	14.70	14.70	14.70	---

¹ The FY 2010 Enacted level is 94 FTP/FTE.

H: PPA Budget Justifications

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Salaries and Expenses
Funding Schedule
(Dollars in Thousands)

PPA: Salaries and Expenses		2009 Actual	¹ 2010 Enacted	2011 Request	2010 to 2011 Change
Object Classes:					
11.1	Perm Positions	10,469	15,036	16,165	1,129
11.3	Other than perm	71	398	74	(324)
11.5	Other per comp	363	331	381	50
11.8	Spec Srvc Pay	271	250	284	34
12.1	Benefits	2,725	4,742	4,982	240
13.0	Benefits-former	-	-	-	-
21.0	Travel	605	307	596	289
22.0	Transportation of things	-	24	-	(24)
23.1	GSA rent	3,963	2,948	3,342	394
23.2	Other rent	419	14	412	398
23.3	Communication, Utilities, and misc charges	366	18,208	360	(17,848)
24.0	Printing	46	35	45	10
25.1	Advisory & Assistance Services	18,921	16,820	11,867	(4,953)
25.2	Other Services	505	4,246	496	(3,750)
25.3	Purchase from Govt. Accts.	27,834	14,499	26,502	12,003
25.4	Operation & maintenance of facilities	305	-	300	300
25.5	Research & Development	-	384	-	(384)
25.6	Medical care	10	-	10	10
25.7	Operation & maintenance of equipment	11,967	564	9,746	9,182
25.8	Subsistence & Support of persons	-	-	-	-
26.0	Supplies & materials	321	216	316	100
31.0	Equipment	6,961	7,890	6,848	(1,042)
32.0	Land & Structures	-	-	-	-
41.0	Grants/Subsidies/Contributions	-	-	-	-
42.0	Indemnity	-	-	-	-
91.0	Unvouchered	-	-	-	-
Total, Salaries and Expenses		\$86,122	\$86,912	\$82,727	(\$4,185)
Full Time Equivalent		98	161	216	55

¹ The FY 2010 Enacted level is 94 FTP/FTE. Changes in FTE are due contractor conversions associated with the DHS Balanced Workforce Strategy.

PPA Mission Statement

A crosscutting program that provides technology-management, shared services, acquisition strategy, executive leadership support, process development, and business transformation to several offices within the DHS Office of the CIO.

Summary Justification and Explanation of Changes

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Salaries and Benefits	\$13,899	\$20,757	\$21,886	\$1,129

Salaries and Benefits includes costs for 216 FTEs. The FY 2011 Request includes an increase of \$1,129,000 and 55 FTEs for the proposed January 2010 2% increase in personnel compensation, projected 1.4% increase in personnel compensation for FY 2011, and CIO's Balanced Workforce Strategy. The funding associated with the changes in FTE as a result of the contractor conversions will be identified at a later date.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Travel	\$605	\$307	\$596	\$289

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes increases of \$289,000 for anticipated travel expenses related to the governance and management of IT programs.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Transportation of Things	\$0	\$24	\$0	(\$24)

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 Request includes a decrease of \$24,000 due to less than anticipated program requirements for this activity.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
GSA Rent	\$3,963	\$2,948	\$3,342	\$394

GSA Rent includes all payments to General Services Administration (GSA) for space rental and rent related services. The FY 2011 Request includes an increase of \$394,000 for anticipated cost increase for leased space.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Other Rent	\$419	\$14	\$412	\$398

Other Rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 Request includes an increase of \$398,000 for anticipated cost increase for leased space.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Communication, Utilities, and Miscellaneous Charges	\$366	\$18,208	\$360	(\$17,848)

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes a decrease of \$17,848,000 due to the reprioritization of budgetary resources.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Printing	\$46	\$35	\$45	\$10

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request includes an increase of \$10,000 for anticipated print costs.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Advisory and Assistance Services	\$18,921	\$16,820	\$11,867	(\$4,953)

Advisory and Assistance Services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and Local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 Request includes a decrease of \$4,953,000 due to the offsets being provided by CIO for Infrastructure Operations and the phasing out of the Applied IT program.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Other Services	\$505	\$4,246	\$496	(\$3,750)

The FY 2011 Request includes a decrease of \$3,750,000 for less than anticipated costs associated with Infrastructure costs.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Purchase from Government Accounts	\$27,834	\$14,499	\$26,502	\$12,003

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes an increase of \$12,003,000 due to increased outsourcing requirements for IT services.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Operation & Maintenance of Facilities	\$305	\$0	\$300	\$300

Operation & Maintenance of Facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes an increase of \$300,000 for anticipated O&M of investment technologies.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Research and Development	\$0	\$384	\$0	(\$384)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2011 Request includes a decrease of \$384,000 due to reprioritization of budgetary resources for program requirements.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Medical Care	\$10	\$0	\$10	\$10

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 Request includes an increase of \$10,000 for anticipated health clinic costs for employees.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Operation & Maintenance of Equipment	\$11,967	\$564	\$9,746	\$9,182

Operation & Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes an increase of \$9,182,000 for O&M of equipment hosted at Data Centers.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Supplies & Materials	\$321	\$216	\$316	\$100

Supplies & Materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes an increase of \$100,000 for cost increases related to supplies.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Equipment	\$6,961	\$7,890	\$6,848	(\$1,042)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes a decrease of \$1,042,000 for less than anticipated costs for equipment.

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Information Technology Services
Funding Schedule
(Dollars in Thousands)

PPA: Information Technology Services		2009	¹ 2010	2011	2010 to 2011
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	-	1,636	-	(1,636)
11.3	Other than perm	-	-	-	-
11.5	Other per comp	-	71	-	(71)
11.8	Spec Srvc Pay	-	-	-	-
12.1	Benefits	-	522	-	(522)
13.0	Benefits-former	-	-	-	-
21.0	Travel	16	93	16	(77)
22.0	Transportation of things	-	8	-	(8)
23.1	GSA rent	888	1,540	1,593	53
23.2	Other rent	-	-	-	-
23.3	Communication, Utilities, and misc charges	-	-	-	-
24.0	Printing	-	5	-	(5)
25.1	Advisory & Assistance Services	33,084	43,065	34,950	(8,115)
25.2	Other Services	9,431	9,331	8,651	(680)
25.3	Purchase from Govt. Accts.	4,822	5,176	625	(4,551)
25.4	Operation & maintenance of facilities	-	1,624	-	(1,624)
25.5	Research & Development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation & maintenance of equipment	4,267	2,603	2,908	305
25.8	Subsistence & Support of persons	-	-	-	-
26.0	Supplies & materials	30	20	37	17
31.0	Equipment	7,239	10,109	7,298	(2,811)
32.0	Land & Structures	-	-	-	-
41.0	Grants/Subsidies/Contributions	-	-	-	-
42.0	Indemnity	106	-	-	-
91.0	Unvouchered	-	-	-	-
Total, Information Technology Services		\$59,883	\$75,803	\$56,079	(\$19,724)
Full Time Equivalents		---	30	69	39

¹ The FY 2010 Enacted level is 0 FTP/FTE. Changes in FTE are due contractor conversions associated with the DHS Balanced Workforce Strategy.

PPA Mission Statement

A program which supports development, implementation, and maintenance of a comprehensive and integrated Enterprise Architecture, the information technology framework for the Department, geospatial technologies, and information sharing.

Summary Justification and Explanation of Changes

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Salaries and Benefits	\$0	\$2,229	\$0	(\$2,229)

FY 2011 request includes a decrease of \$2,229,000 in salaries and benefits due to its realignment under the Salaries and Expenses PPA. CIO is requesting an increase in 39 FTEs that will be funded from contractor conversions and the realignment of funding for personnel to perform government oversight and management functions. The funding associated with the changes in FTE as a result of the contractor conversions will be identified at a later date.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Travel	\$16	\$93	\$16	(\$77)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes a decrease of \$77,000 for less than anticipated travel.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Transportation of Things	\$0	\$8	\$0	(\$8)

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 Request includes a decrease of \$8,000 due to less than anticipated program requirements for this activity.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
GSA Rent	\$888	\$1,540	\$1,593	\$53

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request includes increases of \$53,000 for anticipated cost increase for leased space.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Printing	\$0	\$5	\$0	(\$5)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request includes a decrease of \$5,000 for less than anticipated costs for printing.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Advisory and Assistance Services	\$33,084	\$43,065	\$34,950	(\$8,115)

Advisory and Assistance Services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and Local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 Request includes a decrease of \$8,115,000 due to less than projected estimates for contractual services.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Other Services	\$9,431	\$9,331	\$8,651	(\$680)

The FY 2011 Request includes a decrease of \$680,000 for less than anticipated costs associated with program requirements.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$4,822	\$5,176	\$625	(\$4,551)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes a decrease of \$4,551,000 for less than expected requirements for outsourcing to other government agencies.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Operation & Maintenance of Facilities	\$0	\$1,624	\$0	(\$1,624)

Operation & Maintenance of Facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes a decrease of \$1,624,000 for less than anticipated O&M for facilities.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Operation & Maintenance of Equipment	\$4,267	\$2,603	\$2,908	\$305

Operation & Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes an increase of \$305,000 for O&M of equipment.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Supplies & Materials	\$30	\$20	\$37	\$17

Supplies & Materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes an increase of \$17,000 for cost increases related to supplies.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Equipment	\$7,239	\$10,109	\$7,298	(\$2,811)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes a decrease of \$2,811,000 for less than anticipated costs for equipment.

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Chief Information Officer
¹Infrastructure and Security Activities**

Funding Schedule
 (Dollars in Thousands)

PPA: Infrastructure and Security Activities		2009	² 2010	2011	2010 to 2011
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	-	-	-	-
11.3	Other than perm	-	-	-	-
11.5	Other per comp	-	-	-	-
11.8	Spec Srvc Pay	-	-	-	-
12.1	Benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	8	51	112	61
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	411	1,540	2,492	952
23.2	Other rent	-	-	-	-
23.3	Communication, Utilities, and misc charges	-	-	-	-
24.0	Printing	-	-	-	-
25.1	Advisory & Assistance Services	27,648	36,634	33,919	(2,715)
25.2	Other Services	10	1,483	8,686	7,203
25.3	Purchase from Govt. Accts.	6,355	14,367	28,754	14,387
25.4	Operation & maintenance of facilities	10,000	8,632	15,879	7,247
25.5	Research & Development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation & maintenance of equipment	75,351	66,852	64,998	(1,854)
25.8	Subsistence & Support of persons	-	-	-	-
26.0	Supplies & materials	-	-	-	-
31.0	Equipment	14,350	29,804	30,804	1,000
32.0	Land & Structures	-	-	-	-
41.0	Grants/Subsidies/Contributions	-	-	-	-
42.0	Indemnity	-	-	-	-
91.0	Unvouchered	-	-	-	-
Total, Infrastructure and Security Activities		\$134,133	\$159,363	\$185,644	\$26,281
Full Time Equivalents		---	11	22	11

¹ Name of PPA modified only; all programs, projects, and activities remain the same as in prior years.

² The FY2010 Enacted is 0 FTP/FTE. Changes in FTE are due contractor conversions associated with the DHS Balanced Workforce Strategy.

PPA Mission Statement

A set of programs that provide for the integration and protection of sensitive DHS information.

Summary Justification and Explanation of Changes

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Salaries and Benefits	\$0	\$0	\$0	\$0

The FY 2011 Request includes an increase in 11 FTEs that will be funded from contractor conversions. The funding associated with the changes in FTE as a result of the contractor conversions will be identified at a later date.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Travel	\$8	\$51	\$112	\$61

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes increases of \$61,000 for anticipated travel expenses related to the governance and management of IT programs.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
GSA Rent	\$411	\$1,540	\$2,492	\$952

GSA Rent includes all payments to General Services Administration (GSA) for space rental and rent related services. The FY 2011 Request includes increases of \$952,000 for anticipated cost increase for leased space.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Advisory and Assistance Services	\$27,648	\$36,634	\$33,919	(\$2,715)

Advisory and Assistance Services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and Local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 Request includes a decrease of \$2,715,000 due to the less requirements for contractual services.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Other Services	\$10	\$1,483	\$8,686	\$7,203

The FY 2011 Request includes an increase of \$7,203,000 for other contractual costs associated with infrastructure investments.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Purchase from Government Accounts	\$6,355	\$14,367	\$28,754	\$14,387

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes an increase of \$14,387,000 due to increased outsourcing requirements for IT services.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Operation & Maintenance of Facilities	\$10,000	\$8,632	\$15,879	\$7,247

Operation & Maintenance of Facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes an increase of \$7,247,000 for anticipated O&M for data center facilities.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Operation & Maintenance of Equipment	\$75,351	\$66,852	\$64,998	(\$1,854)

Operation & Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes a decrease of \$1,854,000 for less than anticipated O&M costs for equipment.

	2009	2010	2011	2010 to 2011
	Actual	Enacted	Request	Change
Equipment	\$14,350	\$29,804	\$30,804	\$1,000

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes an increase of \$1,000,000 for equipment.

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Wireless Activities
Funding Schedule
(Dollars in Thousands)

PPA: Wireless Activities		2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Object Classes:					
11.1	Perm Positions	-	-	-	-
11.3	Other than perm	-	-	-	-
11.5	Other per comp	-	-	-	-
11.8	Spec Srvc Pay	-	-	-	-
12.1	Benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, Utilities, and misc charges	-	-	-	-
24.0	Printing	-	-	-	-
25.1	Advisory & Assistance Services	448	-	-	-
25.2	Other Services	-	-	-	-
25.3	Purchase from Govt. Accts.	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research & Development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation & maintenance of equipment	2,095	-	-	-
25.8	Subsistence & Support of persons	-	-	-	-
26.0	Supplies & materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land & Structures	-	-	-	-
41.0	Grants/Subsidies/Contributions	-	-	-	-
42.0	Indemnity	-	-	-	-
91.0	Unvouchered	-	-	-	-
Total, Wireless Activities		\$2,543	\$0	\$0	\$0
Full Time Equivalents		---	---	---	---

Note: CIO no longer has this program under its base budget in FY2011.

PPA Mission Statement

A program whose mission it is to ensure the effective operation, management, budgeting, and procurement of all wireless technology department-wide, and the development of policy and wireless program performance metrics and standards for DHS.

Summary Justification and Explanation of Changes

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Advisory and Assistance Services	\$448	\$0	\$0	\$0

Advisory and Assistance Services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and Local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2009 actual is for PMO support.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Operation & Maintenance of Equipment	\$2,095	\$0	\$0	\$0

Operation & Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2009 actual is for O&M fees related to Wireless equipment.

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Chief Information Officer
 National Security Systems**

Funding Schedule
 (Dollars in Thousands)

PPA: National Security Systems		¹ 2009	² 2010	2011	2010 to 2011
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	-	-	-	-
11.3	Other than perm	-	-	-	-
11.5	Other per comp	-	-	-	-
11.8	Spec Srvc Pay	-	-	-	-
12.1	Benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	48	244	264	20
23.2	Other rent	-	-	-	-
23.3	Communication, Utilities, and misc charges	-	-	-	-
24.0	Printing	-	-	-	-
25.1	Advisory & Assistance Services	3,104	-	1,486	1,486
25.2	Other Services	826	3	5	2
25.3	Purchase from Govt. Accts.	3,381	9,441	12,164	2,723
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research & Development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation & maintenance of equipment	45,787	26,898	47,380	20,482
25.8	Subsistence & Support of persons	-	-	-	-
26.0	Supplies & materials	-	-	-	-
31.0	Equipment	708	12,209	12,710	501
32.0	Land & Structures	-	-	-	-
41.0	Grants/Subsidies/Contributions	-	-	-	-
42.0	Indemnity	-	-	-	-
91.0	Unvouchered	-	-	-	-
Total, National Security Systems		\$53,854	\$48,795	\$74,009	\$25,214
Full Time Equivalents		---	1	2	1

¹ Prior year numbers shown are for the Homeland Secure Date Network (HSDN) program which will be a program under this new PPA in FY 2011.

² The FY2010 Enacted was 0 FTP/FTE. Changes in FTE are due contractor conversions associated with the DHS Balanced Workforce Strategy.

PPA Mission Statement

A classified wide area network (WAN) for DHS and its components, with specific and controlled interconnections to the Intelligence Community and Federal law enforcement resources.

Summary Justification and Explanation of Changes

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Salaries and Benefits	\$0	\$0	\$0	\$0

The FY 2011 Request includes an increase in 1 FTE that will be funded from contractor conversions. The funding associated with the changes in FTE as a result of the contractor conversions will be identified at a later date.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
GSA Rent	\$48	\$244	\$264	\$20

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request includes increases of \$20,000 for anticipated cost increase for leased space.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Advisory and Assistance Services	\$3,104	\$0	\$1,486	\$1,486

Advisory and Assistance Services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and Local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 Request includes an increase of \$1,486,000 for contractual services for HSDN requirements.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Other Services	\$826	\$3	\$5	\$2

The FY 2011 Request includes an increase of \$2,000 for other contractual costs.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Purchase from Government Accounts	\$3,381	\$9,441	\$12,164	\$2,723

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes an increase of \$2,723,000 due to increased outsourcing requirements for IT services.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Operation & Maintenance of Equipment	\$45,787	\$26,898	\$47,380	\$20,482

Operation & Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes an increase of \$20,482,000 for O&M of equipment related to the new Homeland Top Secret/SCI Network program.

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Equipment	\$708	\$12,209	\$12,710	\$501

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes an increase of \$501,000 for additional procurement of equipment for the security of IT networks/systems.

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Chief Information Officer
 National Cyber Security Center**

Funding Schedule
 (Dollars in Thousands)

PPA: National Cyber Security Center		2009 Actual	1 2010 Enacted	2011 Request	2010 to 2011 Change
Object Classes:					
11.1	Perm Positions	-	-	-	-
11.3	Other than perm	-	-	-	-
11.5	Other per comp	-	-	-	-
11.8	Spec Srvc Pay	-	-	-	-
12.1	Benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, Utilities, and misc charges	-	-	-	-
24.0	Printing	-	-	-	-
25.1	Advisory & Assistance Services	395	-	-	-
25.2	Other Services	-	-	-	-
25.3	Purchase from Govt. Accts.	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research & Development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation & maintenance of equipment	-	-	-	-
25.8	Subsistence & Support of persons	-	-	-	-
26.0	Supplies & materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land & Structures	-	-	-	-
41.0	Grants/Subsidies/Contributions	-	-	-	-
42.0	Indemnity	-	-	-	-
91.0	Unvouchered	-	-	-	-
Total, National Cyber Security Ctr.		\$395	\$0	\$0	\$0
Full Time Equivalents		---	---	---	---

Note: Funding shown is carryover executed in FY 2009 for informational purposes only. NCSC has since been transferred to NPPD.

PPA Mission Statement

To secure U.S. Federal Government Networks and Systems by coordinating and integrating information to provide cross domain situational awareness, analyze and report on the composite state of U.S. Cyber Networks and Systems, and foster collaboration.

Summary Justification and Explanation of Changes

	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Advisory and Assistance Services	\$395	\$0	\$0	\$0

Advisory and Assistance Services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and Local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2009 actual reflects PMO support.

I: Changes in Full-Time Equivalents

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
 Changes in Full-Time Equivalents

	FY 2009	¹ FY 2010	FY 2011
Base: Year-end Actual from Prior Year	70	98	203
INCREASES			
Increase #1:	28	105	106
Description: Increase in Federal Workforce to provide Governmental Management and Oversight of Programs			
Increase #2:			
Description:			
Increase #3:			
Description:			
Increase #4:			
Description:			
Sub-Total Increases	28	105	106
DECREASES			
Decrease #1:			
Description:			
Decrease #2:			
Description:			
Decrease #3:			
Description:			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	98	203	309
Net Change from prior year base to Budget Year Estimate:	28	105	106

¹ The FY 2010 Enacted level is 94 FTP/FTE.

J: FY 2011 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2009 Actual	FY 2010 Enacted	FY 2011 Anticipated	Increase / Decrease for FY 2011
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Salaries and Expenses	31,646	30,170	30,592	422
Information Technology Services	6,107	5,347	5,421	74
Infrastructure and Security Activities	7,578	69,556	79,519	9,963
National Security Systems	3,407	1,898	1,925	27
Total Working Capital Fund	\$48,738	\$106,971	\$117,457	\$10,486

Department of Homeland Security

National Special Security Event State and Local Reimbursement Fund



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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National Special Security Event State and Local Reimbursement Fund

I. Appropriation Overview

A – Mission Statement for National Special Security Event State and Local Reimbursement Fund

On May 22, 1998, President William J. Clinton issued Presidential Decision Directive 62 (PDD 62) - Protection Against Unconventional Threats to the Homeland and Americans Overseas. PDD 62 established a framework for federal department and agency counter-terrorism programs, which addressed terrorist apprehension and prosecution, increased transportation security, enhanced emergency response, and enhanced cyber security. PDD 62 also designated specific Federal departments and agencies as the lead agencies in the event of terrorist attacks and for planning and implementation of National Security Special Events (NSSE).

The Office of Operations Coordination and Planning (OPS) will administer the Department's NSSE's State and Local Reimbursement Fund. The fund will be used to reimburse State and local governments for the actual costs associated with the increased security measures for an unplanned NSSE. The FY 2011 budget requests funds be appropriated to the Departmental Management and Operations account.

B – Budget Activities:

NSSE Reimbursement Fund

Major events that are considered to be nationally significant may be designated by the President - or his representative, the Secretary of DHS – as NSSEs. From September 1998 through December 2009, there have been 35 events designated as NSSEs. Some of these events have included presidential inaugurations, presidential nominating conventions, major sports events, and major international meetings. Since the standup of DHS, there have been five unplanned NSSEs including presidential funerals and world economic summits (i.e., G8 and G20).

C – Budget Request Summary:

The Department requests \$20,000,000 in FY 2011.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
National Special Security Event State and Local Reimbursement Fund
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
NSSE State and Local Reimbursement Fund	-	-	-	-	-	20,000	-	20,000	-	20,000	-	-
Subtotal, Enacted Appropriations and Budget Estimates	-	-	-	-	-	20,000	-	20,000	-	20,000	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	-	-	-	-	-	20,000	-	20,000	-	20,000	-	-

III. Current Services Program Description by PPA

Department of Homeland Security
National Special Security Event State and Local Reimbursement Fund
NSSE State and Local Reimbursement Fund
Program Performance Justification
(Dollars in Thousands)

PPA: NSSE State and Local Reimbursement Fund

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Program Change	-	-	20,000
2011 Total Request	-	-	20,000
Total Change 2010 to 2011	-	-	20,000

The Department requests \$20,000,000 for National Special Security Event State and Local Reimbursement Fund (NSSE).

Current Services Program Description:

The unplanned NSSE reimbursement fund did not exist within DHS prior to FY 2011. The fund will be used to reimburse State and local governments for the actual costs associated with the increased security measures for an unplanned NSSE. It also includes funds for day-to-day activities to include policy formulation for State and local reimbursement of unplanned NSSEs, as well as administration of the reimbursement fund.

IV. Program Justification Changes

Department of Homeland Security
National Special Security Event State and Local Reimbursement Fund
NSSE State and Local Reimbursement Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 1: NSSE State and Local Reimbursement Fund
PPA: NSSE State and Local Reimbursement Fund
Program Increase: Positions 0.0, FTE 0.0, Dollars \$20,000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	20,000
Total Request	-	-	-	-	-	-	-	-	20,000

Description of Item

The NSSE activities include the administration of reimbursement funds for State and local unplanned National Special Security Events. It also includes policy formulation for State and local reimbursement of unplanned NSSEs, as well as administration of the reimbursement fund.

Justification

The Department requests that OPS assume responsibility for the following requirement:

- \$20 million to establish a National Special Security Event (NSSE) State and Local Reimbursement Fund to be housed in the Office of the Secretary. The fund will be used to reimburse State and local governments for the actual costs associated with the increased security measures for an unplanned NSSE.
- This fund will not be used to reimburse the District of Columbia, as reimbursement already takes place under the Federal Payment for Emergency Planning and Security Costs in the District of Columbia account or to reimburse localities that receive reimbursement from the State Department’s Protection of Foreign Missions Operations.

Impact on Performance (Relationship of Increase to Strategic Goals):

The increase request will improve DHS' ability to achieve the DHS Secretary's Priority of Ensuring Resilience to Disasters.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

For necessary expenses for the National Special Security Event State and Local Reimbursement Fund, as authorized by 18 U.S.C. 3056, \$20,000,000, to remain available until expended for reimbursement, as determined by the Secretary, of the actual costs for eligible expenses of providing public safety and security at events related to the presence of an unplanned designated National Special Security events, of which not to exceed one percent may be used for management and administrative costs related to operating this account: Provided, That funds shall not be available to reimburse the District of Columbia or any other locality for an NSSE that receives reimbursement from other Federal funds, including the State Department's "Protection of Foreign Missions and Officials" account.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
National Special Security Event State and Local Reimbursement Fund
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	-	-	-
FY 2010 Enacted	-	-	-
Adjustments-to-Base	-	-	-
FY 2011 Current Services	-	-	-
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
NSSE State and Local Reimbursement Fund	-	-	20,000
Total, Program Changes	-	-	20,000
FY 2011 Request	-	-	20,000
FY 2010 to FY 2011 Total Change	-	-	20,000

C. Summary of Requirements

**Department of Homeland Security
National Special Security Event State and Local Reimbursement Fund
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	-	-	-
FY 2010 Enacted	-	-	-
Adjustments-to-Base	-	-	-
FY 2011 Current Services	-	-	-
Program Changes	-	-	-
Total, Program Changes	-	-	20,000
FY 2011 Total Request	-	-	20,000
Total Change 2010 to 2011	-	-	20,000

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
NSSE State and Local Reimbursement Fund	-	-	-	-	-	20,000	-	-	20,000	-	-	20,000	-	-	-
Subtotal, Estimates Program Project Activity	-	-	-	-	-	20,000	-	-	20,000	-	-	20,000	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	-	-	-	-	-	20,000	-	-	20,000	-	-	20,000	-	-	-

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
National Special Security Event State and Local Reimbursement Fund
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	-	200	200
25.2 Other services	-	-	19,800	19,800
Total, Object Class	-	-	20,000	20,000
Total, Direct Obligations	-	-	20,000	20,000

F. Permanent Positions by Grade

Not Applicable.

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
National Special Security Event State and Local Reimbursement Fund
NSSE State and Local Reimbursement Fund
Funding Schedule
(Dollars in Thousands)**

PPA: NSSE State and Local Reimbursement Fund	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	-	200	200
25.2 Other services	-	-	19,800	19,800
Total, Object Class	-	-	20,000	20,000
Total, NSSE State and Local Reimbursement Fund	-	-	20,000	20,000
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The NSSE State and Local Reimbursement Fund PPA provides reimbursement funding for any unplanned National Special Security Event.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	-	200	200

Advisory and Assistance Services include services acquired by contract from non-federal sources (that is the private sector, foreign governments, state and local programs, tribal governments, etc.) as well as from other units within the federal government.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	-	19,800	19,800

Other services include report contractual services with non-federal sources that are not otherwise classified under Object Class 25.

I. Changes in Full Time Equivalent

Not Applicable.

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security

Departmental Management and Operations



Fiscal Year 2011
Strategic Context
Congressional Justification

FY 2011 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

DEPARTMENTAL MANAGEMENT AND OPERATIONS (DMO)

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STRATEGIC CONTEXT FOR FY 2011 BUDGET

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A. Mission and Description of Component

Office of the Secretary and Executive Management (OSEM)

The Office of the Secretary and Executive Management (OSEM) supports the Department and all of its components by providing leadership, direction, and management.. OSEM provides departmental guidance, establishes and implements policy and provides various support functions, and oversight to all entities within the Department. This enables the Department to increasingly function as a unified, strategy-driven organization in preventing terrorist attacks and enhancing security, securing and managing our borders, enforcing and administering our immigration laws, safeguarding and securing cyberspace , and ensuring resilience to disasters. OSEM establishes and implements policy, and provides guidance, direction and oversight to all entities within the Department to meet these missions. It is the responsibility of the OSEM to deliver quality customer support services while eliminating redundancies and reducing support costs. The Department continues to work toward integration and consolidation of its resources and operations to create a seamless organization that shares services, information, and best practices across previously stove-piped organizations.

The Office of the Secretary and Executive Management includes 13 separate offices that individually report to the Secretary. These offices include: the Immediate Office of the Secretary; the Office of the Deputy Secretary; the Office of the Chief of Staff; the Office of the Executive Secretary; the Office of Intergovernmental Affairs; the Office of Policy; the Office of Public Affairs; the Office of Legislative Affairs; the Office of the General Counsel; the Office for Civil Rights and Civil Liberties; the Office of Citizenship and Immigration Ombudsman; the Privacy Office, the Office of Counternarcotics Enforcement.

Under Secretary for Management (USM)

The Office of the Under Secretary for Management delivers quality administrative support services and provides both leadership and oversight for all departmental management functions: information technology; budget and financial management; procurement and acquisition; human capital; departmental security; and administrative services. The USM delivers departmental customer services, while eliminating redundancies and reducing support costs, with the objective of improving the effective and efficient delivery of business and management services throughout the Department.

The Under Secretary for Management includes the following offices: the Immediate Office for Under Secretary for Management (USM), the Office of the Chief Administrative Officer (OCAO), the DHS Nebraska Avenue Complex (NAC) Project, the Office of the Chief Human Capital Officer (OCHCO), the Office of the Chief Procurement Officer (OCPO), and the Office of the Chief Security Officer (OCSO).

DHS Headquarters Consolidation Project

The DHS HQ Consolidation Project is responsible for the collocation and consolidation of the Department through the lease consolidation and build out of the St. Elizabeths campus. The DHS Management Directorate provides the coordination, planning, policy, guidance, operational oversight and support, and innovative solutions for the “One DHS” campus.

Office of the Chief Financial Officer (OCFO)

The mission of the Office of Chief Financial Officer (OCFO) is to provide guidance and oversight of the Department's budget, financial management, resource management and organizational performance management systems to ensure funds necessary to carry out the Department's mission are obtained, allocated, and expended in accordance with the Department's priorities and relevant laws and policies.

The OCFO has nine divisions: Budget; Program Analysis and Evaluation; Office of Financial Operations; Financial Management and Policy; Resource Management Transformation (Financial Systems); GAO and OIG Audit Liaison; Internal Control Management; Grants Policy and Oversight; and Workforce Development.

Office of the Chief Information Officer (OCIO)

The DHS OCIO, in collaboration with the DHS CIO Council, is responsible for implementing and maintaining the necessary Information Technology (IT) systems and infrastructure to support the missions and activities across the Department. The DHS CIO Council, chaired by the DHS CIO, is the senior governance body to ensure proper coordination and oversight of all DHS IT. DHS IT is managed under a federated model, in which OCIO establishes IT policy, develops IT strategy, and performs IT enterprise governance and oversight of all DHS. OCIO is also responsible for the development and operations of enterprise infrastructure and service programs. In addition to the OCIO, DHS components maintain IT organizations, including CIOs and Deputy CIOs, to support the development, implementation, operations, and maintenance of systems specific to supporting the component's mission.

National Special Security Events (NSSE) State and Local Reimbursement Fund

The mission of the National Special Security Event State and Local Reimbursement Fund is to provide a stable and manageable funding source for reimbursement to state and local authorities who provide security for unplanned national events as identified by the President - or his representative, the Secretary of DHS as National Special Security Events.

B. Major Programs and Key Strategic Goals

Office of the Secretary and Executive Management (OSEM)

Immediate Office of the Secretary: The Office of the Secretary continues to provide leadership, management and direction, and oversight for all of the Department's components. The Secretary serves as the top representative of the Department of Homeland Security to the President, to the Congress, and to the general public.

Immediate Office of the Deputy Secretary: The Office of the Deputy Secretary supports the Secretary by providing leadership to the Department by focusing on internal management and direction. This role ensures that the Department will operate efficiently and effectively when carrying out its mission. The Office will continue to provide internal oversight to all Department

operations, allowing the Secretary to focus attention on more external matters concerning the Department of Homeland Security.

Office of the Chief of Staff: The Chief of Staff is responsible for the coordination of all Department agencies, directorates, and offices. This office is responsible for the budget, information technology, and personnel functions, as well as COOP (Continuity of Operations), as they relate to the Immediate Office of the Secretary. The Office will continue to streamline, coordinate, and deliver initiatives and policies that will ensure the country's safety, response capacity, and freedoms.

Office of the Executive Secretary: The Office of the Executive Secretary's mission is to support the Office of the Secretary Through the accurate and timely dissemination of information and written communications throughout DHS and with homeland security partners. The Executive Secretary will continue to assist the Office of the Secretary by developing, implementing, and managing business processes for written communications, briefing book materials for the Secretary and Deputy Secretary, and all White House and interagency actions.

Office of Intergovernmental Affairs: The mission of the Office of Intergovernmental Affairs is to communicate and coordinate all State, Local, Tribal, and Territorial (SLTT) government actions throughout the Department. The Office of Intergovernmental Affairs will continue the responsibility of acting as liaison to the SLTT governments, as well as the national associations that represent them, to ensure there are open lines of communication with DHS and the stakeholders.

Office of Policy: The Office of Policy is responsible for the coordination of Department-wide policies, programs, and planning to ensure consistency and integration of missions throughout the Department. The Office of Policy continues its efforts, which strengthen the Department's ability to maintain policy and operational readiness necessary to protect the Homeland by providing a centralized coordination point for developing and communicating policies across the multiple internal and external components of the Homeland Security network. The Office of Policy also interacts with other government entities, international counterparts, academics and private stakeholders.

Office of Public Affairs: The Office of Public Affairs is responsible for oversight and management of all external and internal communications for the Department of Homeland Security. On a daily basis, the Office responds to national media inquiries, maintains and updates the Department's website, writes speeches for principals, and coordinates speaking events for Department officials across the country. The Office of Public Affairs also develops and manages various public education programs including the Ready Campaign to increase citizen preparedness.

Office of Legislative Affairs: The Office of Legislative Affairs serves as the primary liaison to members of Congress and their staffs, the White House and Executive Branch, and to other Federal agencies and governmental entities that have roles in ensuring national security. The Office responds to inquiries from Congress and the White House; notifies Congress about Department initiatives, policies, and programs; and keeps other governmental bodies informed concerning Homeland Security measures that affect their operations.

Office of the General Counsel: The General Counsel is the chief legal officer of the Department, serves as the chief legal advisor to the Secretary and is responsible for the sound and efficient management of the legal affairs of DHS. The Office of the General Counsel is responsible for ensuring the implementation of the Department's statutory responsibilities and policies as set forth by the Administration, the Secretary, and all officials within the Department. The Office provides legal counsel for all Departmental offices, other than those specifically excluded by regulation or directive, determines the Department's position to provide effective legal services involving claims, protests, litigation, and alternative dispute resolution, and represents the Department in all legal forums. OGC provides legal counsel for all DHS offices and components and works to ensure that the Department's efforts to secure the Nation are consistent with civil rights and liberties of all citizens, to integrate the more than 1,700 Departmental lawyers into an effective, client-oriented, full-service legal team, to assist in policy and operational initiative planning, and to communicate and coordinate with each DHS component on legal matters that affect the mission.

Office for Civil Rights and Civil Liberties: The Office for Civil Rights and Civil Liberties is responsible for protecting civil rights and civil liberties, providing policy advice to Departmental leadership on civil rights and civil liberties issues, and serving as an information and communication channel to the public on these issues. The Office is also responsible for overseeing the Departmental Equal Employment Opportunity (EEO) programs, providing oversight and adjudications of EEO complaints, and directing the Department's Diversity Initiative.

Citizenship and Immigration Services Ombudsman: The Citizenship and Immigration Services Ombudsman assists individuals and employers in resolving problems with United States Citizenship and Immigration Services (USCIS), identifies individual and employee problems areas within USCIS, and proposes changes to mitigate identified problems. The Office will continue to initiate and expand activities to promote interagency cooperation and holistic approaches to immigration and to prepare the office for an expected workload increase.

Privacy Officer: The DHS Privacy Officer is the first statutorily mandated Privacy Officer within the Federal government. The Office ensures that appropriate access to information is consistent with the vision, strategic mission, and core values of the Department, and implements the policies of the Department to defend and protect the individual rights, liberties, and information interests of U.S. citizens. The Privacy Office has oversight of all privacy policy matters, including compliance with the Privacy Act of 1974, the Freedom of Information Act, and the completion of privacy impact statements on all new programs, as specified in the E-Government Act of 2002 and Section 222 of the Homeland Security Act. The Privacy Office will continue to protect the collection, use, and disclosure of personally identifiable information (PII) and Departmental information.

Office of Counternarcotics Enforcement: The Office of Counternarcotics Enforcement (CNE) coordinates policy within the Department, and with other Federal, State, and Local agencies with respect to stopping the entry of illegal drugs into the United States. The Office ensures the adequacy of resources within the Department and recommends the appropriate financial and personnel resources necessary to help the Department fulfill its responsibilities to stop the entry of illegal drugs into the United States. In addition, CNE will support the coordination of Departmental and interagency efforts to track and sever the connections between drug trafficking and terrorism to prevent harm to U.S. citizens or interests.

Under Secretary for Management (USM)

The Under Secretary for Management provides the necessary functions of leading, directing, and managing the Department. In addition to providing leadership to the Department, the Under Secretary for Management is responsible for the major activities associated with budgeting, appropriations, expenditure of funds, accounting and finance, procurement, human resources and personnel, information technology systems, facilities, property, equipment and other material resources, personnel security, and the development and improvement of performance measures aligned with the mission and goals of the Department.

The Under Secretary for Management is divided into six major subprograms as follows:

Immediate Office of the Under Secretary for Management (OUSM): The Immediate Office of the Under Secretary of Management (OUSM) ensures the Under Secretary for Management (USM) offices function effectively and efficiently in support of both the Department as a whole and the USM offices themselves.

Office of the Chief Administrative Officer (OCAO): Administrative Services establishes policy and procedures as well as provides both departmental leadership and oversight for all functional areas managed by the DHS Chief Administrative Officer (CAO) and component Chief Administrative Officers. Functional areas include asset management (logistics, real estate, personal property, aviation, transportation, fleet, marine vessels), mail screening and delivery, occupational safety and health, environmental planning and management, historic preservation, energy management, records, directives, forms, library services, printing and graphics. In addition, OCAO also provides the day to day operational support for departmental headquarters and other components [Intelligence and Analysis (I&A); Operations Coordination and Planning (OPS); and the Science and Technology (S&T) directorate].

DHS Nebraska Avenue Complex (NAC) Consolidation Project: Although the physical limitations of the NAC render it unsuitable as the permanent DHS Headquarters, DHS plans to retain this property to house certain mission support functions that will not relocate to the new Consolidated DHS Headquarters Campus at St. Elizabeths. Accordingly, DHS will need to continue to invest in this property to sustain our operational capabilities while St. Elizabeths is developed, and leverage those investments as we realign the overall real estate portfolio to support DHS operations and integration.

Office of the Chief Human Capital Officer (OCHCO): The Office of Human Capital is organized around four major initiative areas (Talent Management, Performance Culture, Learning and Development, and Service Excellence) and is responsible for the implementation of the Human Capital Operational Plan, which contains specific actionable goals in support of the Human Capital Strategic Plan, the Strategy for Developing a Homeland Security University, the Secretary's Goals, and other Executive and Legislative Branch regulations and directives.

As a means of posturing itself to meet these challenges, the OCHCO has conducted a comprehensive, wall-to-wall review of all federal and contractor positions with a goal of realigning itself to reduce its significant over-reliance on contractor support, address priorities and carry out its policy and oversight responsibilities. Based on the results of that review, the OCHCO seeks to increase authorized staffing levels by 40 FTE within existing budgets by reducing and/or eliminating more expensive contractor support and re-directing the contractor dollars to fund federal

FTE. In doing so, the OCHCO will gain much greater control and accountability of outcomes, reduced reliance on contractor support, and more importantly, will be appropriately staffed to implement key strategies and action plans.

Office of the Chief Procurement Officer (OCPO): The OCPO reports directly to the Under Secretary for Management, and is responsible for overall management, administration and oversight assistance, strategic sourcing and competitive sourcing programs. Functions of the OCPO include:

- Acquisition Policy;
- Competitive Sourcing and Privatization: Responsible for the Department's implementation of the Federal Activities Inventory Reform, Circular A-76, and the President's Management Agenda (PMA) Competitive Sourcing Initiative; and
- Strategic Sourcing and Acquisitions Systems: Responsible for managing the DHS strategic sourcing program and acquisition systems and data management.

Office of the Chief Security Officer (OCSO): The mission of the Office of the Chief Security Officer is to secure the Department which, in turn, allows DHS to secure the homeland. The OCSO implements security programs that safeguard DHS personnel, property, facilities, and information. The Office develops, implements, and oversees the Department's security policies, programs, and standards; delivers security training and education to DHS personnel; and provides security support to components. Additionally, the Office investigates threats related to foreign intelligence, terrorism, and criminal activities within or directed against DHS.

DHS Headquarters Consolidation Project

DHS Headquarters Consolidation Project - Mission Support: The DHS Headquarters Consolidation Project proposes to reduce the total number of locations housing DHS and component headquarters facilities, which currently stands at over 40 locations and 70 buildings scattered throughout the National Capital Region (NCR) for more efficient management.

DHS Headquarters Consolidation Project – St. Elizabeths: The DHS Headquarters Consolidation Project is in accordance with the DHS National Capital Region Housing Master Plan signed by the Secretary and submitted to the Congress on October 25, 2006 as required by Public Law 109-295 (FY 2007 Homeland Security Appropriations Act). The project will consolidate executive program leadership of the Department in a secure setting for policy, management and operational coordination to facilitate the incident management functions as well as command and control capabilities.

Office of the Chief Financial Officer (OCFO)

Office of the Chief Financial Officer (OCFO): In FY 2011, the OCFO will refine and expand DHS financial management community human capital initiatives that strengthen our organizational culture and identity; update the financial management policy manual and improve consistency of handling financial transactions and processes across the DHS enterprise; eliminate many internal control and financial audit weaknesses; migrate more DHS components to modern resource management systems; enable improved decision making through business intelligence tools; and continue identifying vulnerabilities to fraud, waste, and abuse through internal assurance

reviews and developing and strengthening internal controls to prevent fraud, waste, and abuse. Further, OCFO will continue to build the Department's grants management and oversight function to issue policy, conduct audits mandated by the Single Audit Act, and monitor DHS grants and assistance awards of approximately \$20 billion.

Office of the Chief Information Officer (OCIO)

Office of the Chief Information Officer (OCIO): The OCIO provides a myriad of IT related services and support throughout DHS. To comply with components' IT mission requirements and to ensure alignment with the Department's strategic goals and objectives, the DHS CIO community developed the following IT strategic goals:

1. Establish secure IT infrastructure capabilities to protect the Homeland and enhance our Nation's preparedness, mitigation and recovery capabilities.
2. Strengthen and unify the Department's ability to share information internally and with Federal, State, Local and Tribal partners.
3. Effectively manage IT capabilities and implement cross-departmental IT portfolios that enhance mission and business performance.
4. Develop and implement a comprehensive approach to IT employee recruitment, development, retention, and recognition to ensure excellence in IT delivery across the Department.

With those goals in mind, the OCIO program is divided into four major program, project and activities (PPAs): Salaries and Expenses, Information Technology Services, Infrastructure and Security Activities, and National Security Systems.

National Special Security Events (NSSE) State and Local Reimbursement Fund

The NSSE State and Local Reimbursement Fund provides a reimbursable funding source for major events that are considered to be nationally significant by the President - or his representative, the Secretary of DHS. Beginning in September 1998 through February 2008, there have been 28 events designated as NSSEs. Some of these events have included presidential inaugurations, presidential nominating conventions, major sports events and major international meetings. Since the standup of DHS, there have been five unplanned NSSEs including presidential funerals and world economic summits (i.e., G8 and G20).

C. Resources Requested and Performance Impact

Office of the Secretary and Executive Management (OSEM)

The Office of the Secretary and Executive Management requests 647 positions, 645 FTE, and \$157.041M for FY 2011. This represents an increase of 25 positions, 42 FTE, and \$9.223M over the FY 2010 enacted budget of 622 positions, 603 FTE, and \$147.818M. Within this increase, 19 FTE and \$2.184M are requested for adjustments to base and 25 positions, 23 FTE, while \$11.407M are requested for program changes.

Under Secretary for Management (USM)

The Under Secretary for Management requests 1096 positions, 1046 FTE, and \$266.969M for FY 2011.

Current Services: The total adjustments-to-base is 212 positions, 259 FTE, and a decrease of \$5.806M.

Program Increases: The Under Secretary for Management is requesting a total of \$24.236M and 150 FTP/FTE in a program increase for FY 2011. The program increase will:

- Bolster and enhance the Department's Acquisition Workforce by increasing staff in the Acquisition Professional Career Program, the Acquisition Program Management Division (APMD) and other areas of the acquisition professional workforce to improve contracting oversight. (150 positions, 150 FTE, and \$24,235,700).

Program Decreases: In FY 2011, the USM will reduce the scope or eliminate the following programs and initiatives for a total programmatic decrease of \$5.651M. The decreases are as follows:

- USM Front Office Contractor Support (\$128K)
- CAO Internal Controls (\$400K)
- OCAO Decision Support and System Development (\$78K)
- OCAO Environmental Planning and Historic Preservation (EP & HP) Program Management Support (\$160K)
- OCAO Technical and Program Support (\$300K)
- OCAO System Administration for EP & HP (\$110K)
- OCHCO Human Capital Operations Contractor Support (\$1.150M)
- OCPO Centralized Training (\$1.479M)
- OCPO Contractor Support (\$1.846M)

DHS Headquarters Consolidation Project

The DHS Headquarters Consolidation Project requests 0 positions, 0 FTE, and \$362.8M in FY 2011.

Current Services: This is a new program for FY 2011.

Program Increases: The DHS Headquarters Consolidation Project is requesting a total of \$362.8M and 0 FTP/FTE in program increases for FY 2011. The program increases are as follows:

- DHS HQ Consolidation – Mission Support: Begin consolidation of the total number of locations housing DHS and component headquarters facilities, which currently consist of over 40 locations and 70 buildings scattered throughout the National Capital Region (NCR) (0 positions, 0 FTE, and \$75M).
- DHS HQ Consolidation – St. Elizabeths Project: Consolidate executive program leadership of the Department in a secure setting for policy, management and operational

coordination to facilitate the incident management functions and command and control capabilities (0 positions, 0 FTE, and \$287.8M). The \$287.8M will support the continuation of the Phase 1 development of the United States Coast Guard (USCG) Headquarters and initiate construction of the Phase 2A DHS Headquarters, and the National Operations/Collocation of Component Operations Centers.

Office of the Chief Financial Officer (OCFO)

In FY 2011, the Office of the Chief Financial Officer requests 221 positions, 202 FTE, and \$65.552M. The request includes resources for 221 positions, primarily in the following occupational series: budget analyst, management and program analyst, staff accountant, systems accountant; financial analyst; and auditor.

Current Services: The budget request for FY 2011 for the Office of the Chief Financial Officer contains the following major changes within base level:

- An increase of 38 positions (19 FTE) for increased staffing in the Resource Management Transformation Office (RMTO) and for financial management activities. This DHS Balanced Workforce Strategy of contractor to FTE conversions is being achieved within current services levels to ensure efficiencies, cost effective performance improvements, and a more appropriate balance between in-house and contract resources.
- An increase of \$1.7M to fund existing Personnel cost growth,
- An increase of \$22K to pay for additional GSA rent due to increased space.
- An increase of \$75K to pay for additional Working Capital Fund contributions.

Program Increases: The budget request for FY 2011 for the Office of the Chief Financial Officer contains the following additional changes:

- An increase of \$3.3M to improve financial management in the Department. The OCFO will enable internal assurance teams to conduct reviews of Department operations, remedy GAO/IG high risk/management challenge areas, and strengthen internal controls over operations. The OCFO will also support a series of external evaluations of programs to be conducted periodically by Federally Funded Research and Development Centers or other independent parties outside the Department and enhance the Program Analysis and Evaluations (PA&E) mission to provide information on key analytical issues to Department leadership and the Administration.

Office of the Chief Information Officer (OCIO)

In FY 2011, the Office of the Chief Information Officer requests 322 positions, 309 FTE, and \$398.459M.

Current Services: The Office of the Chief Information Officer is requesting 322 positions, 309 FTEs and \$342.424M in current services for FY 2011. The total adjustment to base is an increase of 27 positions, 106 FTE, and \$4.031M over the FY 2010 revised enacted level. The OCIO is committed to building a strategic human capital planning capability that is supported by a structured total workforce approach; one that seeks efficiencies, cost effective performance improvements, and

a more appropriate balance of in-house and contractor resources. During FY 2010, and with the FY 2011 request, the OCIO is implementing a DHS Balanced Workforce Strategy involving contractor conversions and the creation of additional personnel positions to provide greater government oversight and management of IT projects. The additional positions being requested in FY 2011 will be funded through the realignment of base resources resulting from the conversion of contractors to federal employees.

The increases in current services include a transfer from the National Protection and Programs Directorate (NPPD), Working Capital Fund costs, General Services Administration (GSA) rent costs, and pay inflation. In FY 2011, the DHS OCIO will continue to provide governance, management, and oversight of the Department's IT portfolios, capital planning, and strategic planning and budgeting for IT acquisitions, to ensure alignment with the Secretary's Goals, the DHS OCIO IT Strategic Goals, and the Enterprise Architecture. The DHS OCIO will continue to promulgate and implement DHS IT Security policy, governance, and security architecture guidance for all Departmental IT acquisitions as well as deliver and improve infrastructure services. The DHS OCIO will also continue its efforts to accelerate the consolidation of multiple data centers, networks, and services to comply with the One DHS, One Infrastructure policy.

Program Increases: The OCIO is requesting a total of \$56.035M and 0 FTEs in program enhancements for FY 2011. The program increases include the following:

- Office of Accessible Systems and Technology - \$1.358M - In FY 2011, the DHS Office of Accessible Systems and Technology (OAST) will be established and function as a separate office within OCIO. Funding will be used to support the O&M and enhancements for the Accessibility Compliance Management System and to purchase Section 508-related testing tools for use by component-level testing programs across DHS. A majority of the funds will be used to fund contract-support services in the following areas: Section 508 compliance quality assurance and independent validation and verification of Commercial Off-the-shelf (COTS)/Government Off the Shelf (GOTS) products and systems; services to modify existing training courses (both online and in the classroom) to reflect the new Section 508 Technical Standards; ongoing strategic planning activities to position OAST to better meet accessibility compliance and governance needs; oversight and evaluation of component-level Accessible Systems and Technology Programs; and ongoing oversight of accessibility compliance in change management, Enterprise Architecture, FISMA systems reporting, and acquisitions review activities.
- Enterprise Service Delivery - \$5M - DHS currently lacks a cross-enterprise information sharing and collaboration capability. In response to leadership's priority to unify the Department, the DHS OCIO is working with component CIOs and Business Offices, including the Office of Public Affairs, to develop SharePoint as a Service as part of the Web 2.0 initiative. Funding will go towards consolidating legacy component Web 2.0 infrastructure at legacy Data Centers which will be integrated into the target SharePoint environment at the Department's Data Centers. Funds will be used to support the target intranet website (DHSONline replacement) for use by components, Idea Factory, and other enterprise unifying initiatives.

- Enterprise Data Management – \$7.609M - Additional funding will enable the Enterprise Data Management Office to put in place procedures and practices across the components that will lower development costs and decrease O&M costs significantly. It will also enable DHS to support the NIEM Program Management Office, including support of state and local participation in the Information Sharing Environment through the use of tools, training and technical support for the NIEM program. The additional funds will enable DHS to build data standards for the Information Sharing Environment, such as Alerts and Warnings, Suspicious Activity, Terrorist Watch Lists, and Cargo/Trade Screening. All of these initiatives will increase the success of the DHS goals for Information Sharing and increase the effectiveness of DHS Terrorism Preparedness, Prevention, and the Response Discretionary Grants program.
- Information Security Infrastructure – \$32.268M - Increased funding will enable the following security infrastructure enhancements:

E-mail: DHS will consolidate component messaging systems into the DHS Stennis and EDS data centers with the standup of a unified E-mail as a Service (EaaS) capability. The requirements for the EaaS offering have been jointly defined by representatives from each of the components.

Single Sign-on (SSO) and PKI: SSO funding will leverage technologies to improve the timeliness of secure access of mission applications for DHS employees and Federal, State, Local and Private sector partners. Implementing SSO will enable DHS computer users to log-in to their systems with a single set of credentials, accessing multiple applications, thus minimizing the need for a user to log-in multiple times for different applications. SSO will also provide the ability to manage user names and passwords across potentially hundreds of applications throughout DHS. Ultimately, this will provide additional security and auditing to support the complexities of the DHS IT infrastructure.

- Homeland Top Secret Network (HTSN) - \$16.1M - The requested increase will provide a centrally governed and managed enterprise-level TS/SCI network that is highly scalable, and has the flexibility to add server and storage resources as needed. It will leverage existing and planned DHS network circuits to DHS components, enabling intra-DHS TS/SCI communication, including shared redundant and controlled access to JWICS and Intelligence Community resources. HTSN will provide an infrastructure on which to host existing and planned intelligence applications, consolidated common provisioning of enterprise applications including Microsoft Office, file shares, and e-mail; central network and security operations and monitoring capability; leverage type-certified workstation solutions; wide area network (WAN) and communication interface designs; and provide centrally managed back-up, Disaster Recovery (DR), and COOP capability for the TS/SCI network.

Program Decreases: In FY 2011, the OCIO will eliminate one program and reduce the scope of another for a total programmatic decrease of \$6.3M. The decreases include the following:

- Applied Information Technology and Research Services (\$1.1M) – The Applied Information Technology and Research Services program will be eliminated along with the subscriptions to the IT research services used by component CIO organizations for evaluation technology, support alternative analysis, and to introduce innovation into the Enterprise Architecture.
- Infrastructure Operations (\$5.2M) - The OCIO will continue to strive for efficiencies while providing the same level of service for DHS HQ A- and C-LANs for the disaster recovery (DR) program. The OCIO will continue to maximize resources while implementing project schedules towards a full disaster recovery capability. This decrease will not impact OCIO’s ability to protect the department’s critical IT infrastructure.

National Special Security Event (NSSE) State and Local Reimbursement Fund

In FY 2011, NSSE State and Local Reimbursement Fund is requesting \$20M to provide a stable and manageable source for reimbursement to state and local authorities who provide security for national events as identified by the President - or his representative, and the Secretary of DHS. This is a new program beginning in FY 2011.

D. Performance Highlights, Resources, and Alignment to Strategic Goals¹

Office of the Secretary and Executive Management (OSEM)

For each program, the program performance goal, alignment to the DHS Secretary’s Priorities total dollars and FTE, and Government Performance and Results Act (GPRA) performance plan measures are shown below. Additional measures are also displayed, as appropriate, to provide a more thorough context of expected performance results.

Program: Office of the Secretary and Executive Management (OSEM)						
Performance Goal: Provide comprehensive leadership, oversight, and support to all Components and improve the efficiency and effectiveness of the Department and its business and management services.						
Secretary’s Priority: Mature and Strengthen the Homeland Security Enterprise						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$78,615	\$95,336	\$101,393	\$140,842	\$147,818	\$157,041
FTE	416	469	542	598	603	645

¹ Performance plans will be developed for the National Special Security Event State and Local Reimbursement Fund in 2010.

Under Secretary for Management (USM)

Under Secretary for Management – Consolidate support services under the control of the Department of Homeland Security in order to maximize management efficiencies and ensure continuity of services in the near term.

For each major program, the performance goal, alignment to the Secretary’s Goals, total dollars and FTEs, and main performance measures are shown below.

Program: Under Secretary for Management						
Performance Goal: Provide comprehensive leadership, oversight, and support to all Components and improve the efficiency and effectiveness of the Department and its business and management services.						
DHS Secretary’s Priority: Mature and Strengthen the Homeland Security Enterprise						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$167,147	\$149,540	\$149,498	\$391,793	\$254,190	\$266,969
FTE	265	283	352	466	637	1046

Performance Plan Measures

Measure: Attrition rate for career Senior Executive Service personnel						
Description of Measure: This measure reflects the number of career Senior Executive Service personnel who depart from the Department of Homeland Security due to retirements, transfers, resignations, and deaths. The Senior Executive Service plays a critical role as a central coordinating point between the Government's political leadership which sets the political agenda and the line workers who implement it. Managing the attrition rate for the Senior Executive Service is critical to maintaining a cadre of qualified leaders.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	11.5%	10.5%	9%	9%
Actual:	None	None	11%	8.9%	N/A	N/A

Measure: Percent of major acquisition projects that do not exceed 10% of cost/schedule/performance objectives						
Description of Measure: This measure reports the percent of Department and component major capital acquisition projects collectively that do not exceed cost, schedule, or performance objectives established in individual Acquisition Program Baseline plans by more than 10%. Acquisition Program Baselines (APB) establish projected cost, schedule, and performance milestones against which actual milestones are compared for this measure. Major acquisition projects are defined as the procurement of capital assets exceeding \$100M in acquisition costs for non-Information Technology assets, Information Technology systems that exceed \$100M in life cycle costs, and other programs designated as major by the Secretary. By meeting cost, schedule, and performance objectives, the Department is able to deliver capital equipment in a timely fashion that enable mission activities while being responsible stewards of appropriated funds.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	New	50%	45%	47%
Actual:	None	None	None	97.1%	N/A	N/A

Note Expansion in the number of projects included in this measure, and increased oversight criteria, will likely result in DHS in finding more major projects not meeting their cost, schedule, and performance thresholds. Thus the FY 2010 target has been set to be lower than the FY 2009 result. Steps taken by the Department to improve project staffing and training will take time to impact project performance before being reflected in improved project execution.

Measure: Percent of favorable responses by DHS employees on the annual employee survey						
Description of Measure: This measure reflects the average percent of positive responses to the 39 questions which make up the four Human Capital Assessment and Accountability Framework Indices (HCAAF) on the annual employee survey. The U.S. Office of Personnel Management (OPM) has determined the make up of the four HCAAF Indices as: Leadership and Knowledge Management; Results - Oriented Performance Culture; Talent Management; and Job Satisfaction. Employee surveys are conducted annually to gauge employees' perceptions on whether they are effectively led and managed, if they have opportunities to grow professionally and advance in their careers, and if their contributions are valued and recognized. The OPM conducts this survey during even-numbered years and the identical survey is administered by the DHS during the odd-numbered years. The survey results are used by DHS agency managers to address human capital management issues and improve agency performance in these areas.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	50%	51%	55%	56%
Actual:	None	None	50%	54%	N/A	N/A

Measure: Percent of DHS workforce (employees and contractors) with advanced identification cards						
Description of Measure: This measure indicates the percent of Department of Homeland Security federal employees and contractors that have been issued Personal Identifiable Verification cards with advanced features. Advanced identification cards are outfitted with a microchip that stores personal information, including biometric data (such as fingerprints) that can be read automatically by a card reader to check information against a database. If a match is verified and the person has been granted appropriate permissions, the person is permitted entry into a government facility and/or can log on to a computer workstation. This effort is being undertaken to comply with Homeland Security Presidential Directive - 12 (HSPD - 12) in order to ensure that government facilities and sensitive information stored in them are secure.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	New	20%	24%	76%
Actual:	None	None	None	4.8%	N/A	N/A

DHS Headquarters Consolidation Project

Program: DHS Headquarters Consolidation Project						
Performance Goal: Provide comprehensive leadership, oversight, and support to all Components and improve the efficiency and effectiveness of the Department and its business and management services.						
DHS Secretary's Goals: Mature and Strengthen the Homeland Security Enterprise						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$0	\$0	\$0	\$200,000	\$0	\$362,800
FTE	0	0	0	3	0	0

¹ FY 2009 includes \$200M from the American Recovery and Reinvestment Act. Beginning in FY2010, the 3 FTEs will be absorbed and paid from the Office of the Chief Administrative Officer S&E account, under the USM appropriation.

Office of the Chief Financial Officer (OCFO)

Program: Office of the Chief Financial Officer						
Performance Goal: Provide comprehensive leadership, oversight, and support to all Components and improve the efficiency and effectiveness of the Department and its business and management services.						
DHS Secretary's Goals: Mature and Strengthen the Homeland Security Enterprise						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$19,211	\$26,000	\$31,300	\$55,235	\$60,530	\$65,552
FTE	87	97	120	139	173	202

Performance Plan Measures

Measure: Percent of improper payments collected						
Description of Measure: This measure reflects the percent of overpayments that the Department has recovered from the total dollar amount of identified recoverable erroneous payments. Improper contract payments to vendors are identified through a recovery audit process, and any other improper payments made by Components are identified through a payment sampling process. Debts over 180 days delinquent are turned over to the Department of the Treasury's Offset Program (TOP). Alternately, Components may offset debts from future payments to the same vendor. Tracking of collection data promotes oversight by the Department. Recoupment of improper payments save taxpayers money.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	New	52%	85%	86%
Actual:	None	None	None	89.7%	N/A	N/A

Measure: Percent of vendors paid electronically						
Description of Measure: This measure reflects the percent of vendors that are paid using Electronic Funds Transfer for payment of invoices. The Debt Collection Improvement Act requires the use of Electronic Funds Transfer for most Federal payments. An Electronic Funds Transfer is any transmission of monies, other than by cash, check, or similar paper, made through an electronic means. The Treasury Department indicates that it costs the Government \$0.98 to issue a payment by check and \$0.10 to issue an Electronic Funds Transfer payment. Payments made electronically reduce the administrative cost to the Government.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	New	96.5%	96%	96%
Actual:	None	None	None	97.5%	N/A	N/A

Measure: Interest penalties paid on all invoices (in millions)						
Description of Measure: This measure reflects the amount of interest penalties incurred by the Department of Homeland Security for late payment of invoices submitted by vendors that provided goods and services to the Government. The Prompt Payment Act requires that Federal agencies pay all approved vendor invoices in a timely manner. The Act assesses late interest penalties against agencies that pay vendors after a payment due date. Reducing the amount of interest paid ensures that all Department of Homeland Security vendors are paid in a timely manner without additional cost to the Government.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	\$300	\$250	\$200	\$200
Actual:	None	None	None	\$169.3	N/A	N/A

Measure: Percent of accounts receivable from the public delinquent over 180 days						
Description of Measure: This measure reflects the percent of dollars owed to the Department and its Components from individuals and organizations that are more than 180 days past the due date. By collecting these dollars sooner, the Department receives the cash in a timeframe that it can be used in a more effective manner. Money tied up in the collections process cannot be used by the Department to provide the services the American public expects.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	20%	15%	15%
Actual:	None	None	None	17.70%	N/A	N/A

Measure: Percent of non - credit card invoices paid on time						
Description of Measure: This measure reflects the percent of invoices paid by the payment due date by the Department of Homeland Security and its Component agencies for all goods and services purchased through means other than the Government Purchase Credit Card. The Prompt Payment Act requires that Federal agencies pay all approved vendor invoices within certain time periods and to pay interest penalties when payments are late. Increasing the percent of invoices paid on time ensures that all Department of Homeland Security vendors are paid in a timely manner and interest penalties are avoided.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	98.5%	98%	98%
Actual:	None	None	None	96.09%	N/A	N/A

Measure: Total instances of material weakness conditions identified by the independent auditor in their report on the DHS financial statements.						
Description of Measure: The number reported is the total instances of material weakness conditions in both the DHS Office of Financial Management and DHS components. A material weakness is a deficiency significant enough to be reported outside the agency.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	n/a	< 25	<16	<12	<11	<10
Actual:	25	16	13	12	N/A	N/A

Office of the Chief Information Officer (OCIO)

Program: Office of the Chief Information Officer						
Performance Goal: Provide comprehensive leadership, oversight, and support to all Components and improve the efficiency and effectiveness of the Department and its business and management services.						
DHS Secretary's Goals: Mature and Strengthen the Homeland Security Enterprise						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$294,257	\$330,549	\$289,092	\$272,169	\$338,393	\$398,459
FTE	78	87	91	94	203	309

Performance Plan Measures

Measure: Percent of major Information Technology systems with full Federal Information Security Management Act Compliance						
Description of Measure: Information security is vital to U.S. economic and national security interests. This measure assesses the percent of the Department's major IT systems in the operations and maintenance phase that meet all Federal Information Security Management Act (FISMA) requirements. FISMA requires agencies to develop, document, and implement an agency-wide program to protect information and information systems from unauthorized access, use, disclosure, disruption, modification, or destruction. Major IT systems are defined as: important to the mission of the agency; for financial management obligating more than \$500K annually; having significant program or policy implications; high executive visibility, high development, operating, or maintenance costs; funded through other than direct appropriations; or defined as major by the agency's capital planning and investment control process. The targets reveal that there are always systems in a lifecycle transition phase.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009*	FY 2010	FY 2011
Target:	None	None	None	90%	90%	90%
Actual:	None	None	None	92%	N/A	N/A

Measure: Percent of major investments currently aligned to the Agency Enterprise Architecture.						
Description of Measure: This measure assesses how many of the Department's major (Level 1 and 2) investments are aligned with the DHS Enterprise Architecture. Enterprise Architecture is a blueprint for describing the enterprise and is one tool for managing change within DHS. Enterprise Architecture ensures that all investments are aligned to strategic goals and the target Enterprise Architecture for achieving those goals. Investment programs that align to the target Enterprise Architecture for the Department receive authority to proceed with their implementation. Investment programs determined not to align with the target Enterprise Architecture are provided recommendations on how to enhance their alignment before proceeding forward. The Enterprise Architecture alignment is important for improving mission effectiveness and operational efficiency while ensuring that all investments are not creating unnecessary redundancies.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009*	FY 2010	FY 2011
Target:	None	None	None	25%	50%	60%
Actual:	None	None	None	44%	N/A	N/A

*The above performance measures are new measures beginning in FY 2009.

E. High Priority Performance Goals

High Priority Performance Goal:

Improve Acquisition Execution Across the DHS Acquisition Portfolio, by ensuring Key Acquisition Expertise resides in Major Program Office and Acquisition Oversight Staffs throughout the Department.

DHS' performance in executing its acquisition portfolio requires improvement. Recent steps at the Department level and in some Components (developing and issuing improved acquisition policy and processes, creating and staffing dedicated acquisition oversight and assistance offices) have produced notable improvements in this important area.

In order for DHS to achieve an environment where superior acquisition is consistently achieved, though, all major program offices and Component acquisition staffs must be manned with a core combination of government personnel possessing requisite experience and knowledge in major acquisition disciplines (program management, systems engineering, business and financial management, logistics, contracting, test and evaluation, and cost analysis).

Performance Measures

Component	FYHSP Program Name	Program Performance Goal	Performance Measure	Secretary's Priority
<u>USM (Chief Procurement Office)</u>	<u>Departmental Management and Operations</u>	Provide comprehensive leadership, oversight, and support to all Components and improve the efficiency and effectiveness of the Department and its business and management services.	Percent of major acquisition projects that do not exceed 10% of cost/schedule/performance objectives	Mature and Strengthen the Homeland Security Enterprise

F. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Digest of FY 2011 Budget Estimates by Activity and FYHSP Program (dollars in thousands)						
FYHSP Program	² FY 2009 Revised Enacted		² FY 2010 Enacted		FY 2011 Request	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
OSEM	518	140.842	603	147.818	645	157.041
Immediate Office of the Secretary	8	3.14	12	5.061	12	5.427
Immediate Office of the Deputy Secretary	6	1.539	6	1.810	6	1.974
Office of the Chief of Staff	13	2.693	15	2.595	15	3.658
Office of the Executive Secretary	42	7.309	55	7.800	58	8.967
Intergovernmental Affairs	0	0	17	2.800	27	4.207
Office of Policy	165	59.065	182	51.564	187	49.807
Office of Public Affairs	28	6.168	38	5.991	38	7.025
Office of Legislative Affairs	31	5.51	31	6.797	31	7.200
Office of the General Counsel	85	19.114	86	24.028	86	24.363
Office for Civil Rights and Civil Liberties	70	19.311	80	21.104	100	24.559
Citizenship and Immigration Services Ombudsman	30	6.396	36	6.685	36	6.864
Privacy Office	27	6.879	30	7.971	34	9.118
Office of Counternarcotics Enforcement	13	3.718	15	3.612	15	3.872
USM	526	191.793	637	254.190	1046	266.969
Immediate Office of the USM	13	2.514	13	2.864	13	2.770
Office of the Chief Administrative Officer	77	43.877	80	44.491	87	43.942
DHS NAC Consolidation Project	0	6.000	0	5.500	0	5.500
Office of the Chief Human Capital Officer	79	38.827	89	25.473	108	24.489
Human Resources Information Technology (HRIT)	0	0	0	17.131	25	17.641
Office of the Chief Procurement Officer	184	39.143	282	68.538	554	99.763
Office of the Chief Security Officer	173	61.432	173	90.193	259	72.864
¹ DHS HQ Consolidation Project	0	200.000	0	0	0	362.800
DHS HQ Consolidation – Mission Support	0	0	0	0	0	75.000
DHS HQ Consolidation – St. Elizabeths Project	0	200.000	0	0	0	287.800
OCFO	139	55.235	173	60.530	202	65.552
Office of the Chief Financial Officer	139	55.235	173	60.530	202	65.552
⁴ OCIO	111	272.169	203	338.393	309	398.459
Salaries and Expenses	111	86.928	161	86.912	216	82.727
Information Technology Services	0	44.945	30	51.417	69	56.079
Infrastructure and Security Activities	0	92.623	11	152.403	22	185.644
National Security Systems	0	47.673	1	47.661	2	74.009
⁵ Office of the Federal Coordinator for Gulf Coast Rebuilding	9	1,900	10	2,000	-	-
State and Local NSSE Fund	-	-	-	-	0	20.000
Total Budget Authority	1,306	³ 861,939	1,626	802.931	2,202	1,270.821

¹FY 2009 Revised Enacted includes \$200M from the American Recovery and Reinvestment Act.

²FY 2009/FY 2010 FTEs are based on revised levels.

³Includes a total of \$17.4M in reprogrammings from USM, CFO, CIO, Dept Ops and State Department.

⁴The FY 2010 Enacted level for CIO is 94 FTE/FTP.

⁵OFCGCR will be closing on March 31, 2010.

Department of Homeland Security

Analysis and Operations

Analysis and Operations Appropriation



Fiscal Year 2011
Overview
Congressional Justification

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i. Summary of FY 2011 Budget Estimates by Appropriation

**Department of Homeland Security
Analysis and Operations***
Summary of FY 2011 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)

Budget Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Analysis and Operations	415	\$340,257	682	\$335,030	870	\$347,930	188	12,900	17	6,300	171	6,600
Subtotal, Enacted Appropriations and Budget Estimates	415	\$340,257	682	\$335,030	870	\$347,930	188	\$12,900	17	\$6,300	171	\$6,600
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	415	\$340,257	682	\$335,030	870	\$347,930	188	\$12,900	17	\$6,300	171	\$6,600

* A portion of the funding is classified.

ii: Homeland and Non-Homeland Allocation

Department of Homeland Security
Analysis and Operations *
 Homeland and Non-Homeland Allocation by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	2009 Actual						2010 Enacted						2011 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Analysis and Operations	415	340,257	---	---	415	\$340,257	682	\$335,030	---	---	682	\$335,030	870	\$347,930	---	---	870	\$347,930
Total Direct Appropriations and Budget Estimates	415	340,257	---	---	415	340,257	682	335,030	---	---	682	335,030	870	347,930	---	---	870	347,930

* A portion of the funding is classified.

Explanation of Changes:
 No changes.

iii. Status of Congressionally Requested Studies, Reports, and Evaluation

**Department of Homeland Security
Analysis and Operations**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2010	12/28/2009	Joint Explanatory Statement, Page 60 Senate Report 111-31	FY 2010 Expenditure Plan - Office of Intelligence and Analysis: Not later than 60 days after bill enactment, submit a fiscal year 2010 expenditure plan for the Office of Intelligence and Analysis as outlined in the Senate report, including balances carried forward from prior years.	Anticipated submission: February 2010
2010	2/15/2010, 5/15/2010, 8/15/2010, 11/15/2010	Joint Explanatory Statement, Page 61 Senate Report 111-31, Page 22-23 House Report 111-157, Page 29	FY 2010 - State and Local Fusion Centers (SLFCs): Continue to submit quarterly reports on the SLFC Program not later than 30 days after the end of each quarter of the fiscal year, as discussed in the Senate and House reports.	Anticipated submission: The first quarter FY 2010 SLFC report will be submitted in February 2010.

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
Analysis and Operations***

Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)

Budget Activity				
	Last Year of Authorization	Authorized Level	in Last Year of Authorization	FY 2011 Request
	Fiscal Year	Amount	Amount	Amount
Analysis and Operations	N/A	N/A	N/A	\$347,930
Total Direct Authorization/Appropriation				\$347,930

* A portion of the funding is classified.

Department of Homeland Security

Analysis and Operations



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Analysis and Operations

I. Appropriation Overview

A – Mission Statement for Analysis and Operations

The Analysis and Operations appropriation provides resources for the support of the Office of Intelligence and Analysis and the Office of Operations Coordination and Planning. Even though these two offices are different and distinct in their missions, they work together and with other DHS components to support the Department's mission of protecting the homeland. The mission of Intelligence & Analysis is to provide homeland security intelligence to the Secretary, other government officials, and State, Local, and Private Sector partners. The mission of the Office of Operations Coordination and Planning is to integrate DHS and interagency planning and operations coordination in order to prevent, protect, respond to, and recover from terrorist threats/attacks or threats from other man-made or natural disasters.

B – Budget Activities:

Office of Intelligence and Analysis (I&A) - As a member of the U.S. Intelligence Community (IC), I&A is the nexus between the nation's intelligence apparatus and DHS components and other State, Local, and Private Sector (SLP) partners. I&A ensures that information is gathered from all relevant DHS field operations and other SLP partners and that this information is shared with appropriate stakeholders to produce accurate, timely and actionable analytical intelligence products and services. The Under Secretary for Intelligence and Analysis (U/SIA) leads I&A, and is also the Department's Chief Intelligence Officer (CINT), responsible for managing the entire DHS Intelligence Enterprise, and the Department's Chief Information Sharing Officer, responsible for implementing the objectives of the Program Manager – Information Sharing Environment (PM-ISE) within DHS.

Office of Operations Coordination and Planning (OPS) - OPS plays a pivotal role in DHS' mission to lead the unified national effort to secure America by facilitating the Secretary's responsibilities across the full spectrum of incident management (prevention, protection, response and recovery). OPS provides situational awareness, assessments and operations coordination for the DHS Secretary and facilitates operational information sharing with all DHS components, as well as for Federal, State, local, tribal, private sector and international partners. In support of the Secretary's role as principal Federal official for domestic incident management, OPS develops and coordinates Departmental and interagency strategic-level operations plans.

C – Budget Request Summary:

The Analysis and Operations account requests 955 positions, 870 FTE and \$347,930,000 for FY 2011. Details regarding the program increases can be found in the classified annex.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security Analysis and Operations

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Analysis and Operations	415	340,257	682	335,030	870	347,930	188	12,900	17	6,300	171	6,600
Subtotal, Enacted Appropriations and Budget Estimates	415	340,257	682	335,030	870	347,930	188	12,900	17	6,300	171	6,600
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	415	340,257	682	335,030	870	347,930	188	12,900	17	6,300	171	6,600

III. Current Services Program Description by PPA

**Department of Homeland Security
Analysis and Operations
Program Performance Justification**
(Dollars in Thousands)

PPA: Analysis and Operations¹

	Perm. Pos	FTE	Amount
2009 Actuals	470	415	340,257
2010 Enacted	783	682	335,030
2011 Adjustments-to-Base	138	171	6,600
2011 Current Services	921	853	341,630
2011 Program Change	34	17	6,300
2011 Total Request	955	870	347,930
Total Change 2010 to 2011	172	188	12,900

¹Reference Classified Analysis and Operations Annex

IV. Program Justification Changes

**Department of Homeland Security
Analysis and Operations
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Analysis & Operations¹
 PPA: Analysis and Operations
 Program Increase: Positions 34.0, FTE 17.0, Dollars \$6,300.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							34	17	6,300
Total Request	-	-	-	-	-	-	34	17	6,300

¹Reference Classified Analysis and Operations Annex

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Analysis and Operations
Justification of Proposed Changes in Analysis and Operations
Appropriation Language**

For necessary expenses for intelligence analysis and operations coordination activities, as authorized by Title II of the Homeland Security Act of 2002 (6 U.S.C. 121 et seq.), [\$335,030,000] **\$347,930,000**, of which not to exceed \$5,000 shall be for official reception and representation expenses; and of which [\$190,862,000] **\$53,975,000** shall remain available until September 30, [2011] *2012*.

B. FY 2010 to 2011 Budget Change

Department of Homeland Security Analysis and Operations¹ FY2010 to FY2011 Budget Change (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2009 Actuals	470	415	340,257
FY 2010 Enacted	783	682	335,030
Adjustments-to-Base	-	-	-
Increases	-	-	-
Annualization of prior year funding	-	46	5,938
Annualization of 2010 pay raise	-	-	460
2011 pay increase	-	-	966
GSA Rent	-	-	508
DHS Balanced Workforce Strategy	138	125	16,440
SLFC Funding	-	-	5,175
Total Increases	138	171	29,487
Decreases	-	-	-
Cost Savings realized from DHS Balanced Workforce Strategy	-	-	(22,461)
Workforce Development	-	-	(426)
Total Decreases	-	-	(22,887)
Total, Adjustments-to-Base	138	171	6,600
FY 2011 Current Services	921	853	341,630
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Analysis & Operations	34	17	6,300
Total, Program Changes	34	17	6,300
FY 2011 Request	955	870	347,930
FY 2010 to FY 2011 Total Change	172	188	12,900

¹A portion of the funding request is classified.

C. Summary of Requirements

**Department of Homeland Security
Analysis and Operations
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	470	415	340,257
FY 2010 Enacted	783	682	335,030
Adjustments-to-Base	-	-	-
Increases	138	171	29,487
Decreases	-	-	(22,887)
Total, Adjustments-to-Base	138	171	6,600
FY 2011 Current Services	921	853	341,630
Program Changes			
Total, Program Changes	34	17	6,300
FY 2011 Total Request	955	870	347,930
Total Change 2010 to 2011	172	188	12,900

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Analysis and Operations	783	682	335,030	955	870	347,930	172	188	12,900	34	17	6,300	138	171	6,600
Subtotal, Estimates Program Project Activity	783	682	335,030	955	870	347,930	172	188	12,900	34	17	6,300	138	171	6,600
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	783	682	335,030	955	870	347,930	172	188	12,900	34	17	6,300	138	171	6,600

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security Analysis and Operations¹ Summary of Requirements by Object Class (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	44,805	68,734	92,928	24,194
11.3 Other than full-time permanent	734	353	576	223
11.5 Other personnel compensation	445	1,628	1,819	191
12.1 Benefits	12,313	21,325	28,653	7,328
21.0 Travel	3,391	7,461	9,210	1,749
22.0 Transportation of things	225	1,211	2,065	854
23.1 GSA rent	10,749	13,394	13,902	508
23.2 Other rent	219	420	550	130
23.3 Communications, utilities, and misc. charges	268	-	-	-
24.0 Printing	21	-	-	-
25.1 Advisory and assistance services	182,531	168,941	128,137	(40,804)
25.2 Other services	1,421	8,779	8,779	-
25.3 Purchases from Gov't accts.	57,473	35,469	47,930	12,461
25.4 O&M of facilities	5,740	-	-	-
25.7 Operation and maintenance of equipment	7,656	1,816	1,862	46
26.0 Supplies and materials	1,259	1,948	2,012	64
31.0 Equipment	11,007	9,373	9,507	134
Total, Object Class	340,257	340,852	347,930	7,078
Unobligated Balance, start of year	(11,128)	(5,822)	-	5,822
Unobligated Balance, end of year	9,111	-	-	-
Recoveries of Prior Year Obligations	(10,867)	-	-	-
Total, Adjustments	(12,884)	(5,822)	-	5,822
Total, Direct Obligations	327,373	335,030	347,930	12,900

¹ A portion of the funding request is classified.

F. Permanent Positions by Grade

Department of Homeland Security Analysis and Operations Permanent Positions by Grade

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	26	31	31	-
GS-15	104	137	142	5
GS-14	177	278	287	9
GS-13	62	116	126	10
GS-12	50	111	129	18
GS-11	27	62	70	8
GS-10	-	2	-	(2)
GS-9	21	34	57	23
GS-7	2	12	24	12
GS-6	1	-	-	-
GS-5	-	-	2	2
Ungraded Positions	-	-	87	87
Total Permanent Positions	470	783	955	172
Unfilled Positions EOY	140	-	-	-
Total Permanent Employment EOY	470	783	955	172
Full Time Equivalents	415	682	870	188
Headquarters	470	783	955	172
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total, Location	470	783	955	172
Average ES Salary	154,929	159,192	163,120	3,928
Average GS Salary	104,181	106,092	108,708	2,616
Average Grade	14	14	14	(0)

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications (object class summary)

Reference Classified Analysis and Operations Annex

I. Changes in Full Time Equivalent

Department of Homeland Security Analysis and Operations Changes in Full Time Equivalent

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	380	415	682
Increases	35	267	188
Year End Actual / Estimated FTEs:	415	682	870
Net Change from prior year base to Budget Year Estimate:	35	267	188

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
Analysis and Operations**

**FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Analysis and Operations	43,980	42,008	45,635	3,627
Total Working Capital Fund	43,980	42,008	45,635	3,627

Department of Homeland Security

Office of Inspector General



Fiscal Year 2011
Overview
Congressional Justification

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i. Summary of FY 2011 Budget Estimates by Appropriation

**Department of Homeland Security
Office of Inspector General
Audits, Inspections, and Investigations Program
Summary of FY 2011 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)**

Budget Activity	FY 2009 Actual ¹		FY 2010 Enacted ²		FY 2011 Request ³		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Audits, Inspections, and Investigations	577	\$123,527	632	\$113,874	665	\$129,806	33	\$15,932	9	\$4,000	24	\$11,932
Subtotal, Enacted Appropriations and Budget Estimates	577	\$123,527	632	\$113,874	665	\$129,806	33	\$15,932	9	\$4,000	24	\$11,932
Net, Enacted Appropriations and Budget Estimates	577	\$123,527	632	\$113,874	665	\$129,806	33	\$15,932	9	\$4,000	24	\$11,932

American Recovery and Reinvestment Act (ARRA)	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses	---	5,000										
Total	0	5,000										

¹ Includes \$16.0 million in obligations associated with the transfer from FEMA Disaster Relief.

² Excludes \$16.0 million transfer from the FEMA Disaster Relief.

³ The FY 2011 request includes a reduction of \$9.9 million from current services. The FY 2011 request does not include \$6.4 million requested for continuing implementation of the recommendations of the 9/11 Commission Act of 2007, or \$26.0 million requested for the addition of 32 FTE in support of the OIG audit and investigations and management oversight mission.

ii: Homeland and Non-Homeland Allocation

Department of Homeland Security
Office of Inspector General
Audits, Inspections, and Investigations Program
 Homeland and Non-Homeland Allocation by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	2009 Actual ¹						2010 Enacted ²						2011 Request ³					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	---	\$0	577	\$123,527	577	\$123,527	---	\$0	632	\$113,874	632	\$113,874	---	\$0	665	\$129,806	665	\$129,806
Audits, Inspections, and Investigations	---	---	577	123,527	577	123,527	---	---	632	113,874	632	113,874	---	---	665	129,806	665	129,806
Total Direct Appropriations and Budget Estimates	---	\$0	577	\$123,527	577	\$123,527	---	\$0	632	\$113,874	632	\$113,874	---	\$0	665	\$129,806	665	\$129,806

¹ Includes \$16.0 million in obligations associated with the transfer from FEMA Disaster Relief.

² Excludes \$16.0 million transfer from the FEMA Disaster Relief.

³ The FY 2011 request includes a reduction of \$9.9 million from current services. The FY 2011 request does not include \$6.4 million requested for continuing implementation of the recommendations of the *9/11 Commission Act of 2007*, or \$26.0 million requested for the addition of 32 FTE in support of the OIG audit and investigations and management oversight mission.

iii. Status of Congressional Requested Studies, Reports, and Evaluation

**Department of Homeland Security
Office of Inspector General
Audits, Inspections, and Investigations Program
Summary of Requirements**

Fiscal Year Statutory Citation	Reference/Citation	Requirement	Status
1978	Inspector General Act of 1978 [PL 95-452] sec. 5	Semiannual Report to Congress - IG Act requires semiannual reports summarizing the activities of the office during the preceding six-month period	In Progress
1991	CFO Act [PL 101-576] 104 STAT. 2852 Sec. 304	Annual Audit of DHS' Consolidated Financial Statements - The Chief Financial Officers Act requires that an annual financial statement audit be performed at DHS.	In Progress
2002	Reports Consolidation Act of 2002 [PL 106-531] 114 STAT 2538, sec. 3516 (d)	Annual Report on Major Management Challenges - Congress requires an IG report that summarizes what the IG considers to be the most serious management and performance challenges facing the agency and briefly assesses the agency's progress in addressing those challenges. Report is included in the Department's annual report submitted to President, the Director of the OMB and Congress no later than 150 days after the end of the agency's fiscal year.	In Progress
2003	E-Government Act of 2002 [PL 107-347], 116 STAT. 2953 Sec. 3545(b); House Report 107-787 Sec. 3535 (b)(1), p. 34, p. 80, p. 102, p. 109	Annual Information Security Review - Annual independent evaluation of the information security program and practices of the agency to determine the effectiveness of such program and practices.	In Progress
2003	The Homeland Security Act of 2002 [PL 107-296] 116 STAT. 2250 Sec. 888(f)	Annual USCG Mission Review - Annual review to assess thoroughly the performance by the Coast Guard of all missions of the Coast Guard, with a particular emphasis on examining the non-homeland security missions.	In Progress

2005	DHS Financial Accountability Act [PL 108-330] 118 STAT. 1277 Sec. 4; OMB Circular A-123, Appendix A, II-V	Annual Audit of DHS' Internal Control Over Financial Reporting - Annual audit, jointly conducted by the Chief Financial Officers Council and the President's Council on Integrity and Efficiency (PCIE), of DHS' internal control over financial reporting to express an opinion about whether DHS has maintained effective internal control. OMB Circular A-123, Management's Responsibility for Internal Control (Revised), requires agency management to assess and document internal control over financial reporting; identify needed improvements; take corresponding corrective action; and make an assertion about the effectiveness of internal control over financial reporting. The audit will assess DHS management's assertion and effort to implement the Circular, which addresses financial performance in the President's Management Agenda.	In Progress
2005	The Coast Guard & Maritime Transportation Act 2004 [PL 108-293], 118 STAT. 1087 Sec. 809(g)	Annual Cargo Inspection Report - Inspector General report evaluating cargo inspection targeting system for international intermodal cargo containers.	In Progress
2004	Coast Guard and Maritime Transportation Act of 2004, PL 108-293, Sec. 213(c)(3), p. 11.	National Coast Guard Museum - (3) a certification by the Inspector General of the department in which the Coast Guard is operating that the estimates provided pursuant to paragraphs (1) and (2) are reasonable and realistic.	In Progress
2007	9-11 Commission Act of 2007 [PL 110-53], 121 STAT. 288-89; Conference Report 110-259 Sec. 2022 (A), p. 23-25	Annual Review of Grants to States and High Risk Urban Areas - Requires OIG to conduct audits of a sample of states and high-risk urban areas that receive grant monies. One audit of each state must be conducted every 7 years.	In Progress
2007	9-11 Commission Act of 2007 [PL 110-53], Conference Report 110-259 Sec. 2022 (D), p. 25.	The Inspector General of the Department shall submit to the appropriate committees of Congress an annual consolidated report regarding the audits completed during the fiscal year before the date of that report. For each year, the report required under clause (i) shall be submitted not later than December 31.	In Progress
2007	ONDCP Circular, Drug Control Accounting	Annual Office of National Drug Control Policy (ONDCP) Review - Reviews at CBP, USCG, and Immigration and Customs Enforcement (ICE) - Under 21 U.S.C. 1704 (d) and the ONDCP Circular, Drug Control Accounting, our office is required to perform a review of assertions made by management related to FY 2007 obligations for the National Drug Control Program.	In Progress

2008	Executive Order (EO) 13462; EO 12333	Intelligence Oversight and Quarterly Reporting - Final Report Each Quarter - Executive Order (EO) 13462 requires us to report on Departmental compliance with EO12333, identifying violations and mitigating actions taken in response. Intelligence elements of the Department include the Office of Intelligence and Analysis, the USCG National Intelligence Element, and those elements of the Department of Homeland Security concerned with the analysis of intelligence information. The report, signed by the IG and DHS General Counsel, is submitted quarterly to the Intelligence Oversight Board, a standing committee of the President's Intelligence Advisory Board.	In Progress
2010	FY 2010 Appropriations, HR 2892 (enrolled) Title II, p. 8; Conference Report, H Rept 111-298, Title II, p. 23; Joint Explanatory Statement, Title II, p. 31; House Committee Report 111-157, Title II, p. 51	ICE's 287(g) Agreements Report – Report on the performance of Immigration and Customs Enforcement 287(g) agreements [between ICE and state and local officials]	In Progress
2010	FY 2010 Appropriations, HR 2892 (enrolled), Title V, Sec. 521(d), p. 31; Conference Report, H Rept 111-298, Title V, Sec. 521(d), p. 95; Joint Explanatory Statement, Title V, Sec. 521, p. 111; S 1298, Title V, Sec. 525(d), p.64; Senate Committee Report 111-31, Title V, Sec. 525, p.131; House Committee Report 111-157, Title V, Sec.	Non-competitive Contracts Review – Review departmental contracts awarded non-competitively and report on the results to the Committees on Appropriations	In Progress
2010	FY 2010 Appropriations, HR 2892 (House engrossed) Title V, Sec. 545(b)(1)(C), p.82	Protection of Social Security Programs – Joint review by the SSA OIG and DHS OIG of annual accounting and reconciliation of the actual costs incurred and the funds provided under the agreement between the DHS Secretary and SSA Commissioner which provides funding to the Commissioner for the full costs of the Commissioner's responsibilities under section 404 of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996.	In Progress
2010	FY 2010 Appropriations, House Committee Report 111-157, Title II, p.55	ICE Age Determinations – Committee directs the IG to continue to review ICE practices for determining the age of those in its custody, and to report to the Committees on Appropriations on any cases where ICE uses bone or dental forensic examinations.	In Progress

2010	FY 2010 Appropriations, Joint Explanatory Statement, Title I, p. 17 and Title III, p. 75; House Committee Report 111-157, Title III, p. 103	FEMA Hiring Practices – Committee directs the IG to investigate the hiring practices of FEMA as it pertains to this issue (FEMA hiring employees at rates above what its budget could support) and report to the Committee within 3 months after the date of enactment. As part of the investigation, the IG shall evaluate whether or not the budget request of \$35M is sufficient to rectify FEMA’s pay deficiencies.	In Progress
2010	FY 2010 Appropriations, Joint Explanatory Statement, Title I, p. 17; Senate Committee Report 111-31, Title I, p. 23	CBP Revenue Oversight – Included in the funding [for DHS OIG] are resources for U.S. Customs and Border Protection [CBP] revenue oversight.	In Progress

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
Office of Inspector General**

Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)

Budget Activity				
	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2011 Request
	Fiscal Year	Amount	Amount	Amount
Salaries and Expenses				\$129,806
Audits, Inspections, and Investigations	N/A	N/A	N/A	129,806
Total Direct Authorization/Appropriation				\$129,806

Department of Homeland Security

Office of the Inspector General



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Office of the Inspector General

I. Appropriation Overview

The Department of Homeland Security (DHS), Office of Inspector General (OIG) was established by the *Homeland Security Act 2002* (P.L. 107-296), by amendment to the *Inspector General Act of 1978*. The Inspector General (IG) has a dual reporting responsibility, to the Secretary of Homeland Security and to the Congress. The OIG serves as an independent and objective inspection, audit, and investigative body to promote economy, efficiency, and effectiveness in DHS programs and operations, and to prevent and detect fraud, waste, and abuse in such programs and operations. For fiscal year (FY) 2011, the OIG is requesting 668 positions, 665 full time equivalents (FTE) and \$129.806 million.

A – Mission Statement for Office of the Inspector General

The *Homeland Security Act of 2002* provided for the establishment of an Office of Inspector General (OIG) in DHS by amendment to the *Inspector General Act of 1978*. By this action, the Congress and the Administration ensured independent and objective audits, inspections, and investigations of the operations of the Department of Homeland Security (DHS).

The OIG contributes to the agency's success by providing objective information to promote government management, decision making and accountability. The OIG focuses on eliminating waste, fraud and abuse, and on identifying problems and recommendations for corrective actions by agency leadership. The OIG provides the agency and the Congress with objective assessments of opportunities to be more successful.

The OIG conducts and supervises audits, inspections, special reviews, and investigations of the Department's programs and operations, including program and financial management, contract and grant activity, and disaster relief efforts. The OIG conducts these reviews to offer recommendations for improving the economy, efficiency, and effectiveness of the Department's operations and activities, when necessary; and to deter, identify, and address fraud, waste, and abuse. The OIG annually publishes a schedule of audits, inspections, and investigations that will assist the Department in fulfilling its mission and goals, and report its findings to the Secretary, the Congress, and the public, when appropriate. The IG statements for the record and testimony may be accessed through our website at www.dhs.gov/xoig.

B – Budget Activities:

The OIG has one budget activity, the audits, inspections, and investigations program, that consists of 632 FTE in FY 2010 for the following executive management and oversight teams:

The Executive Office consists of the Inspector General, the Deputy Inspector General, an Executive Assistant, and support staff. It provides executive leadership to the OIG. The Executive Office has 4 FTE.

The Office of Congressional and Media Affairs serves as primary liaison to members of the Congress and their staffs, the White House and Executive Branch, the media, and to other federal agencies and governmental entities involved in securing the Nation. The office staff responds to inquiries from the Congress, the White House and the media; notifies the Congress about OIG initiatives, policies, and programs; and informs other governmental entities about OIG measures that affect their operations and activities. It also provides advice to the Inspector General and supports OIG staff as they address congressional, White House, and media inquiries. The office has 5 FTE.

The Office of Counsel to the Inspector General provides legal advice to the Inspector General and representation to other management officials. The office supports audits, inspections, and investigations by conducting legal sufficiency reviews that include Equal Employment Opportunity (EEO) and Merit Systems Protection Board (MSPB) actions and claims filed under the Federal Torts Claims Act (FTCA); representing OIG investigators in conjunction with the Department of Justice (DOJ) in Bivens actions; and assisting DOJ with Giglio requests. The office reviews all DHS management directives and delegations to ensure compliance with applicable laws and regulations. Charter includes protecting OIG's independence in the review process. The office also serves as the OIG's designated ethics office, manages the OIG's *Freedom of Information Act and Privacy Act* responsibilities, furnishes attorney services for the issuance and enforcement of OIG subpoenas, and provides legal advice on OIG operations. The office has 14 FTE.

The Office of Administration provides critical administrative support functions, including OIG strategic planning; development and implementation of administrative directives; the OIG's information and office automation systems; oversight of the personnel, procurement, travel, and accounting services provided to the OIG on a reimbursable basis by the Bureau of Public Debt. The office also prepares the OIG's annual performance plans and the semiannual reports to the Congress. The office has 41 FTE.

The Office of Audits conducts and coordinates audits and program evaluations of the management and financial operations of DHS. Auditors examine the methods employed by agencies, bureaus, grantees, and contractors in carrying out essential programs or activities. Audits evaluate whether established goals and objectives are achieved and resources are used economically and efficiently; whether intended and realized results are consistent with laws, regulations, and good business practice; and determine whether financial accountability is achieved and the financial statements are not materially misstated. The Office of Audits is also conducting reviews on DHS' programs addressed

by the *American Reinvestment and Recovery Act (ARRA)* of 2009. The office has 170 FTE.

The Office of Information Technology (IT) Audits conducts audits and evaluations of DHS' information management, cyber infrastructure, and systems integration activities; and provides technical forensics assistance to OIG offices in support of the OIG's fraud prevention and detection mission. The office reviews the cost effectiveness of acquisitions, implementation, and management of major systems, and telecommunications networks across DHS. IT Audits evaluates the systems and related architectures of DHS to ensure they are effective, efficient, and implemented according to applicable policies, standards, and procedures. The office assesses DHS' information security program as mandated by the *Federal Information Security Management Act (FISMA)*. The office has 43 FTE.

The Office of Inspections provides the IG with means to analyze programs quickly and to evaluate operational efficiency, effectiveness, and vulnerability. This work includes special review of highly visible or sensitive issues that arise suddenly, as well as congressional requests and mandates for studies that require immediate attention. The office examines all areas of the Department and makes recommendations in an effort to strengthen and unify DHS operations and management systems. The Office of Inspections is the lead organization in the OIG for monitoring DHS intelligence activities, reporting on the use of intelligence information within the Department and coordinating the OIG's interaction with the Intelligence Community. The office conducts special reporting on international affairs that involve DHS personnel, programs, and operations, civil rights and civil liberties, and science and technology. The office has 41 FTE.

The Office of Investigations conducts investigations into allegations of criminal, civil, and administrative misconduct involving DHS employees, contractors, grantees, and programs. These investigations can result in criminal prosecutions, fines, civil monetary penalties, administrative sanctions, and personnel actions. Additionally, the Office of Investigations monitors the investigative activity of DHS' internal affairs offices. The office has broad investigative and oversight responsibilities and mirrors Departmental priorities in working to ensure the integrity of the Nation's immigration system, borders, ports of entry, and national transportation network. The Office of Investigations is committed to protecting the civil rights and liberties of all persons in the U.S. and investigates all referrals of detainee deaths involving unusual or suspicious circumstances, all on-duty incidents involving the discharge of a firearm by a DHS employee, and all credible allegations of criminal abuse of authority that result in the deprivation of rights or other serious criminal offense. The Office of Investigations looks into allegations of gross misuse of classified information, privacy or law enforcement information; and allegations of criminal misconduct in the administration of immigration benefits. In addition, the Office of Investigations oversees the integrity of programs which distribute DHS funds for routine operations; in response to disasters and disaster preparedness training; and in association with programs used in the development of technologies critical to combating terrorism. Finally, the Office of Investigations

collects, analyzes and distributes data concerning fraud, and misconduct through our national hotline operation and the National Center for Disaster Fraud. We continue to exercise important oversight responsibilities over component internal affairs units who are tasked with investigating administrative misconduct issues within the DHS. The office has 239 FTE.

The Office of Emergency Management Oversight (EMO) provides an aggressive and ongoing audit and investigative effort designed to ensure that disaster relief funds are being spent appropriately, while identifying fraud, waste, and abuse as early as possible. The office is an independent and objective means of keeping the Congress, the Secretary, the Administrator of the Federal Emergency Management Agency (FEMA) and other federal disaster relief agencies fully informed on problems and deficiencies relating to disaster operations and assistance programs, and progress regarding corrective actions. EMO's focus is weighted heavily towards prevention, including reviewing internal controls, and monitoring and advising DHS and FEMA officials on contracts, grants, and purchase transactions before they are approved. This allows the office to stay current on disaster relief operations and provide on-the-spot advice on internal controls and precedent-setting decisions. The office coordinates with other Federal Offices of Inspector General, meets with state and local officials on audit and investigative matters, and advises contractors and grantees on compliance requirements. The office has 75 FTE.

C – Budget Request Summary:

- The Office of Inspector General requests 668 positions, 665 FTE, and \$129,806,000 for the FY 2011 Request. The request includes an increase for adjustments-to-base of \$21.8 million in the annualization of 30 authorized FTE, pay inflation, GSA rent, and to continue disaster relief efforts. The adjustments-to-base include a decrease of \$9.9 million to the OIG, which consists of a reduction of \$1.7 million for 12 audit positions and 6 FTE, and a reduction of \$8.2 million from efficiencies in purchases and contracts. The request includes a program increase of 18 positions, 9 FTE, and \$4.0 million for Audits, Inspections and Investigations to support DHS operations and programs.
- The request includes \$16.0 million in adjustments-to-base for OIG to annualize its Emergency Management Oversight disaster relief efforts, which in previous years had been transferred from the Disaster Relief Fund.
- The FY 2011 OIG President's Request includes \$2.8 million for training and \$400,000 in support of the interagency IG Council.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security Office of the Inspector General Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals ¹		Enacted ²		Request ³		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Audit, Inspections, and Investigations Program	577	123,527	632	113,874	665	129,806	33	15,932	9	4,000	24	11,932
Subtotal, Enacted Appropriations and Budget Estimates	577	123,527	632	113,874	665	129,806	33	15,932	9	4,000	24	11,932
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	577	123,527	632	113,874	665	129,806	33	15,932	9	4,000	24	11,932

American Recovery and Reinvestment Act (ARRA)	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses	---	5,000										
Total	---	\$5,000										

¹ Includes \$16.0 million in obligations associated with the transfer from the FEMA Disaster Relief Fund.

² Excludes \$16.0 million transfer from the FEMA Disaster Relief Fund.

³ The FY 2011 request includes a reduction of \$9.9 million from current services. The FY 2011 request does not include \$6.4 million requested for continuing implementation of the recommendations of the 9/11 Commission Act of 2007, or \$26.0 million requested for the addition of 32 FTE in support of the OIG audit and investigations and management oversight mission.

III. Current Services Program Description by PPA

**Department of Homeland Security
Office of the Inspector General
Audit, Inspections, and Investigations Program
Program Performance Justification**
(Dollars in Thousands)

PPA: Audit, Inspections, and Investigations Program

	Perm. Pos	FTE	Amount
2009 Actuals	602	577	123,527
2010 Enacted	662	632	113,874
2011 Adjustments-to-Base	(12)	24	11,932
2011 Current Services	650	656	125,806
2011 Program Change	18	9	4,000
2011 Total Request	668	665	129,806
Total Change 2010 to 2011	6	33	15,932

The Office of Inspector General requests \$129.806 million for this activity. The request includes an increase for adjustments-to-base of \$21.8 million for annualization, pay raise, GSA Rent, and to continue disaster oversight efforts. To offset the increases, the adjustments-to-base also includes a decrease of \$9.9 million to the OIG, which consists of a reduction of \$1.7 million for 12 audit positions and 6 FTE, and a reduction of \$8.2 million from efficiencies in purchases and contracts. The request includes a program increase of \$4.0 million for Audits, Inspections and Investigations to support DHS operations and programs related to the Department’s security reassessment effort.

CURRENT SERVICES PROGRAM DESCRIPTION:

Specifically, the OIG’s key legislated responsibilities are to:

- Promote economy, efficiency, and effectiveness in the management of the Department’s programs and supporting operations.
- Conduct and supervise audits, investigations, and inspections relating to the Department’s programs and support operations.
- Detect and prevent fraud, waste, and abuse.
- Review existing and proposed legislation and regulations, and make appropriate recommendations.

- Maintain effective working relationships with other federal, state, and local governmental agencies, and non-governmental entities regarding the mandated duties of the OIG's.
- Inform the Secretary of the DHS and the Congress of serious problems and recommend corrective actions and implementation strategies.
- Comply with the audit standards of the Comptroller General of the Government Accountability Office (GAO); avoid duplication of GAO activities.
- Report violations of federal criminal law to the U.S. Attorney General.

Significant accomplishments in FY 2009 include:

- The OIG issued 111 management reports (audits and inspections) and 55 financial assistance grant reports. Currently, due to these efforts, \$156.7 million of questioned costs were identified, of which \$46.6 million were determined to be unsupported. In addition, \$63.6 million were recovered as a result of identifying disallowed costs from current and prior year reports and \$6.7 million of funds that could have been put to better use.
- DHS management concurred with 93 percent of the OIG's recommendations.
- OIG investigations resulted in 828 reports issued, 283 arrests, 248 indictments, 241 convictions, and 44 personnel actions. Investigations closed 1,021 investigations and 14,152 complaints. Additionally, investigative recoveries, fines, restitutions, and cost savings totaled \$55.3 million.

FY 2010 planned accomplishments include:

- The Office of Audits anticipates issuing 65 program and financial audits this fiscal year. The office will complete 20 of the FY 2009 carryover audits in FY 2010 and 45 new program and financial reports. The Office of Audits will continue to work closely with DHS management and congressional oversight committees to identify potential audit work that will promote the economy, efficiency, and effectiveness of departmental programs and operations. The Office of Inspector General has a number of planned and on-going audit efforts in FY 2010. The Audits Office is currently reviewing and evaluating the advanced imaging technology and liquid container screening and the Transportation Screening Officers (TSO) Training and Development Program. During FY 2010, Office of Audits plans to evaluate the effectiveness of cargo screening for passenger aircraft and continue to follow up on previous recommendations.
- The Office of Information Technology Audits (IT) plans to conduct 24 engagements. The IT office will continue to evaluate the Department's progress in establishing a cost-effective and secure information technology infrastructure. The office anticipates conducting evaluations and reviews on DHS-wide network consolidation and implementation of a standard IT platform, immigration systems modernization, and DHS efforts to protect the

Nation's cyber infrastructure and privacy. Specifically, the office will review the progress DHS is making in consolidating its myriad data centers from around 20 down to 2, and determine whether the department will achieve projected savings, estimated in the hundreds of millions of dollars. In addition, IT auditors will review FEMA's progress in modernizing its disaster response information systems, and evaluate the extent to which DHS component information systems are vulnerable to disruption by the malicious acts of trusted insiders. The IT office will also assess the effectiveness of IT systems used by State and Local Fusion Centers to share information with other state law enforcement, emergency management, and DHS elements. Also, the office will audit the effectiveness of privacy stewardship programs at U.S. Immigration Customs Enforcement (ICE) and Citizenship Immigration Services (CIS). The Forensics Division, under IT Audits, continues to conduct forensic audits and contract fraud reviews and make recommendations concerning DHS programs that are vulnerable to fraud, waste, and abuse. The Forensics Division expects to support 20-25 OIG engagements in FY 2010.

- The Office of Inspections will continue to provide quarterly reports to the President's Intelligence Oversight Board on the Department's compliance regarding intelligence on U.S. persons. The Office of Inspections will continue to respond to the majority of Congressional requests received by the Office of Inspector General for reviews of DHS programs, policies, and procedures, and will complete mandated reviews as prescribed by law. The office anticipates an increase from 30 projects in FY 2009 to 40 projects in FY 2010.
- The Office of Investigations will conduct criminal investigation of employee misconduct in a degree and manner that strengthens and supports the mission of DHS. In addition to investigations of corruption and other matters impacting border and transportation security, the office will broaden its participation in the prevention and detection of fraud and criminal misconduct associated with application and awarding of immigration benefits. In order to ensure compliance with OIG and DHS policy and procedures, internal inspections of the following OIG Investigations offices will be conducted: the San Francisco Field Office; the San Diego Field Office, including the Los Angeles and El Centro Resident Offices; the El Paso Field Office; and the Atlanta Field Office, including the Hattiesburg, Biloxi, and Mobile Sub-Offices. In addition, the office will conduct inspections of the following DHS component internal affairs offices: US Customs and Border Protection; the Federal Protective Service; and the Federal Air Marshal Service. On behalf of the Council of Inspectors General for Integrity and Efficiency, the Office of Investigations is coordinating and preparing a report, which reviews OIG Hotline operations. The Office of Investigations continues to emphasize employee development and will conduct in-service training courses designed to enhance specialized investigative skills commensurate with the complex makeup of the department.

- The Office of Emergency Management Oversight (EMO) will continue an aggressive audit effort designed to ensure that FEMA is fully prepared to carry out its mission and that Disaster Relief Funds are spent appropriately. The office focuses on ensuring that internal controls are in place and operating effectively to reduce opportunities for fraud, waste, and abuse, and on identifying and detecting fraud, waste, and abuse when it occurs. EMO plans to issue about 50 disaster grant audits, which will identify questioned costs and include recommendations to improve grantee and sub-grantee accounting and acquisition controls and other practices. EMO anticipates completing approximately 15 management audits focusing on areas such as logistics management, disaster assistance, and preparedness.

FY 2011 planned accomplishments include:

- The Office of Audits plans to issue and start approximately 101 programmatic and financial audits. The issued audit reports will include nearly 41 FY 2010 carryover audits that include at least 30 financial and grant audits performed by a contractor with OIG oversight, and 60 new performance audits scheduled for completion in FY 2011. During FY 2011, the Office of Audits is planning audits that focus on the Transportation Security Agency's (TSA) international in-bound flight initiatives, best practices with international partners, and the Secure Flight Program. OIG will also conduct reviews focused on TSA's in-line baggage screening system, the paperless boarding pass, and TSA Worker Identification Credentials. OIG will focus on TSA's procurement, deployment, and maintenance of new generation screening technology.
- The Office of Information Technology Audits (IT) plans on conducting 25 engagements in FY 2011. The IT office will continue to evaluate the Department's progress in establishing a cost-effective and secure information technology infrastructure. The office anticipates conducting projects on evaluations and reviews on DHS-wide network consolidation and implementation of a standard IT platform, immigration systems modernization, and DHS' efforts to protect the Nation's cyber infrastructure and privacy. Additionally, IT Audits anticipates undertaking reviews of Custom Border Patrol's (CBP) deployment of SBInet and the Z-Portal Vehicle Imaging System, TSA Office of Security Network, DHS' blackberry security controls, DHS' implementation of the Federal Desktop Core Configuration, and the National Cyber Security Division's efforts to protect US cyberspace. As mandated by the *Federal Information Security Management Act (FISMA)*, the Office of IT Audits assesses the Department's progress, action plans, and milestones, to ensure implementation of security policies, procedures, and systems certification and accreditation for a cost-effective and secure information technology infrastructure. The IT office will expand its privacy stewardship reviews to include CBP and the Coast Guard. The Forensics Division under IT Audits will continue to conduct forensic audits and contract fraud reviews and make recommendations concerning DHS

programs that are vulnerable to fraud, waste, and abuse. The Forensics Division expects to support 25-30 engagements during FY 2011.

- The Office of Inspections estimates that it will initiate and complete 25 reviews. The office recognizes the need to break the cycle of carryover reviews by limiting the number of planned new reviews. This will enable the office to respond more quickly to unplanned Congressional requests and mandated work while avoiding the necessity to unduly delay planned work. The Office of Inspections is planning more conservatively. The office will focus on the Secretary's priorities such as immigration enforcement, transportation security, chemical security, critical infrastructure protection, and border security.
- The Office of Investigations will continue to protect the integrity of DHS programs and operations by vigorously investigating all allegations of corruption involving personnel or programs and investigating the most serious allegations of program fraud and other employee criminal misconduct. The office will continue its emphasis on staffing the border offices and FEMA benefit fraud, while also seeking to ensure effective investigative coverage in areas where there is high volume of CIS benefit processing.
- The Office of Emergency Management Oversight (EMO) will focus on assessments of internal controls, grant and contract audits, performance reviews, and special projects covering all FEMA programs and operations, as well as programs and operations of other DHS components involved in disaster assistance. Additionally, the office will deploy experienced staff, as needed, to provide on-the-spot advice, assistance, and oversight to DHS, FEMA, state, and local officials after major, presidentially declared natural or man-made disasters. This approach allows the office to stay current on all disaster relief operations and provide timely advice on internal controls and precedent-setting decisions. The requested funding will allow us to complete between 75 and 125 disaster grant audits and 25 management audits.

IV. Program Justification Changes

**Department of Homeland Security
Office of the Inspector General
Audit, Inspections, and Investigations Program
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: Audit, Inspections, and Investigations
PPA: Audit, Inspections, and Investigations Program
Program Increase: Positions 18.0, FTE 9.0, Dollars \$4,000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							18	9	4,000
Total Request	-	-	-	-	-	-	18	9	4,000

Description of Item

The FY 2011 program increase of \$4.0 million for audits, inspections and investigations reflects Office of the Inspector General's (OIG) commitment in support of the Department of Homeland Security's (DHS) priorities, to include Transportation Security Administration's (TSA) initiatives. Audits, inspections and investigations provide metrics to measure and evaluate DHS program effectiveness.

Justification

The FY 2011 budget request for additional resources is tied to OIG audits, inspections and investigations responsibilities. These activities are related to DHS issues on immigration and border security, transportation security, critical infrastructure protection, federal and state/local intelligence sharing. In addition, the OIG will participate aggressively in the Nation's travel security audits in compliance with DHS' security reassessment effort. The OIG is planning audits that focus on TSA international in-bound flight initiatives, best practices with international partners, and the Secure Flight Program. OIG will also conduct reviews and evaluations focused on TSA's in-line baggage screening system, the paperless boarding pass, and TSA Worker Identification Credentials. Most importantly, the OIG will focus on TSA's procurement and deployment of new screening technology. The request provides the OIG an additional 18 positions and 9 FTE.

Impact on Performance

The additional resources requested by the OIG reflect the DHS' highest priorities and vision, and support the achievement of the Secretary's mission support goal. The additional resources will allow the OIG to provide needed audit coverage in high priority areas such as the Department's reassessment of travel security.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Office of Inspector General
Justification of Proposed Changes in Salaries and Expenses
Appropriation Language**

For necessary expenses of the Office of Inspector General in carrying out the provisions of the Inspector General Act of 1978 (5 U.S.C. App.), [~~\$113,874,000~~]**\$129,806,000** of which not to exceed [~~\$150,000~~]**\$300,000** may be used for certain confidential operational expenses, including the payment of informants, to be expended at the direction of the Inspector General.

Explanation of Changes:

No substantive changes proposed.

B. FY 2010 to 2011 Budget Change

Department of Homeland Security Office of the Inspector General FY2010 to FY2011 Budget Change (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2009 Actuals¹	602	577	123,527
FY 2010 Enacted²	662	632	113,874
Adjustments-to-Base	-	-	-
Increases	-	-	-
Annualization of Prior Year Part Year Funding	-	30	4,242
Annualization of FY 2010 Pay Raise	-	-	415
FY 2011 Pay Increase	-	-	988
GSA Rent	-	-	156
Annualization for Disaster Relief Funding	-	-	16,000
Total Increases	-	30	21,801
Decreases	-	-	-
Efficiency in purchases and contracts	-	-	(8,200)
Reduce up to 12 audit positions	(12)	(6)	(1,669)
Total Decreases	(12)	(6)	(9,869)
Total, Adjustments-to-Base	(12)	24	11,932
FY 2011 Current Services	650	656	125,806
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Audit, Inspections, and Investigations	18	9	4,000
Total, Program Changes	18	9	4,000
FY 2011 Request³	668	665	129,806
FY 2010 to FY 2011 Total Change	6	33	15,932

¹ Includes \$16.0 million in actual obligations associated with the transfer from the FEMA Disaster Relief Fund.

² Excludes \$16.0 million transfer from the FEMA Disaster Relief Fund.

³ Includes a reduction of \$9.9 million from current services. The FY 2011 budget does not include \$6.4 million requested for continuing implementation of the recommendations of the *9/11 Commission Act of 2007*, or \$26.0 million requested for the addition of 32 FTE in support of the OIG audit and investigations and management oversight mission.

C. Summary of Requirements

Department of Homeland Security Office of the Inspector General Summary of Requirements (Dollars in Thousands)

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals¹	602	577	123,527
FY 2010 Enacted²	662	632	113,874
Adjustments-to-Base	-	-	-
Increases	-	30	21,801
Decreases	(12)	(6)	(9,869)
Total, Adjustments-to-Base	(12)	24	11,932
FY 2011 Current Services	650	656	125,806
Program Changes	-	-	-
Total, Program Changes	18	9	4,000
FY 2011 Total Request³	668	665	129,806
Total Change 2010 to 2011	6	33	15,932

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Audit, Inspections, and Investigations Program	662	632	113,874	668	665	129,806	6	33	15,932	18	9	4,000	(12)	24	11,932
Subtotal, Estimates Program Project Activity	662	632	113,874	668	665	129,806	6	33	15,932	18	9	4,000	(12)	24	11,932
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	662	632	113,874	668	665	129,806	6	33	15,932	18	9	4,000	(12)	24	11,932

¹ Includes \$16.0 million in obligations associated with the transfer from the FEMA Disaster Relief Fund.

² Excludes \$16.0 million transfer from the FEMA Disaster Relief Fund.

³ The FY 2011 request includes a reduction of \$9.9 million from current services. The FY 2011 budget does not include \$6.4 million requested for continuing implementation of the recommendations of the 9/11 Commission Act of 2007, or \$26.0 million requested for the addition of 32 FTE in support of the OIG audit and investigations and management oversight mission.

D. Summary of Reimbursable Resources

**Department of Homeland Security
Office of the Inspector General
Summary of Reimbursable Resources
(Dollars in Thousands)**

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
ARRA	-	-	62	-	-	10	-	-	-	-	-	(10)
DHS CFO	-	-	14,992	-	-	18,000	-	-	18,000	-	-	-
FEMA State and Local Grant Program	-	-	1,500	-	-	-	-	-	-	-	-	-
Total Budgetary Resources	-	-	16,554	-	-	18,010	-	-	18,000	-	-	(10)

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
ARRA			62			10						(10)
Audits, Inspections, and Investigations – (CFO Audit)			14,992			18,000			18,000			
FEMA State and Local Grant Program	-	-	1,500	-	-	-	-	-	-	-	-	-
Total Obligations	-	-	16,554	-	-	18,010	-	-	18,000	-	-	(10)

E. Summary of Requirements by Object Class

Department of Homeland Security Office of the Inspector General Summary of Requirements by Object Class (Dollars in Thousands)

Object Classes	FY 2009 Actuals ¹	FY 2010 Enacted ²	FY 2011 Request ³	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	56,654	61,378	65,577	4,199
11.3 Other than full-time permanent	947	2,463	2,521	58
11.5 Other personnel compensation	7,904	5,406	5,620	214
12.1 Benefits	20,437	20,406	21,756	1,350
13.0 Unemployment Compensation	10	-	-	-
21.0 Travel	4,711	4,668	5,226	558
22.0 Transportation of things	83	70	71	1
23.1 GSA rent	10,903	11,173	11,329	156
23.2 Other rent	421	218	221	3
23.3 Communications, utilities, and misc. charges	3,001	2,718	2,807	89
24.0 Printing	60	235	238	3
25.1 Advisory and assistance services	3,526	4,287	1,226	(3,061)
25.2 Other services	1,208	3,516	3,203	(313)
25.3 Purchases from Gov't accts.	6,192	7,904	4,350	(3,554)
25.4 O&M of facilities	331	135	137	2
25.7 Operation and maintenance of equipment	598	339	343	4
26.0 Supplies and materials	980	599	626	27
31.0 Equipment	2,891	4,209	4,255	46
32.0 Land & structures	2,520	-	-	-
91.0 Unvouchered	150	150	300	150
Total, Object Class	123,527	129,874	129,806	(68)
Unobligated Balance, start of year	(5,338)	-	-	-
Unobligated Balance, end of year	5,432	-	-	-
Recoveries of Prior Year Obligations	(1,108)	-	-	-
Adjustment For Other Funding Sources	(24,000)	(16,000)	-	16,000
Total, Adjustments	(25,014)	(16,000)	-	16,000
Total, Direct Obligations	98,513	113,874	129,806	15,932

¹ Includes \$16.0 million in actual obligations associated with the transfer from the FEMA Disaster Relief Fund. Excludes ARRA funding of \$5.0 million.

² Includes \$16.0 million transfer from the FEMA Disaster Relief Fund.

³ Includes a reduction of \$9.9 million from current services. The FY 2011 budget does not include \$6.4 million requested for continuing implementation of the recommendations of the 9/11 Commission Act of 2007, or \$26.0 million requested for the addition of 32 FTE in support of the OIG audit and investigations and management oversight mission.

F. Permanent Positions by Grade

Department of Homeland Security Office of the Inspector General Permanent Positions by Grade

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	12	12	12	-
Total, EX	1	1	1	-
GS-15	57	62	61	(1)
GS-14	109	140	139	(1)
GS-13	205	222	234	12
GS-12	106	112	110	(2)
GS-11	42	48	48	-
GS-9	50	47	47	-
GS-8	2	2	2	-
GS-7	14	14	14	-
GS-6	-	-	-	-
GS-5	4	2	-	(2)
GS-4	-	-	-	-
Total Permanent Positions	602	662	668	6
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	602	662	668	6
Full Time Equivalents	577	632	665	33
Headquarters	280	306	321	1
U.S. Field	322	356	347	5
Foreign Field	-	-	-	-
Total, Location	602	662	668	6
Average ES Salary	163,614	167,050	172,062	5,012
Average GS Salary	80,804	82,501	84,973	2,472
Average Grade	12	12	12	

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

Department of Homeland Security Office of the Inspector General Audit, Inspections, and Investigations Program Funding Schedule (Dollars in Thousands)

PPA: Audit, Inspections, and Investigations Program	FY 2009 Actuals ¹	FY 2010 Enacted ²	FY 2011 Request ³	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	56,654	61,378	65,577	4,199
11.3 Other than full-time permanent	947	2,463	2,521	58
11.5 Other personnel compensation	7,904	5,406	5,620	214
12.1 Benefits	20,437	20,406	21,756	1,350
13.0 Unemployment Compensation	10	-	-	-
21.0 Travel	4,711	4,668	5,226	558
22.0 Transportation of things	83	70	71	1
23.1 GSA rent	10,903	11,173	11,329	156
23.2 Other rent	421	218	221	3
23.3 Communications, utilities, and misc. charges	3,001	2,718	2,807	89
24.0 Printing	60	235	238	3
25.1 Advisory and assistance services	3,526	4,287	1,226	(3,061)
25.2 Other services	1,208	3,516	3,203	(313)
25.3 Purchases from Gov't accts.	6,192	7,904	4,350	(3,554)
25.4 O&M of facilities	331	135	137	2
25.7 Operation and maintenance of equipment	598	339	343	4
26.0 Supplies and materials	980	599	626	27
31.0 Equipment	2,891	4,209	4,255	46
32.0 Land & structures	2,520	-	-	-
91.0 Unvouchered	150	150	300	150
Total, Object Class	123,527	129,874	129,806	(68)
Unobligated Balance, start of year	(5,338)	-	-	-
Unobligated Balance, end of year	5,432	-	-	-
Recoveries of Prior Year Obligations	(1,108)	-	-	-
Adjustment For Other Funding Sources	(24,000)	(16,000)	-	16,000
Total, Adjustments	(25,014)	(16,000)	-	16,000
Total, Audit, Inspections, and Investigations Program	98,513	113,874	129,806	15,932
Full Time Equivalents	577	632	665	33

¹ Includes \$16.0 million in actual obligations associated with the transfer from the FEMA Disaster Relief Fund.

² Includes \$16.0 million transfer from the FEMA Disaster Relief Fund.

³ Includes a reduction of \$9.9 million from current services. The FY 2011 budget does not include \$6.4 million requested for continuing implementation of the recommendations of the 9/11 Commission Act of 2007, or \$26.0 million requested for the addition of 32 FTE in support of the OIG audit and investigations and management oversight mission.

PPA Mission Statement

The *Homeland Security Act of 2002* provided for the establishment of an Office of Inspector General (OIG) in DHS by amendment to the Inspector General Act of 1978. By this action, the Congress and the Administration ensured independent and objective audits, inspections, and investigations of the operations of the Department of Homeland Security (DHS).

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1- 13.0 Salaries and Benefits	85,952	89,653	95,474	5,821

Salaries and Benefits includes costs for 665 FTE. The FY 2011 request includes an increase of \$5,821,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	4,711	4,668	5,226	558

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$558,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	83	70	71	1

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes an increase of \$1,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	10,903	11,173	11,329	156

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes an increase of \$156,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	421	218	221	3

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request includes an increase of \$3,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	3,001	2,718	2,807	89

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request includes an increase of \$89,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	60	235	238	3

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes an increase of \$3,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	3,526	4,287	1,226	(3,061)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, state and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 includes a decrease of \$3,061,000 in contracted services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	1,208	3,516	3,203	(313)

Other services include report contractual services with non-federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes a decrease of \$313,000 in contract services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	6,192	7,904	4,350	(3,554)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes a decrease of \$3,554,000 in contract services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	331	135	137	2

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$2,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	598	339	343	4

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$4,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	980	599	626	27

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes increases of \$27,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	2,891	4,209	4,255	46

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes an increase of \$46,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	2,520	-	-	-

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request reflects no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
91.0 Unvouchered	150	150	300	150

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting. The FY 2011 request includes an increase of \$150,000 for increased investigative activities. This increase is offset by the respective reduction in equipment.

I. Changes in Full Time Equivalent

Department of Homeland Security Office of the Inspector General Changes in Full Time Equivalent

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	551	577	632
INCREASES			
Annualization of Prior Year Part Year Funding	1	25	30
Personnel Support	25	30	-
Audit, Inspections, and Investigations	-	-	9
Subtotal, Increases	26	55	39
DECREASES			
Reduce up to 12 audit positions	-	-	(6)
Subtotal, Decreases	-	-	(6)
Year End Actual / Estimated FTEs:	577	632	665
Net Change from prior year base to Budget Year Estimate:	26	55	33

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
Office of the Inspector General**

**FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Audit Inspections and Investigations Program	1,217	751	1,748	997
Total Working Capital Fund	1,217	751	1,748	997

Department of Homeland Security

Office of the Inspector General



Fiscal Year 2011
Strategic Context
Congressional Justification

FY 2011 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

Office of the Inspector General

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A. Mission and Description of Component

The Homeland Security Act of 2002 provided for the establishment of the Office of Inspector General (OIG) to ensure independent and objective audits, inspections, and investigations of the operations of the Department of Homeland Security (DHS).

An Inspector General (IG), who is appointed by the President and confirmed by the Senate, reports directly to both the Secretary of DHS and the Congress. Barring narrow and exceptional circumstances, the IG may inspect, audit, or investigate anyone in the Department, or any program or operation of the Department. To ensure the IG's independence and objectivity, the OIG has its own budget, contracting and personnel authority, separate from that of the Department. Such authority enhances the OIG's ability to promote economy, efficiency, and effectiveness within the Department, and to prevent and detect fraud, waste, and abuse in the Department's programs and operations.

Specifically, the OIG's key legislated responsibilities are to:

- Promote economy, efficiency, and effectiveness in the management of the Department's programs and supporting operations.
- Conduct and supervise audits, investigations, and inspections relating to the Department's programs and support operations.
- Detect and prevent fraud, waste, and abuse.
- Review existing and proposed legislation and regulations and make appropriate recommendations.
- Maintain effective working relationships with other federal, state, and local governmental agencies, and non-governmental entities regarding the mandated duties of the OIG's.
- Inform the Secretary of the DHS and the Congress of serious problems and recommend corrective actions and implementation strategies.
- Comply with the audit standards of the Comptroller General of the Government Accountability Office (GAO); avoid duplication of GAO activities.
- Report violations of federal criminal law to the U.S. Attorney General.

The OIG requests 668 positions and 665 full-time equivalents (FTE). The OIG management team consists of 52 percent of professional staff in functional areas of audit, inspections, and emergency management oversight; 38 percent of criminal investigators; and 10 percent of support staff in executive and administrative management capacities.

Approximately 45 percent of these positions will be located in the Washington, D.C. headquarters office. The remainder will be located throughout the United States with locations in 30 field offices: Atlanta, Baton Rouge, Bellingham, Biloxi, Boston, Buffalo, Chicago, Denver, Detroit, Dallas, Del Rio, El Centro, Los Angeles, El Paso, Hattiesburg, Houston, New York, Laredo, McAllen, Mobile, Philadelphia, Miami, Orlando, San Diego, San Francisco, San Juan, Seattle, Tucson, Yuma, Washington, DC. In addition, there are temporary field offices dedicated to disaster oversight operations.

B. Major Programs and Key Strategic Goals

In the FY 2009 report of management challenges, the OIG identified the following as the most serious management challenges facing DHS: acquisition management, information technology (IT) management, emergency management, grants management, financial management, infrastructure protection, border security, transportation security and trade operations and security.

The challenges we have identified significantly affect the Department's ability to protect our homeland and are decisive factors in setting priorities for the OIG audits, inspections, investigations and evaluations of DHS programs and operations. The OIG oversight activities provide significant measurable benefits, which result in financial savings and recoveries to the Department.

We will strive to have a consultative and collaborative working relationship with senior management of DHS while at the same time providing constructive and objective information to promote DHS management decision making and accountability.

The OIG has a dual reporting responsibility, to the Congress as well as to the Secretary of Homeland Security. During the reporting period, the OIG continued its active engagement with Congress through numerous meetings, briefings, and dialogues with members and staff of the Department's authorizing and appropriations committees and subcommittees on a range of issues relating to our work and that of the DHS. The OIG's statements for the record and the reports cited in the congressional testimony are available on the OIG website at www.dhs.gov.

In FY 2009, the OIG shifted its major strategy to address the investigative oversight efforts of the border control mission and statutory obligations to the Department to protect our Nation from dangerous people and from dangerous goods.

In FY 2010, the OIG will continue to support the efforts of achieving security and stability along the borders by expanding investigative oversight activities in response to the increased volume of investigative referrals and complaints.

In FY 2011, the OIG will be able to help the Department identify and mitigate vulnerabilities in its critical programs. FY 2011 initiatives include Transportation Security Agency's (TSA) programs like the advanced imaging technology, liquid container screening and the Transportation Screening Officers (TSO) Training and Development Program. In addition, the OIG investigative activities result in a high return on investment to the Department in protecting the personnel, property, and integrity of DHS.

C. Resources Requested and Performance Impact

The Office of Inspector General provides an objective, third party assessment to ensure integrity, prevention and detection, and ferreting out of waste, fraud and abuse in DHS programs and operations. These activities result in financial savings and recoveries. The avoidance of fraud, waste, and abuse clearly contributes to the DHS goal of achieving organizational excellence, in addition to all other DHS strategic goals, while also providing the various DHS components and Congress with the assurances that DHS resources are being used as intended.

The proposed FY 2011 budget request is \$129.8M, which includes \$16.0M for Emergency Management Oversight disaster relief activities. This reflects funding level activity that in previous years was transferred from the Federal Emergency Management Agency (FEMA) disaster Relief fund to the OIG in support of Emergency Management Oversight efforts.

Current services:

The Office of Audits continues to evaluate DHS programs to determine whether established goals and objectives are achieved and resources are used economically and efficiently; whether intended and realized results are consistent with laws, regulations, and good business practice; and whether financial accountability is achieved and the financial statements are not materially misstated. In FY 2011, the Office of Audits plans to issue and start approximately 101 programmatic and financial audits. The issued audit reports will include 41 FY 2010 carryover audits that include at least 30 financial and grant audits performed by contractors with OIG's oversight, and 60 new performance audits scheduled for completion in FY 2011. In addition, the OIG is planning audits that focus on Transportation Security Administration's (TSA) international in-bound flight initiatives, best practices with international partners, and the Secure Flight Program. The OIG will also conduct reviews focused on TSA's in-line baggage screening system, the paperless boarding pass, the TSA Worker Identification Credentials. Most importantly, the OIG will focus on TSA's procurement, deployment, and maintenance of new general screening technology. The OIG will continue to work closely with DHS management and congressional oversight committees to identify potential audit work that will promote the economy, efficiency, and effectiveness of departmental programs and operations.

The Office of Information Technology (IT) Audits conducts audits and evaluation of DHS' information management, cyber infrastructure, and systems integration activities; and provides technical forensics assistance to OIG offices in support of the OIG's fraud prevention and detection mission. Additionally, the Office of IT Audits anticipates undertaking reviews of Custom Border Patrol's (CBP) deployment of SBInet and the Z-Portal Vehicle Imaging System, Transportation Security Administration's (TSA) Office of Security Network, DHS' blackberry security controls, DHS' implementation of the Federal Desktop Core Configuration, and the National Cyber Security Division's efforts to protect US cyberspace. As mandated by the *Federal Information Security Management Act* (FISMA), the Office of IT Audits assesses the Department's progress, action plans, and milestones, to ensure implementation of security policies, procedures, and systems certification and accreditation for a cost-effective and secure information technology infrastructure. The office will expand its privacy stewardship reviews to include CBP and the Coast Guard. The Forensics Division under IT Audits continues to conduct forensic audits and contract fraud reviews and make recommendations concerning DHS programs that are vulnerable to fraud, waste, and abuse. The Forensics Division expects to support 25-30 engagements during FY 2011.

The Office of Inspections provides the Inspector General with means to analyze programs quickly and to evaluate operational efficiency and vulnerability. The Office of Inspections is the lead office for reporting DHS intelligence matters, international affairs, civil rights and civil liberties, and science and technology. The Office of Inspections continues to provide quarterly reports to the President's Intelligence Oversight Board on the department's compliance regarding intelligence on U.S. persons. The Office of Inspections will continue to respond to the majority of Congressional

requests received by the Office of Inspector General for reviews of DHS programs, policies, and procedures, and will complete mandated reviews as prescribed by law. In FY 2011, the Office of Inspections estimates that it will initiate and complete 25 reviews, consisting of a combination of new and carryover work, Congressional requests, and mandates. In addition, the Office of Inspections will focus its efforts to meet the Secretary's priorities such as immigration enforcement, transportation, chemical, and border security, and critical infrastructure protection.

The Office of Investigations will conduct criminal investigation of employee misconduct in a degree and manner that strengthens and supports the mission of DHS. In addition to investigations of corruption and other matters impacting border and transportation security, the office will broaden its participation in the prevention and detection of fraud and criminal misconduct associated with application and awarding of immigration benefits. The Office of Investigations continues to emphasize employee development and will conduct in-service training courses designed to enhance specialized investigative skills commensurate with the complex makeup of the Department. In 2011, the Office of Investigations will continue to protect the integrity of DHS programs and operations by vigorously investigating all allegations of corruption involving personnel or programs and investigating the most serious allegations of program fraud and other employee criminal misconduct. The office will continue its emphasis on staffing the border offices and FEMA benefit fraud, while also seeking to ensure effective investigative coverage in areas where there is high volume of U.S. Citizenship and Immigration services benefit processing.

The Office of Emergency Management Oversight (EMO) will continue an aggressive audit effort designed to ensure that FEMA is fully prepared to carry out its mission and that Disaster Relief Funds are spent appropriately. The office focuses on ensuring that internal controls are in place and operating effectively to reduce opportunities for fraud, waste, and abuse, and on identifying and detecting fraud, waste, and abuse when it occurs. In FY 2011, the office will complete between 75 and 125 disaster grant audits and 25 management audits.

D. Performance Highlights, Resources, and Alignment to Strategic Goals

For each business support program, a program performance goal, aligned to the Secretary's Priorities, total dollars, FTE, and Government Performance and Results Act (GPRA) performance plan measure/s are shown below. Additional measures are also displayed, as appropriate, to provide a more thorough context of expected performance results.

Program: Audit, Inspections, and Investigations Program						
Performance Goal: Add value to the DHS programs and operations; ensure integrity of the DHS programs and operations; and enable the OIG to deliver quality products and services.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$82,187	\$102,685	\$116,711	\$114,513	\$113,874	\$129,806
FTE	510	545	551	577	632	665

Performance Plan Measures

Measure: Percent of recommendations made by the Office of Inspector General (OIG) that are accepted by the Department of Homeland Security.
Description of Measure: The OIG audits and inspects programs for fraud, waste, and abuse. OIG also reviews programs to promote economy, efficiency, and effectiveness. The criteria used to select programs for audit or inspection includes: statutory and regulatory requirements;

adequacy of internal control systems; newness; changed conditions; potential dollar magnitude; etc. Where appropriate, OIG audit and inspection reports include recommendations which, if accepted and implemented, will improve the respective program. This measure reflects the percent of recommendations made by the OIG that are accepted and implemented by DHS. The OIG tracks the recommendations that are issued until they have been implemented.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	79%	85%	85%	85%	85%	85%
Actual:	91%	91%	96%	93%	N/A	N/A

Measure: Percent of substantiated investigations that are accepted for criminal, civil, or administrative action.

Description of Measure: The measure reports on the number of substantiated investigations that are accepted for criminal, civil, or administrative action in comparison to all substantiated investigations that the DHS Office of Inspector General (OIG) conducts during the fiscal year. This measure demonstrates a portion of the impact that OIG investigations have on DHS operations, as well as operations of the entire federal government.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	75%	75%	75%	75%
Actual:	None	None	87%	82%	N/A	N/A

E. High Priority Performance Goals:

Note applicable to OIG.

F. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

FYHSP PROGRAM	FY 2009 Revised Enacted*		FY 2010 Enacted		FY 2011 Request	
	FTE	\$0	FTE	\$0	FTE	\$0
Audit, Inspections and Investigations	577	\$119,513	632	\$113,874	665	\$129,806
Audit, Inspections and Investigations	577	\$119,513	632	\$113,874	665	\$129,806
Total Budget Authority	577	\$119,513	632	\$113,874	665	\$129,806

**The FY09 column indicates revised enacted levels including supplemental appropriations such as Recovery Act funding. This differs from the other sections of the CJ and is intended to align with the resource levels contained in the Future Years Homeland Security Program (FYHSP) which captures total budget authority.*

Department of Homeland Security

Working Capital Fund



Fiscal Year 2011
Congressional Justification

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I. Summary of FY 2011 Budget Estimates by Appropriation

Department of Homeland Security
Working Capital Fund
 Summary of FY 2011 Budget Estimates by Appropriation
 Total Appropriations
 (Dollars in Thousands)

Budget Activity	FY 2009 Actuals		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Fee for Service Activity	298	\$408,768	404	\$614,689	495	\$699,746	91	\$85,057	57	\$74,301	34	\$10,756
Tri-Bureau Service Activity	---	63,973	2	37,977	2	\$41,024	0	\$3,047	0	\$2,399	0	\$648
Government-Wide Mandated Service Activity	4	28,968	8	35,761	9	\$32,279	1	(\$3,482)	1	(\$4,096)	0	\$614
DHS Crosscutting Activity	---	11,368	4	15,719	2	\$15,835	(2)	\$116	(2)	(\$156)	0	\$272
WCF Management Activity	8	1,110	8	1,316	11	\$1,600	3	\$284	3	\$255	0	\$29
Subtotal, Enacted Appropriations and Budget Estimates	310	\$514,187	426	\$705,462	519	\$790,484	93	\$85,022	59	\$72,703	34	\$12,319
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	310	\$514,187	426	\$705,462	519	\$790,484	93	\$85,022	59	\$72,703	34	\$12,319

BUDGET REQUEST AND SUPPORTING INFORMATION

Working Capital Fund

I. Working Capital Fund Overview

A. Mission Statement for the Working Capital Fund (WCF):

To provide cost-effective support services throughout DHS, the WCF provides a mechanism for shared service costs to be distributed and recouped, and facilitates the delivery and oversight of shared services.

The WCF supports selected services, activities, and programs that benefit more than one DHS organizational component. Furthermore, the WCF supports the funding for government-wide initiatives as well as DHS crosscutting initiatives approved by OMB and Congress. The goal of the Under Secretary for Management is to maintain and operate a fund that promotes economy, efficiency, and accountability and to apply best practices from the public and private sectors for improving organizational performance, operational efficiencies, and ensure full cost recovery of goods and services for selected DHS agency-wide programs, activities, and services.

B. Budget Activities:

The key WCF activities are organized under the five activity categories listed below:

Fee for Service Activity

DHS WCF activity managers provide or coordinate delivery of a specific service or benefit to DHS components. The benefit/cost for providing the WCF activity is tangible and is directly linked to a component's use of services or products. These activities may include subscription-type services such as providing access to electronic services, for example the Library of Congress' FEDLINK. These WCF activities earn revenue from the provision of services, and have characteristics typical of a business enterprise. The costs for operating the "business" are reimbursed by billing customers for the provision of goods and services, through rates that are pre-approved by the CFO and reviewed by component customers. Each fee for service activity is expected to recover its operational costs, usually at a much lower cost as the components benefit from economies of scale. Examples include: GSA rent and real estate services, IT services, human resource services, procurement operations, and financial management services.

Government-wide Service Activity

Government-wide activities are Administration sponsored initiatives that are managed by a designated Federal department, to improve overall government performance. Other departments are assessed for the cost of supporting the activity. The activities should also provide a direct benefit to participating components. Examples include the government-wide e-Government initiatives related to the President's Management Agenda.

DHS Crosscutting Activity

The DHS crosscutting activities are department-wide programs managed by a single office that yield some benefit, such as Strategic Sourcing, to all DHS components. The actual costs of the programs are recouped by redistributing the costs to the components based on their share of the discretionary budget, staffing or some other fair and equitable pro-rata basis.

WCF Management Activity

The WCF Management Activity includes funding for the staff that develops WCF policy and procedures, formulates and executes the WCF budget and negotiates issues between activity managers and customers.

C. Budget Request Summary:

The DHS WCF operating requirements for FY 2011 are estimated to be 519 FTEs and \$790.484 million in reimbursable authority. This is an increase of \$85.022 million and 93 FTEs over the FY 2010 enacted budget. The 93 FTEs are composed of adjustment-to-base of 34 FTEs relating to the National Capital Region Infrastructure Office (NCRIO), 57 FTE are program changes in the Fee for Service activities, 1 FTE is a program change within the Government-wide mandated service activity, 3 FTE for WCF Management Activity, and a reduction of 2 FTE within the DHS Cross-cutting Activity. .

In FY 2011, the WCF will continue all services and activities from the FY 2010 enacted budget. The FY 2011 increase is attributable to program increases of \$74.301 million approved for Fee for Services Activities, \$2.399 million for Tri-Bureau Service Activity; and \$0.255 million for Working Capital Fund Operations; and program decreases of \$4.096 million for Government-wide Mandated Service Activities and \$0.156 million for DHS Cross-Cutting Activities.

Fee for Service Activity; Program Changes: \$74.301 million increase and 57 FTEs over FY 2010

- GSA Rent; \$17.193 million – The FY 2011 budget increase includes GSA occupancy agreement updates, Federal Protective Service (FPS) rate increases, and rent for additional space that will be required in FY 2011.
- Financial Statement Audit; \$2.990 million – The FY 2011 amount includes an increase in contract costs and OIG travel oversight cost for audit services.
- Finance and Accounting Shared Services; \$8.229 million – The additional resources requested in FY 2011 reflect higher than anticipated costs being incurred by the service provider ¹

1. Financial Shared Service FY2010 bill went from \$30,084,781 to \$22,656,868 based upon using the FY2010 actual cost versus the preliminary FY10 estimates. The FY2011 bill is \$31,270,700.

- NFC Payroll and Reporting; \$2.919 million - The FY 2011 request includes O&M costs for NFC payroll and EmpowHR personnel systems. The funding request reflects an increase in O&M costs as a direct result of deploying EmpowHR to additional DHS components in FY 2009 and FY2010 that includes FEMA, ICE and CIS.
- HQ Human Capital Services; \$0.020 million - The HQ Service center will continue to provide the full range of HR operational support, including Executive Resources, to DHS HQ components (excluding the OIG).
- Consolidated Subscriptions (Library of Congress – Fedlink); \$10.632 million and 1 FTE– The department has strived to reduce the costs of subscriptions, publications, electronic journals, data base subscriptions and books. As a result of the efficiency initiative, the scope and level of involvement in the FedLink program has expanded two-fold, resulting in overall efficiencies with the program being managed through the Working Capital Fund (WCF).
- Treasury Information Executive Repository (TIER); \$0.148 million - The DHS CFO’s office is responsible for creating the Department-wide financial statements. As part of this process, two software packages are used to process the work. These two products are the Treasury Information Executive Repository (TIER) and CFO Vision Software.
- Human Capital Business Systems (HCBS); \$3.288 million - The mission of the HCBS is to design, develop, acquire, implement, maintain and support DHS enterprise-wide human capital business systems and reduce costs by consolidating the number and variety of DHS human capital systems maintained.
- DHS EXEC Leadership; \$0.002– At a minimum, the Executive Leadership Curriculum will consist of two DHS-wide leadership development activities: the Secretary’s Senior Leadership Conference and the Senior Executive Service Candidate Development Program (SES-CDP).
- Microsoft Enterprise Software Licenses; \$7.297 million - The FY 2011 increase for this activity is due to the expiration of the current Microsoft contract that uses 2003 prices. The increases to many components’ assessments are attributed to the fact that they are currently paying for these services outside of the WCF. For FY 2011, these charges will be managed through the WCF as a result of the new contract with Microsoft.
- Data Center Consolidation; \$25.990 million - The DHS Office of the Chief Information Officer (OCIO) has established two enterprise DHS data centers to provide large-scale, physically secure, scalable, mission critical data center computing facilities and services for DHS. Operation as a WCF activity will allow a dramatic reduction in the overhead required to manage data center consolidation, and will enable greater transparency and more effective management of department-wide data center migration and consolidation efforts.

- Program Offsets, reduction of \$4.407 million in Fee for Service Activities.
 - -\$0.338 million NCR IT Services
 - -\$0.132 million CIO/DHS Infrastructure Transformation Program
 - -\$0.051 million Procurement Operations
 - -\$0.007 million Flexible Spending Plan
 - -\$0.004 million HQ EXEC Leadership
 - -\$0.208 million Financial Management Support-OFO
 - -\$0.493 million Bank Card Program
 - -\$0.001 million Employee Assistance Program
 - -\$3.173 million Internal Control Audit

- **Government-wide Mandated Service Activity; Program Changes: (\$4.096 million) net decrease and 1 additional FTE from 2010**
 - E-Gov Disaster Management: \$0.217 million – The increase is to cover all Federal agencies that are involved in disaster recovery, as well as state, local and tribal disaster recovery organizations and individuals.
 - Program Offsets, reduction of \$4.313 million in Government-wide Mandated Activities are due to reductions by OMB in the e-government amounts.
 - -\$0.421 million e-Rulemaking
 - -\$0.011 million e-Grant.gov
 - -\$0.003 Human Resource Line of Business
 - -\$0.002 million Interagency Council Funding
 - -\$0.004 million USA Jobs (Recruitment One Stop)
 - -\$3.627 million E-Training
 - -\$0.049 million E-Enterprise HR Integration
 - -\$0.146 million e-Financial Line of Business
 - -\$0.005 million IAE Loans & Grant
 - -\$0.003 million Geospatial Line of Business

- -\$0.040 million e-Integrated Acquisition Environment
- -\$0.002 million Budget Formulation & Execution Line of Business

- **DHS Crosscutting Activity; Program Changes: decrease \$0.156 million and 2 FTEs under 2010**
 - -\$0.094 million in CPO Shared Reporting
 - -\$0.054 million in Capital Planning& Investment Control (CPIC)
 - -\$0.008 million in Strategic Sourcing

- **WCF Management Activity; Program Changes: \$0.255 million over 2010**

The Working Capital Fund (WCF) Management Activity requests \$255K to cover the increase of pay in FY 2011 for 3 additional WCF FTEs. This increase will enable the WCF to ensure compliance with Congressional guidance and provide oversight to the increased number of WCF activities. The WCF will continue to improve cost methodologies in determining customer assessments for products and services received.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Working Capital Fund
 Summary of FY 2011 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2009 Actuals		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Fee for Service Activity	298	\$408,768	404	\$614,689	495	\$699,746	91	\$85,057	57	\$74,301	34	\$10,756
Tri-Bureau Service Activity	---	63,973	2	37,977	2	41,024	---	3,047	---	2,399	---	648
Government-Wide Mandated Service Activity	4	28,968	8	35,761	9	32,279	1	(3,482)	1	(4,096)	---	614
DHS Crosscutting Activity	---	11,368	4	15,719	2	15,835	(2)	116	(2)	(156)	---	272
WCF Management Activity	8	1,110	8	1,316	11	1,600	3	284	3	255	---	29
Total Enacted Appropriations and Budget Estimates	310	\$514,187	426	\$705,462	519	\$790,484	93	\$85,022	59	\$72,703	34	\$12,319

III. Current Services Program Description by PPA

Department of Homeland Security
Working Capital Fund
Program Performance Justification
(Dollars in thousands)

PPA: Fee for Service Activities

	Perm Pos	FTE	Amount
2009 Actual	298	298	408,768
2010 Enacted	404	404	614,689
2011 Adjustments-to-Base	...	34	10,756
2011 Current Services	369	438	625,445
Program Change	57	57	74,301
2011 Request	426	495	699,746
Total Change 2010-2011	57	91	85,057

Working Capital Fund requests \$699.7 million in FY 2011 for Fee for Service activities. This is an increase of \$85.1 million over the FY 2010 enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

FEE FOR SERVICE ACTIVITY

GSA Rent – Fee for Service Activity

Description of Service: The General Services Administration (GSA) charges rent to over 100 federal agencies, which is deposited into the federal buildings fund and used to operate the government's buildings and pay rent to private sector for lease space. GSA provides workspace and related services for over 100 federal client agencies serving more than one million workers through the Public Buildings Service (PBS). Whenever possible, client agencies are located in existing government-owned space. If suitable space in the government inventory is not available, PBS acquires leased space in privately owned buildings.

GSA also provides related real estate services including the operation and maintenance of buildings and out-leasing programs. GSA's Computer Integrated Facility Management program uses cutting-edge technology to look at a building's life cycle. Real estate services provided to clients appear in federal agencies' monthly electronic rent bills. GSA has simplified these bills so agencies have a clearer understanding of the costs they are charged for their workspace and services.

The Department has established a clearing account to expedite the payment of GSA rent billings for the Department of Homeland Security, excluding the major components. GSA bills the Department on a monthly basis for all GSA-controlled space that the Department occupies throughout the United States, including parking spaces allotted to the Department. Through this account, the Department entities have been billed based on the amount of space occupied multiplied by the average cost of rent per SF, as averaged across all HQ space. For FY11, it has been proposed to use actual GSA rates for each particular building, instead of averaged rates. In the Washington, DC area, components are also assessed rent surcharges on a per building basis. The rent surcharge is applied to all space types except warehouse and parking. The rent surcharge covers common costs including Federal Protective Service (building security), overtime utilities and antenna charges, as well as DHS-shared space. A computer-aided facility management system is being implemented to generate component space assignments and billings.

Cost Allocation Methodology:

Current GSA Rent Algorithm: The cost allocation methodology is the amount of occupied space for each component in each building, multiplied by price per usable SF for each building. The per building usable SF price is based on GSA rent, and includes FPS, overtime utilities, antenna charges and DHS shared space.

Full Time Equivalent (FTE): This activity requires 7 FTE

FEDLINK (Library of Congress) – Fee for Service Activity

Description of Service:The Department of Homeland Security (DHS) Library and Information Services' mission is to provide the DHS program managers and their end users with desktop access to mission critical, authoritative, timely, relevant commercial information content products and services. The activity was established in 2004 to implement DHS-wide information assets supporting decision making, enforcement, investigation, research and academic information gathering activities of the DHS workforce. The activity collaborates with the Library of Congress (LOC) FEDLINK program through which the LOC shares its expertise in information services and consolidates the buying power for federal agencies. In 2009 this activity became an S1 efficiency initiative which expanded its scope.

Cost Allocation Methodology: The FY 2011 costing algorithm is based on two differing service types; enterprise-wide availability and account specific availability.

Enterprise-wide Availability: Services available enterprise-wide are made available to the entire DHS population based on Internet Protocol (IP) authentication. The cost for these services is distributed to each component based on the FTE listing in the FY 2011 President's budget, where available prior years usage percentages are used in place of FTE figures.

Account Specific Availability: Services available based on specific account availability are accessed using vendor provided user names and passwords. The cost for these services is distributed based on the actual cost of the user subscription service. Costs for these services may fluctuate throughout the year based on the amount of active accounts.

Full Time Equivalent (FTE): This activity requires 5 FTE.

Financial Management (Finance & Accounting Shared Services) – Fee for Service Activity

Description of Service: The Office of the DHS Chief Financial Officer (CFO) gives authorization for financial systems in the Department of Homeland Security and sponsors, sets policy, and manages the development, implementation, operation and maintenance of the departmental financial management systems and related business processes. The CFO has determined that it is in the best interest of the Department to obtain selected financial management services from the Office of Financial Management, U.S. Immigration and Customs Enforcement, hereafter referred to as ICE OFM and FLETC, on a reimbursable basis. ICE OFM and FLETC provide financial management services in support of the following components:

- ICE OFM
 - Departmental Operations, including the immediate offices of the Secretary, the Directorate for Management, etc.
 - Office of Health Affairs
 - Directorate for Science and Technology
 - National Protection and Programs Directorate
 - U.S. Citizenship and Immigration Services
- FLETC OFM
 - Analysis and Operations

ICE OFM formulates and disseminates financial management policies, procedures, standards and maintains overarching internal controls in conjunction with the DHS CFO. The DHS CFO and ICE OFM assist DHS HQ components in the implementation, if needed. The activities with respect to this function include:

- Oversee the development and maintenance of OFM policies, standards, and procedures for serviced groups to ensure compliance, uniformity, and consistency with Federal Financial and Accounting regulations, guidelines, rules, and standards.
- Create and submit updates to be posted on the OFM intranet website.
- Ensure necessary continuation of operations plans are prepared, viable, and in place in the event of required use.
- Monitor, adjust, and execute shared services agreements including the development/refinement of cost methodologies.
- Channel customer service requirements to service owners through formalized meetings, memorandums, issues papers, and other communication mechanisms.
- Establish points-of-contacts to support customer liaison and service requirements, and participate in customer meetings.
- Conduct periodic reviews of internal business practices to identify means in order to improve operations in terms of effectiveness and efficiency.
- Create new Federal Financial Management System transaction codes and process changes to the general ledger.
- Manage travel card services by processing new travel card applications; establishing hierarchies, maintaining user profiles, handling disputes, increasing limits, replacing cards,

and contacting delinquent card holders.

Cost Allocation Methodology: The cost allocation methodology for this activity is based on the historical cost of providing seven categories of financial support to each participating component. The seven categories of financial support services include the following: (1) financial reports, (2) obligations and payment processing, (3) system usage, (4) receipts, (5) payroll, (6) overhead, and (7) travel and cash management services.

Full Time Equivalent (FTE): This activity requires 0 FTE.

Financial Statement Audit – Fee for Service Activity

Description of Service: The DHS IG awards a contract to an independent CPA firm to perform a financial statement audit functions. The costs include travel and incidental costs associated with the performance of the audit as permitted by the contract maintained by the Office of the Inspector General (OIG) as the Contracting Officer's Technical Representative (COTR). Award will be made under a GSA schedule contract.

The Financial Statement Auditor is selected through contracting procedures by the OIG (with the Bureau of Public Debt (BPD) acting as the procurement office) and must stay independent from the DHS components that are being audited. The auditor selected commences work immediately and entrance conferences are held within a short time after award of the financial statement audit contract.

The Office of the Chief Financial Officer (CFO) coordinates and prepares the DHS consolidated financial statements and in this role acts as primary liaison for the auditors. All DHS departmental CFOs coordinate with the Director of Financial Management in the preparation of financial statements and completion of the audit.

The Office of the Inspector General is the COTR for the Financial Statement Audit contract. The WCF funds are used to support the departmental financial statement audits with the OIG having the following responsibilities:

- Contracting with an independent public accounting firm to perform the FY 2011 DHS financial statement audit.
- Providing oversight of the contract auditor
- Providing estimated cost information that allows the OCFO to properly budget for audit costs
- Notify the OCFO of any potential cost overruns and the related reasons
- Review and approve invoices for payment.

Cost Allocation Methodology: The cost allocation methodology is the sum of the estimated auditor's billable hours multiplied by the hourly rate plus travel and incidental costs.

Full Time Equivalent (FTE): This activity requires 0 FTE.

Internal Control Audit - Fee for Service Activity

Description of Service: The contract includes time and materials for internal control audit services with the auditor providing the services and billing for hours worked at billing rates commensurate with the audit position being billed. The costs include travel and incidental costs associated with the performance of the audit as permitted by the contract maintained by the OIG as the COTR. The award will be made under a GSA schedule contract.

The Internal Control Auditor is selected through contracting procedures by the OIG (with the Bureau of Public Debt (BPD) acting as the procurement office) and must stay independent from the DHS components that are being audited. The auditor selected commences work immediately and entrance conferences are held within a short time after award of the financial statement audit contract.

The Office of the Chief Financial Officer (CFO) coordinates the assessment process to support management's assertion and in this role acts as primary liaison for the auditors. All DHS departmental CFOs coordinate with the Director of Financial Management in the preparation of and completion of the internal audit.

Cost Allocation Methodology: The cost allocation methodology is the estimated auditor's billable hours per component multiplied by the hourly rate plus travel and incidental costs.

Full Time Equivalent (FTE): This activity requires 0 FTE.

Financial Management – Fee for Service Activity

Description of Service: The Office of Financial Operations (OFO) is a line of business under WCF that provides financial management to the offices within the Office of the Secretary and Executive Management (OSEM), the Under Secretary for Management (USM), the Office of the Chief Financial Officer (OCFO), and the Office of the Chief Information Officer (OCIO). The WCF Financial Operations processes and manages the processing of multiple types of financial document and transactions for its customers as well as FedTraveler Help Desk Support.

This funding provides the personnel and materials to perform the following budget execution activities:

- Procurement Requisition Operations and Management
- Invoice and IPAC Operations and Management
- Travel Operations Support and Management
- Payroll Reclassification, Reconciliation and Reporting Management
- Fiscal Year End Close Coordination and Support
- Travel Cards Operations and Management
- Purchase Card Operations Management

Cost Allocation Methodology: The cost allocation methodology is a pro-rata share based on the percent of each office within Office of Financial Operations' adjusted total FTEs multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 15 FTE.

Bankcard Program - Fee for Service Activity

Description of Service: DHS has selected Customs and Border Protection (CBP) as the servicing agent to provide for a centralized invoicing and payment system for components within DHS. CBP has developed and implemented a system that supports the receipt of daily invoices for all of DHS from US Bank. This system assures payment of those invoices within one business day of receipt, and provides transmission of an electronic file containing transaction data to each component's accounting system.

Cost Allocation Methodology: The cost allocation methodology for this activity is based on the percent of each component's number of Bankcard transactions processed divided by the total number of Bankcard transactions processed for all participating components multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 0 FTE.

Treasury Information Executive Repository (TIER) – Fee for Service Activity

Description of Service: The DHS CFO's office is responsible for creating the Department-wide financial statements. As part of this process, two software packages are used to process the work. These two products are the Treasury Information Executive Repository (TIER) and CFO Vision Software. The DHS use of TIER and CFO Vision has benefited the entire Department by the cost and resource savings involved in being able to produce financial statements in a timely manner. This has been beneficial given the accelerated timeframes for producing the Annual Financial Report.

Cost Allocation Methodology: The cost allocation methodology for this activity is average cost equally distributed to the organization element.

Full Time Equivalent (FTE): This activity requires 0 FTE.

National Finance Center (NFC) Payroll/Services and Reporting – Fee for Service Activity

Description of Service: The Department of Agriculture/National Finance Center (NFC) provides Payroll/Personnel services utilizing their legacy mainframe systems (payroll) and EmpowHR PeopleSoft application (personnel). In addition, NFC provides Payroll/Personnel policy support and benefits reconciliation, tax reporting, and payroll problem resolution. **NOTE:** The following components will have migrated to EmpowHR by FY 2011: TSA, USCG (civilian), HQ, FLETC, FEMA, ICE and CIS.

Cost Allocation Methodology:

Along with NFC Payroll/Personnel services and EmpowHR charges, NFC provides hosting services for the webTA (Time & Attendance) application. The FY 2011 cost estimate is based

on three algorithms: Payroll costs are \$157 per average employee paid. The second algorithm is \$105 per W-2 processed for EmpowHR. Third, the webTA hosting costs are \$12.30 per average employee paid.

Below are the Cost Areas and the Cost Drivers that the NFC Payroll/Services and Reporting are comprised of:

COST AREA	COST DRIVER
Postage-Earnings and Leave and Personal Benefits Statements	Pieces of mail
Treasury FMS Postage Charges for Single Address Checks	Checks mailed
USDA OIG Oversight of Non-USDA Payroll Processing	Avg # of employees paid
Payroll Operations Branch Support	Avg # of employees paid
Tax Reporting	Avg # of employees paid
Payroll Policy Support	Avg # of employees paid
e-Pay Policy Support	Avg # of employees paid
Benefits Reconciliation and Liaison Area	Avg # of employees paid
Debt Management	Receivables established
Claims	Claims processed
Payroll Accounting	Avg # of employees paid
Certification	Avg # of employees paid
Ad-Hoc reporting (based on CPU Minutes used)	CPU Minutes
Data Center Operations (Other than FOCUS)	Avg # of employees paid
Payroll/Personnel Baseline Services	Avg # of employees paid
Full Time Equivalent (FTE): This activity requires 0 FTE.	

HQ Human Capital Services -Fee for Service Activity

HQ Human Capital Services: The HQ Service center will continue to provide the full range of HR operational support, including Executive Resources, to DHS HQ components (excluding the OIG).

Description of Service: The HC Services team provides coordination and oversight support for outsourced services supporting HQ Human Capital operational needs. The team ensures that the personnel processes for HQ’s managers/employees and service providers, runs efficiently and effectively. Examples of services provided include: Staffing and Recruitment; Position Classification/Position Management; Performance Management; Payroll and Personnel Action Processing; Employee and Labor Relations Support; Retirements and Benefits Support; Time and Attendance Support.

The HC Services Team provides coordinated and prioritized services to all DHS customers; ensures timely and effective recruitment of staff; effectively manages the “on-board” staffing process (which includes security clearances and collaboration with the Personnel Security Office), quality personnel staffing services; and, efficient and effective facilitation of staff exiting out of DHS HQ.

Cost Allocation Methodology: The cost allocation methodology is a pro-rata share based on the

percent of each component's number of FTE divided by the total number of participating component's FTE multiplied by total estimated cost of the activity.

Full Time Equivalent: This activity requires 51 FTEs.

Human Capital Business Systems (HCBS) – Fee for Service Activity

Human Capital Business Systems (HCBS): The mission of the HCBS is to design, develop, acquire, implement, maintain and support DHS enterprise-wide human capital business systems and reduce costs by consolidating the number and variety of DHS human capital systems maintained.

Description of Service: The mission of the HCBS is to design, develop, acquire, implement, maintain and support DHS enterprise-wide HC business systems. The system capabilities meet the requirements specified by the user-community and provide services in a timely, user-sensitive and cost-effective manner.

HCBS continues its enterprise acquisition strategies on behalf of all of DHS components, avoiding considerable duplicative costs if DHS components proceed independently. In addition to the T&A system mentioned above, this includes additional enterprise HR services and applications; web-based Performance Management (or "e-Performance"); Employee/Labor Relations Case tracking; the Reward system for market-based pay analysis; Pay Tools/Utilities to assist with new pay cluster and band determinations; and an e-Classification/e-Recruitment enterprise system. In each case the components are supported by the HCBS unit in a collaborative and leveraged approach.

Cost Allocation Methodology: DHS population serviced assumes billing based on the "average number of employees paid" - which is consistent with NFC billing. HCBS is only charging Operations and Maintenance (O&M) costs to the WCF. Full IT costs, including design/implementation, software purchases, etc. are offset with appropriated Human Resources Information Technology (HRIT) funds.

It is important to note that for HRIT Systems; only those components that are benefiting from specific systems are being charged in the year that they benefit.

Full Time Equivalent: This activity requires 24 FTE.

Flexible Spending Accounts (FSA) Administrative Costs – Fee for Service Activity

Description of Service: FSAs are employee-funded accounts that are used by the employee account holders to pay for medical expenses that are tax deductible, but not reimbursed by another source, as well as eligible dependent care costs. Contributions to the accounts come from an employee's pre-taxed salary; the government does not make a contribution. There is a fee that is charged by the administrator of these accounts. Effective FY08, the law requires that an agency pay these fees on behalf of their employees.

The costs for this program are charged based on actual invoices received in October and March of each calendar year. The March bill assesses a fee for employees of record as of January 1 of the calendar year. The October bill makes an adjustment for any new employees who have entered the program since January 1. The Human Capital Business Office manages the invoicing process with the FSA provider and charges the direct cost of the fees to the component based upon actual invoices received from the vendor.

Generally, the Department saves enough money in reduced payroll tax to cover administrative fees. Administering the costs of these services through the WCF provides for greater efficiencies through centralized management.

Cost Allocation Methodology: The allocation methodology for the component assumes the total cost times the transaction % - which is the component's percentage of the population serviced (FTEs).

Full Time Equivalent (FTE): This activity requires 0 FTE.

DHS Executive Leadership Development – Fee for Service Activity

Description of Service: A well executed Executive Leadership Program is a key element in sustaining a “One DHS” culture. For FY 2011, at a minimum, the Executive Leadership Curriculum will consist of two DHS-wide leadership development activities: the Secretary's Senior Leadership Conference and the Senior Executive Service Candidate Development Program (SES-CDP).

The Secretary's Senior Leadership Conference is important as change management starts with top leadership. The purpose of this conference is to:

- Provide an opportunity for the Secretary to meet with DHS executives and for those executives to interact with each other;
- Broaden the perspective of DHS leadership by actively creating a forum for in-depth dialogue and discussion for cross-cutting Departmental issues;
- Allow executives to learn about both key DHS-wide and component-specific strategic and tactical initiatives for the coming year, which is predicated on strategic linkage of resources, performance and results;
- Provide perspective from the White House, Congress, and others on issues important to DHS.

The DHS Senior Executive Service Candidate Development Program serves as a corner stone for sustaining a corporate leadership identity as directed in the DHS Strategic Plan; contributes to meeting our succession planning goals; and creates a high-quality SES leadership cadre. It is also a critical element in sustaining a “Green” rating under the President's Management Agenda's Human Capital Scorecard.

This centralized program complements and enhances the strengths of existing component Leadership development initiatives across the Department and further facilitates succession planning opportunities. It provides the opportunity for participants to take advantage of

developmental/rotational opportunities in other DHS components, thereby increasing participant's "corporate" DHS knowledge and experience. In addition, components benefit from these rotational assignments by having a senior staff person working with them on real issues and offering different perspectives and/or business experiences.

Cost Allocation Methodology: The costs are allocated based on the percentage of SES slots a component has relative to the total DHS SES (or SES equivalent) population excluding military.

Full Time Equivalent: This activity requires 2 FTE.

HQ Executive Leadership Development/General Workforce Training – Fee for Service Activity

Description of Service: The HQ ELDP provides executive level training to close potential competency gaps in our DHS Headquarters leadership. Programs to support Executive Leadership are provided through the following programs: The Treasury Executive Institute (TEI); the SES Forum; and, the Individual Executive Development Training and General HQ Workforce training. In addition to TEI and the SES forum, training opportunities could include attending courses in the Management Development Center (Shepardstown, WV) or the Federal Executive Institute.

Cost Allocation Methodology: The allocation methodology for the components is the total cost divided by the total population serviced and then multiplied by the Component percentage of the population. This allocation excludes the OIG, per request.

Full Time Equivalent (FTE): This activity requires 0 FTE.

HQ Employee Assistance Program (EAP) — Fee for Service Activity

Description of Service: The EAP program includes short term counseling for employees and family members, critical incident stress debriefing, peer support programs, short term counseling, management consultations, information and referral to community resources for mental health providers, mental health education training, and peer trauma team support. EAP assistance enables employees to achieve and maintain balance in their lives, increasing job performance, satisfaction, and morale. The development of a Peer Support Program enhances management's ability to provide assistance in traumatic and critical incidents – both on the local and national level to our employees, and to the public.

The goal of the EAP program is in support of DHS ongoing commitment to ensure effective recruitment, development, compensation, succession management and leadership of a diverse workforce to provide optimal service at a reasonable cost. The EAP is mandated under 5 U.S.C. 7904, 42 U.S.C. 290dd-1(a), and 42 U.S.C. 290ee-1(a).

Cost Allocation Methodology: The cost allocation methodology for this activity is the total cost of the EAP program divided by the population serviced.

Full Time Equivalent (FTE): This activity requires 0 FTE.

CIO/DHS Infrastructure Transformation Program – Fee for Service Activity

Description of Service: The DHS Consolidated IT Infrastructure serves the majority of employees of the Department since its establishment on March 1, 2003. Since the IT infrastructure provides the foundation for effective operations of DHS systems and applications, including information sharing across components, a reliable and robust infrastructure is critical to the success of the DHS mission. From a business perspective, the goal of the IT infrastructure transformation is for the Department to be able to share data from any point in DHS to any decision maker.

The program provides a robust platform on which to quickly launch new capabilities. For example, when DHS was created the department supported numerous legacy IT programs such as 15 separate targeting systems, 14 alerts and warnings systems, and a handful of identification and credentialing systems across 24 DHS run data centers, seven wide area networks, and multiple local area networks with overlapping system circuitry. These data centers contained over 12,000 servers. Contrasting acquisition strategies and IT infrastructure policies among components further complicated the DHS environment and the ultimate goal of moving to one DHS-wide IT infrastructure in a consolidated IT data center operational environment.

The Infrastructure Transformation Program (ITP) has been chartered by the CIO Council as a DHS Level 1 investment with the following project domain initiatives included in the scope of the transformation effort to provide the following services: Network, Email, Helpdesk, Data Center, Desktop, Site, Voice, Video, and Wireless.

ITP resides within the IT Services Office (ITSO) of the DHS CIO. ITP is managed by the ITSO Enterprise Services Division (ESD) and is led by the Director of ESD and a CIO Council member executive sponsor. Furthermore, ITP is supported by a senior executive steering group of CIOs, which is staffed by a team of technical experts hired by the Department HQ from the components, several components' working group members, and contractor support.

The OCIO is committed to building a strategic human capital planning capability that is supported by a structured total workforce approach; one that seeks efficiencies, cost effective performance improvements, and a more appropriate balance of in-house and contractor resources. During FY2010, and with the FY2011 request, the OCIO is implementing a DHS Balance Workforce Strategy involving contractor conversions and the creation of additional personnel positions to provide greater government oversight and management of IT projects. The additional positions being requested in FY2011 will be funded through the realignment of base resources.

Cost Allocation Methodology: The FY 2011 cost allocation is based on the components' contribution percentages to the Consolidated IT Infrastructure FY 2010 OMB Exhibit 300.

Full Time Equivalent (FTE): This activity requires 36 FTE.

National Capital Region Infrastructure Operations (NCRIO) – Fee for Service Activity

Description of Service: The NCRIO serves the DHS Headquarters, the department's components, and select field offices of the department's major components for network and internet/intranet access; infrastructure transformation and support; management and delivery of desktop computing applications and equipment, email, wireless communications, video (VTC), voice (phone) and messaging; communications security; and IT operations disaster planning and mitigation to ensure continuous operations. The NCRIO manages and maintains all deployed applications for full functionality and continuous availability on all Department of Homeland Security (DHS) systems, as well as full functionality of file and data storage and retrieval, printing, and remote access. The NCRIO coordinates management and delivery of these services with build-out of new facilities and provides customer service through a 24/7 help desk.

In providing these services, the NCRIO adheres to and follows all applicable executive orders, presidential directives, other Federal and DHS laws, Federal orders management policies, handbooks, guidelines, processes, and procedures. The NCRIO continually monitors vendors' performance and technology to ensure that DHS HQ IT infrastructure services conform to specified standards for reliability, readiness, sustainability, supportability, availability, stability, security, flexibility, responsiveness and cost effectiveness. The NCRIO tracks workload data by functional service area to identify trends and statistical variations, and provide technical, logistical and financial forecasts for future years. The NCRIO conducts baseline assessments of its existing systems and infrastructure against industry standards for items such as configuration and performance metrics. Using the results of baseline evaluations, the NCRIO maintains a program for the improvement of information technology services.

The NCRIO resides within the IT Services Office (ITSO) of the DHS CIO. NCRIO is managed by the ITSO Headquarters Services Division (HSD). NCRIO is led by the Director of HSD. Cost and activity based analyses are conducted, and projections validated independent of NCRIO management by the ITSO Business Services Division (BSD). Senior executive management of the DHS HQ Directorate Components formed a review group to identify and resolve customer service issues in monthly meetings with the DHS CIO.

The OCIO is committed to building a strategic human capital planning capability that is supported by a structured total workforce approach; one that seeks efficiencies, cost effective performance improvements, and a more appropriate balance of in-house and contractor resources. During FY2010, and with the FY2011 request, the OCIO is implementing a DHS Balance Workforce Strategy involving contractor conversions and the creation of additional personnel positions to provide greater government oversight and management of IT projects. The additional positions being requested in FY2011 will be funded through the realignment of base resources.

Cost Allocation Methodology: The FY 2011 WCF submission is allocated among the participating organizational components: Undersecretary for Management (USM), Offices of the Secretary and Executive Management (OSEM), Under Secretary for National Protection and Programs, Domestic Nuclear Detection Office (DNDO), Science and Technology (S&T),

Analysis & Operations, Office of Health Affairs (OHA), and the Office of Inspector General (OIG).

Full Time Equivalent (FTE): This activity requires 70 FTE.

Software Enterprise Licenses – Fee for Service Activity

Description of Service: This service allows components to consolidate license requirements into a single enterprise-wide procurement to leverage DHS buying power. The activity further helps to decrease costs, reduce paperwork and save time by eliminating the need for repetitive, individual purchases of software licenses. This is the first procurement delivered through the management Action Directive Software Licenses, as reported at the 60-day Efficiency Review. The Department continues to pursue opportunities to benefit from economies of scale, moving from component or office specific software licenses to larger enterprise licenses for common services.

Microsoft:

In the spirit of the Federal Acquisition Streamlining Act (FASA), the Department of Homeland Security (DHS) and Dell Marketing, L.P. decided to re-enter into a single blanket purchase agreement (BPA) for a DHS-wide Microsoft Enterprise Agreement to standardize office automation and communication applications across the component agencies' existing IT environments. The account provides for the funding and management of the Microsoft Enterprise Agreement awarded in June 2009, which provides enterprise access to the Microsoft suite of products. The products include the software needed for individual desktops, laptops, and server platforms, such as MS Office, MS Project, MS Visio, MS Advanced Server, etc. This license agreement is utilized by all of DHS and this budget request reflects the contractual obligations of each of the Components.

The OCIO is committed to building a strategic human capital planning capability that is supported by a structured total workforce approach; one that seeks efficiencies, cost effective performance improvements, and a more appropriate balance of in-house and contractor resources. During FY2010, and with the FY2011 request, the OCIO is implementing a DHS Balance Workforce Strategy involving contractor conversions and the creation of additional personnel positions to provide greater government oversight and management of IT projects. The additional positions being requested in FY2011 will be funded through the realignment of base resources.

Cost Allocation Methodology: The annual costs are based on the total number of existing licenses plus the full cost of licenses requested by the Components and maintenance costs over a five-year period.

Full Time Equivalent (FTE): This activity requires 4 FTE.

Procurement Operations – Fee for Service Activity

Description of Service: The DHS Office of Procurement Operations (OPO) provides full service acquisition support to OSEM, USM, S&T, USCIS, NPPD, OHA, OIG, A&O, DNDO,

FEMA and USVISIT. In addition, the OPO provides acquisition services for department-wide acquisition initiatives identified by both the Chief Information Officer and the various commodity councils within DHS. Services provided include acquisition planning, training, execution, and administrative services.

Cost Allocation Methodology: The cost allocation methodology is based upon the alignment of eight OPO procurement services support divisions with their respective customers; a calculation of the full cost, both direct and indirect costs, of the services provided by each of those divisions to their respective customers consistent with each customer's level of demand for procurement support; each major customer is billed an amount equal to that calculation, an amount equal only to the full cost of each customer's procurement support. The OPO Departmental Operations Acquisitions Division's costs for support to approximately 17 of the smaller Departmental customers is calculated the same way but it is then further allocated to each customer according to each customer's percentage of the prior year's total procurements.

The Allocation methodology produces a billing rate for each division, which is the division's total cost divided by that customer's total procurements for the prior year; for example: \$7M (division's annual costs) / \$547M (division's prior year procurements) = 1.29% (OPO cost is \$.0129 per contract dollar awarded).

Full Time Equivalent (FTE): This activity requires 281 FTE.

Data Center Consolidation – Fee for Service Activity

The funding request for the FY 2011 data center development within the components will be managed through the DHS Working Capital Fund (WCF). The funds will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2011. This includes: discovery, migration planning, and scheduling activities specifically related to systems/applications that will transition to the DHS Data Centers in FY 2010. Also, purchasing of new equipment for the placement in the DHS Data Centers as part of migration/transition efforts, installation of equipment racks at the DHS Data Centers, migration-related build-out of DHS Data Center infrastructure, transition of disaster recovery/backup/COOP (Continuity of Operations) capability to DHS Data Centers, installation of infrastructure support as part of system migrations at the DHS Data Centers, migration of USCIS hardware, and systems/applications to occupy rack space at the DHS Data Centers are also included in the FY 2011 budget request.

Full Time Equivalent (FTE): This activity requires 0 FTE.

Department of Homeland Security
Working Capital Fund
Program Performance Justification
(Dollars in thousands)

PPA: Tri-Bureau Services Activities

	Perm Pos	FTE	Amount
2009 Actual	2	2	63,973
2010 Enacted	2	2	37,977
2011 Adjustments-to-Base	647
2011 Current Services	2	2	38,624
Program Change	2,399
2011 Request	2	2	41,024
Total Change 2010-2011	3,047

The Working Capital Fund requests \$41.0 million in FY 2011 for Tri-Bureau Services which is an increase of \$3.0 million from FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

Tri-Bureau Services Activities

IT Services from Department of Justice (DOJ) – Tri-Bureau Service Activity

Description of Service: The Department of Justice (DOJ) MOU Working Group performed an analysis that clarified IT services that DHS requires from DOJ and their associated costs. The working group defined the specific IT service requirements of each component currently using DOJ as the provider: USCIS, ICE, Office of Policy, and US-VISIT.

The working group is preparing migration plans to transfer services to the Enterprise Data Center.

DOJ provides the following data center services:

- Application hosting on OS/390 platform for approximately 40 applications.
- Application hosting on AIX Unix platform for approximately 25 applications.
- House DHS servers.
- Disk storage and enterprise tape backup capacity.
- Local printing services.
- Manage and operate Component-owned equipment.
- Perform transition support for de-installing, packing, and shipping systems as requested.
- Dedicated, separate raised-floor computer room space and utilities as requested.

Cost Allocation Methodology: The cost allocation methodology is based on the actual usage as determined by rates for DOJ Computer Services.

Full Time Equivalent (FTE): This activity requires 2 FTE.

Department of Homeland Security
Working Capital Fund
Program Performance Justification
(Dollars in thousands)

PPA: Government-wide Mandated Services Activity

	Perm Pos	FTE	Amount
2009 Actual	4	4	28,968
2010 Enacted	8	8	35,761
2011 Adjustments-to-Base	614
2011 Current Services	8	8	36,375
2011 Program Change	1	1	(4,096)
2011 Request	9	9	32,279
Total Change 2010-2011	1	1	(3,482)

Working Capital Fund requests \$32.3 million in FY 2011 for Government-wide Mandated Services. This is an increase of 1 FTE over FY 2010, and a decrease of \$3.5 million.

CURRENT SERVICES PROGRAM DESCRIPTION:

GOVERNMENT-WIDE MANDATED SERVICE ACTIVITY

Interagency Council Funding - Government-wide Service activity

Description of Service: GSA provides oversight and administers the Interagency Council funds in consultation with the Chief Financial Officers Council, the Chief Information Officers Council, the Federal Acquisition Council and the Chief Human Capital Officers Council.

- **Chief Financial Officers (CFO) Council Funding Supports the Following Activities:**
 - Federal Audit Clearing House (FAC) - Disseminates audit information to Federal agencies and the public, supports OMB oversight and assessment of Federal award audit requirements, and assists Federal cognizant and oversight agencies in obtaining OMB Circular A-133 data and reporting packages.
 - Grants Streamlining – Is dedicated to implementing Public Law (P. L.) 106-107, the Federal Financial Assistance Management Improvement Act of 1999. It also proposes a standard format for Federal agency use in announcing discretionary grant and cooperative agreement funding opportunities;
- **Chief Information Officers (CIO) Council Funding Supports the Following Activities:**
 - A \$2 million contract to support the Portfolio Management Office for the ongoing e-government initiatives efforts.
 - Federal Enterprise Architecture (FEA) — the FEA PMO will continue efforts to identify and develop collaboration and consolidation opportunities across Federal agencies in support of the President’s Management Agenda initiatives.

- **Federal Acquisition Council (FAC) Funding Request Supports the Following Activities:**
 - The Federal Competitive Sourcing Database (FCSD) is intended to facilitate comprehensive, consistent, and timely reporting of government actions related to competitive sourcing.
 - Acquisition Workforce Competency Development and Training - Agencies use the Acquisition Career Management Information System (ACMIS) database which provides workforce training data and OPM data to make strategic workforce decisions affect the agency training and certification requirements.
 - Government-wide Performance Measures for Socio-Economic Goals - Small business success is currently measured by meeting established statutory goals.
 - Procurement Center Representatives (PCRs) Online - In order to obtain the appropriate level of contributory review, and move the procurement along in a timely fashion, the PCRs facilitate the requirement of the agencies and SBA uses an online workload tool.
 - The Service Acquisition Reform Act (SARA), Acquisition Advisory Panel and Report to Congress - Section 1423 of SARA requires the Administrator of OMB/Office of Federal Procurement Policy to establish an advisory panel of recognized experts in acquisition law and policy to review laws and regulations regarding the use of commercial practices, performance-based contracting, the performance of acquisition functions across agency lines of responsibility, and the use of government-wide contracts.
 - Acquisition Center of Excellence - SARA mandates the development and maintenance of a Center of Excellence in Contracting for Services.

- **Chief Human Capital Officers Council (CHCO) Funding Request Supports the Following Activities:**
 - CHCO Website - A critical component in advancing the government-wide goals of this management innovation has been the development and maintenance of a high-quality, component rich Web content delivery system. The creation of this site has provided a vehicle for sharing and exchanging information of interest to the Federal human resource management community. The system provides a forum for the exchange of information among members of the Council in both a public and private manner.

Cost Allocation Methodology: The cost allocation methodology for this activity is pro-rata share based on the percent of each component's adjusted total budget divided by DHS's total adjusted budget (excluding grant funding) multiplied by the total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 0 FTE.

USAJOBS (formerly Recruitment One-Stop)-Government-wide Service activity

Description of Service: The USAJOBS initiative is a government-wide initiative led by the Office of Personnel Management (OPM). All agencies fund their portion of this program (based on employment levels). Regulations contained in 5 CFR Parts 330, 333, and 335 implement section 4 of Public Law 1054-52 and authorizes OPM to charge fees to agencies in order to pay the cost of providing Federal employment information and services.

USAJOBS Federal Employment Information System delivers state-of-the-art on-line recruitment services to job seekers, simplifying the process of locating and applying for Federal jobs. It delivers a number of job seeker focused features including intuitive job searching; clean, concise, understandable and attractive job announcements; on-line resume submission; applicant data-mining; and on-line feedback on status and eligibility.

Managing Partner: OPM

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's Full Time Equivalent (FTE) divided by the total DHS civilian FTE multiplied by the total estimated cost of the activity. This activity only benefits civilian personnel; therefore, military FTE's are not included in the cost allocation methodology.

Full Time Equivalent (FTE): This activity requires 0 FTE.

e-Training – Government-wide Service Activity

Description of Service: Provides enterprise approach to leveraging technology to support learning and development programs, initiatives, and capabilities. This includes an enterprise architecture approach to the modernization and reduction in complexity of DHS Learning Management Systems (LMS'), building enhanced capability through tools such as web conferencing, and closing existing and future gaps in structured learning opportunities by providing every DHS employee access to over 3,000 online courses and 12,000 online books. Government-wide accomplishments derived from this activity are:

- Centralized procurement of primary DHS LMS' in use, providing greater visibility to CFO's, CIO's, and all DHS management regarding costs
- Consistent, standardized delivery of all legislatively mandated training to all DHS employees (and contractors where appropriate) launched IT security courses mapped to the Government Information Security Reform Act (GISRA) and The National Institute of Standards and Technology requirements
- Providing 21st Century approach to training in critical areas such as Emergency Medical Technician training by assisting in the coordination of DHS Modeling and Simulation activity in regards to training
- Compliance with OPM and OMB requirements for reporting Enterprise Human Resources Integration (EHRI) training data for all DHS Federal civilian employees

Managing Partner: OPM

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's Full Time Equivalent (FTE) divided by DHS's total FTE (excluding military) multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 9 FTEs.

Enterprise HR Integration – Government-wide Service Activity

Description of Service: EHRI is a collaborative e-Government initiative designed to transform the way Federal HR Specialists and Managers access human resource information and the way all Federal employees access their personnel file information. EHRI is in the process of replacing the current paper based Official Personnel Folder (OPF) with an electronic employee record for all Executive Branch employees, resulting in a comprehensive electronic personnel data repository covering the entire life cycle of Federal employment. In addition to streamlining personnel management actions, EHRI provides HR managers and specialists with powerful workforce analytic and planning capabilities.

Managing Partner: OPM

Cost Allocation Methodology: Costs for EHRI's products and services will be recovered by EHRI from all agencies on an equitable basis related to the size and usage of each participating agency. Charges to each agency will be established by distributing total EHRI costs to all clients on the basis of the number of OPFs or on the basis of actual cost, depending on the service.

Full Time Equivalent (FTE): This activity requires 0 FTE.

e-Rulemaking – Government-wide Service Activity

Description of Service: e-Rulemaking is a collaborative, interagency activity designed to establish a common, automated and integrated approach to managing the Federal government's rulemaking function. The activity consolidates rulemaking systems at the various departments and agencies and is centrally managed through a web-based environment offering such as one-stop access, search capabilities, and public commenting. e-Rulemaking activities include:

- Expanding public understanding of the rulemaking process
- Improving the quality of Federal rulemaking decisions
- Increasing the amount, breadth, and ease of citizen and intergovernmental participation in rulemaking
- Administering Regulations.gov, a cross-agency, front-end Web application that posts and allows comments on proposed Federal agency rules
- Writing memoranda to the President's Management Council (PMC), directing agencies to include a link to Regulations.gov on agency homepages and in the synopsis of the notice of any regulatory action requesting public comment
- Posting the dockets for the Department of Housing and Urban Development, USDA's Animal and Plant Health Inspection Service, a portion of DHS, and Office of Personnel Management rulemaking on EPA's on-line system as a proof-of-concept.

Managing Partner: Environmental Protection Agency

Cost Allocation Methodology: The cost allocation methodology for this activity is pro-rata share based on the percent of each participating Component's adjusted total budget divided by DHS's total adjusted budget (excluding grant funding) multiplied by the total estimated cost of

the activity.

Full Time Equivalent (FTE): This activity requires 0 FTE.

e-Grants – Government-wide Service Activity

Description of Service: e-Grants creates a single portal for all Federal grant customers to find, apply and manage grants on-line. The Grants.gov Storefront provides electronic functionality for applicant's grantees, and reduces the paper-based processes that currently challenge the Federal grants environment. The initiative is designed to reduce existing inefficiencies, meet e-Gov goals, and provide benefits to both citizens and the government. Specifically, the initiative enables the government to meet many of the streamlining activities required by Public Law (PL) 106-107, Federal Financial Assistance Management Improvement Act, and called for in the PMA, such as deploying a unified search/find capability for grant opportunities, standard data sets, and a common mechanism and processes for applying for Federal grants funds.

Managing Partner: Department of Health and Human Services

Cost Allocation Methodology: The cost allocation methodology is a pro-rata share based on the percent of each organization element's grant funding divided by DHS's total grant funding multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 0 FTE.

Human Resources Line of Business (HRLoB) – Government-wide Service Activity

Description of Service: HRLoB has been launched to drive rapid and transformational improvements in the delivery of human resources services across government agencies. HRLoB has been tasked to consider business benefits and impacts and then propose a model that improves strategic management of human capital, is effective and efficient, and improves customer service.

Managing Partner: Office of Personnel Management

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's Full Time Equivalent (FTE) divided by DHS's total FTE multiplied by the total estimated cost of the activity. This activity only benefits civilian personnel; therefore, military FTE is not included in the cost allocation methodology.

Full Time Equivalent (FTE): This activity requires 0 FTE.

Geospatial Line of Business– Government-wide Service Activity

Description of Service: The Geospatial LoB is designed to further refine the opportunities for optimizing and consolidating Federal geospatial-related investments to reduce the cost of government and, at the same time, improve services to citizens. Cross-agency coordination of

geospatial activities can identify, consolidate, and reduce or eliminate redundant geospatial investments. The Geospatial Line of Business (LoB) will result in a more coordinated approach to producing, maintaining, and using geospatial data, and will ensure sustainable participation from Federal partners to establish a collaborative model for geospatial-related activities and investments.

Managing Partner: Department of Interior

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's adjusted total budget divided by DHS's adjusted total budget (excluding grant funding) multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 0 FTE.

e-Gov Integrated Acquisition Environment Loans And Grants– Government-wide Service Activity

Description of Service: The Federal Funding Accountability and Transparency Act of 2006 (FFATA) requires OMB to “ensure the existence and operation of a single searchable website, accessible by the public at no cost to access” that includes information on each Federal award. The law specifically requires a unique identifier for the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity. Some contracts (and some grants) already require Data Universal Numbering System (DUNS) numbers. This will allow those areas to feed information into the FFATA portal.

Managing Partner: General Services Administration

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each Component's Full Time Equivalent (FTE), divided by DHS' total FTE and multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 0 FTE.

Budget Formulation and Execution Line of Business– Government-wide Service Activity

Description of Service: The focus of the Budget Formulation and Execution Line of Business (BFE LoB) is to build a “budget of the future” by promoting information sharing across government agency budget offices and building a “community of practice.” With this collaboration, the budget community can start to identify best practices for all aspects of budget formulation and execution. The BFE LoB strives to find solutions that link budget formulation, execution, planning, performance, and financial information. Areas of particular interest include technology, budget performance integration, data collection and tracking, financial management integration, and human capital.

Managing Partner: Department of Education

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each Component's adjusted total budget divided by DHS' adjusted total budget (excluding grant funding) multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 0 FTE.

Financial Management Line of Business– Government-wide Service Activity

Description of Service: The Financial Management Line of Business (FMLoB) goals are to define, analyze, and implement options that will enhance cost savings in the financial management systems, provide for standardization of business processes and data models, promote seamless data exchange between Federal agencies, and strengthen internal controls through integration of core financial and subsidiary systems. The FMLoB's current objective is to improve the cost, quality, and performance of financial management (FM) reducing the number of noncompliant systems by leveraging common standards, shared service solutions, and implementing other government-wide reforms that foster efficiencies in Federal financial operations.

Managing Partner: General Services Administration (GSA)

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each Component's adjusted total budget, divided by DHS' adjusted total budget (excluding grant funding) and multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 0 FTE.

e-Gov Integrated Acquisition Environment – Government-wide Service Activity

Description of Service: The Integrated Acquisition Environment (IAE) activity is a secure business environment that facilitates and supports cost-effective acquisition of goods and services in support of mission performance. The goals for the Integrated Acquisition Environment activity are achieved through four major business areas: Business Partner Network (BPN), Acquisition Information Reporting (AIR), e-Marketplace, and Standard Transactions. IAE is achieving its goal of streamlining the intricate system of process threats that is needed to buy and track over \$400 billion in goods and services annually.

Managing Partner: General Services Administration (GSA)

Cost Allocation Methodology: The cost allocation methodology is a pro-rata share based on the percent of each component's measurement of three contract acquisition variables divided by the total sum of all component measurements of the same three variables multiplied by total estimated cost of the activity. The three contract acquisition variables measured for each component is as follows: (1) the number of personnel providing contractor support, (2) number of contracts processed and (3) the dollar volume of contracts processed.

Full Time Equivalent (FTE): This activity requires 0 FTE.

e-Gov Disaster Management – Government-wide Service Activity

Description of Service: Disaster Management is part of the e-Gov Act of 2002, Title II, and Section 214 "Enhancing Crisis Management Through Advanced Information Technology" and is described in OMB M-03-18, "Implementation Guidance for the e-Government Act of 2002." This initiative, which will support disaster assistance and "all hazards" response, is a joint effort involving 10 other Federal agencies that support disaster management. This initiative also supports many of the goals of the Initial National Response Plan dated October 2003.

The scope of the project covers all Federal agencies that are involved in disaster recovery, as well as state, local and tribal disaster recovery organizations and individuals. The value of this program is its contribution to improving disaster preparedness and its potential to reduce property damage and loss of life.

Managing Partners: FEMA and CIO

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's level of participation in Disaster Management divided by the total sum of all component levels of participation in Disaster Management multiplied by total estimated cost of the activity. Levels of participation include measuring the active participation of sixteen elements of Disaster Management defined by Disaster Management e-Government Initiative Program Office, EP&R/FEMA. The sixteen elements of Disaster Management include the following: (1) transportation, (2) communications, (3) public works and engineering, (4) firefighting/incident command system, (5) information and planning, (6) mass care, (7) resource support, (8) health and medical services, (9) search and rescue, (10) hazardous materials, (11) food, (12) energy, (13) warnings and alerts, (14) research and development, (15) emergency/domestic preparedness, and (16) disaster relief. The sixteen elements are the cost drivers for each component's assessment and because many components are involved in various activities at different levels of participation, the cost for this activity is fairly uniform across the components.

Full Time Equivalent (FTE): This activity requires 0 FTE.

Department of Homeland Security
Working Capital Fund
Program Performance Justification
(Dollars in thousands)

PPA: DHS Cross-Cutting Activities

	Perm Pos	FTE	Amount
2009 Actual	4	0	11,368
2010 Enacted	4	4	15,719
2011 Adjustments-to-Base	272
2011 Current Services	4	4	15,991
2011 Program Change	(2)	(2)	(156)
2011 Request	2	2	15,835
Total Change 2010-2011	(2)	(2)	116

The Working Capital Fund requests \$15.8 million for DHS Cross-Cutting activities in FY2011. This is a decrease of 2 FTE and \$0.1million below FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

DEPARTMENT OF HOMELAND SECURITY
CROSSCUTTING ACTIVITY

Capital Planning & Investment Control (CPIC) – DHS Crosscutting Activity

Description of Service: Capital Planning and Investment Control (CPIC) is run jointly by the CFO (Program Analysis & Evaluation), CPO Acquisition Program Management Division (APMD) and the CIO (Portfolio Management) to carry out the Department’s responsibilities for the quality and performance of its investment projects. A CPIC process is required to comply with the budget preparation guidance provided by OMB Circular A-11, Preparing, Submitting and Executing the Budget, and the management guidance provided by OMB Circular A-130, Management of Federal Information Resources, under the legislative authorities and requirements in the Clinger-Cohen Act and the Homeland Security Act. Project management offices throughout the components prepare business cases to demonstrate to OMB that they are on-track and ready to effectively use the additional funding requested.

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each participating component’s Exhibit 300’s total divided by the total DHS Exhibit 300’s multiplied by the total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 0 FTE.

Strategic Sourcing – DHS Crosscutting Activity

Description of Service: DHS has established Strategic Sourcing Group (SSG) to implement a department-wide approach to acquiring goods and services. The SSG has established commodity councils that are working to identify the department's needs for each commodity and developing more efficient purchasing mechanisms to address those needs. The total number of commodity councils established thus far is 16 covering such commodities as weapons and ammunition, uniforms, electricity, office supplies, airport services, and copiers.

Cost Allocation Methodology: The cost allocation methodology is a pro-rata share based on the percent of each component's measurement of three contract acquisition variables divided by the total sum of all component measurements of the same three variables multiplied by total estimated cost of the activity. The three contract acquisition variables measured for each component is as follows: (1) the number of personnel providing contractor support, (2) number of contracts processed and (3) the dollar volume of contracts processed.

Full Time Equivalent (FTE): This activity requires 2 FTE.

CPO Shared Reporting – DHS Crosscutting Activity

Description of Services: The DHS Shared Reporting - CPO system, known otherwise as the Homeland Security Contract Information System (HSCIS), is the acquisition data feeder system to the Federal Procurement Data System - Next Generation (FPDS-NG) that is required by statute. This data source is the primary source of all acquisition data for the Federal government, used by U.S. agencies, governments around the world, the public, and the commercial world for planning marketing opportunities with the American government related to its annual acquisition budget. DHS uses HSCIS to provide data to FPDS-NG and to monitor acquisition data.

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each participating component's adjusted total budget by DHS' adjusted total budget (excluding grant funding) multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 0 FTE.

Department of Homeland Security
Working Capital Fund
Program Performance Justification
(Dollars in thousands)

PPA: WCF Management Activity

	Perm Pos	FTE	Amount
2009 Actual	8	8	1,110
2010 Enacted	8	8	1,316
2011 Adjustments-to-Base	29
2011 Current Services	8	8	1,345
2011 Program Change	3	3	255
2011 Request	11	11	1,600
Total Change 2010-2011	3	3	284

Working Capital Fund requests \$1.6 million for this activity in FY2011. This is an increase of 3 FTE \$0.3 million over FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

WCF MANAGEMENT ACTIVITY

Working Capital Fund Operations – WCF Management Activity

Description of Service: The Working Capital Fund Operations provides policy, procedures, budget formulation, execution and customer resolution services in managing the WCF. Services are provided to the activity managers as well as customer Components across DHS.

Budget Formulation Services:

- Oversee all budgets, make recommendations on all aspects of the WCF, and perform or direct all duties and responsibilities of financial management.
- Provide direction and assistance to program managers in the development of operating plans, budgets, and supporting documents relating to use of the WCF.
- In coordination with the Director, Budget Staff, make recommendations on operating plans, rate structures and activities to be supported by the fund.

Budget Execution Services:

- Review financial reports for conformance with program and financial plans, and inform senior management and program officials of trends and changes required in the financial plan.

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each component’s WCF assessment amount divided by the total WCF assessment multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 11 FTE to oversee all budgetary functions of the Working Capital Fund.

IV. Program Justification of Changes

**Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: DHS Rent
 PPA: Fee-For-Service Activity
 Program Increase: Positions 2 FTE 2 Dollars \$17,193

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							5	5	\$76,895
Program Increase							2	2	\$17,193
Budget Request	1	1	\$48,422	5	5	\$75,606	7	7	\$94,088

Description of Item

The General Services Administration (GSA) provides workspace and related services for over 100 Federal client agencies serving more than one million workers through the Public Buildings Service (PBS). GSA also provides related real estate services including the operation and maintenance of buildings and out-leasing programs. GSA’s Computer Integrated Facility Management Program uses cutting edge technology to look at the buildings life cycle. Real estate services provided to clients appear in Federal agencies monthly electronic rent bills.

The Department has established a clearing account to expedite the payment of WCF GSA rent billings for the Department of Homeland Security headquarters offices, excluding the major components, who pay their rent expenses directly to GSA. The monthly WCF bills include all GSA-controlled space that the Department headquarters occupies, including parking spaces allotted to the Department.

Justification

The FY 2011 budget increase includes GSA occupancy agreement updates, Federal Protective Service (FPS) rate increases, and rent for additional space that will be required in FY 2011.

Impact on Performance

These facilities improve the delivery of support services to each DHS component while reducing the cost of operations. The centralization of GSA Rent services for the Departmental Management and Operations is critical to the mission of the Department.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 2: FEDLINK (Library of Congress)

PPA: Fee-For-Service Activity

Program Increase: Positions 1 FTE 1 Dollars \$10,632

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							4	4	\$11,396
Program Increase							1	1	\$10,632
Budget Request	1	1	\$10,671	4	4	\$11,203	5	5	\$22,028

Description of Item

The Department of Homeland Security (DHS) Library and Information Services’ mission is to provide the DHS program managers and their end users with desktop access to mission critical, authoritative, timely, and relevant commercial information content products and services. The activity was established in 2004 to implement DHS-wide information assets supporting decision making, enforcement, investigation, research and academic information gathering activities of the DHS workforce. The activity collaborates with the Library of Congress (LOC) FEDLINK program through which the LOC shares its expertise in information services and consolidates the buying power for federal agencies. In 2009 this activity became a Secretary’s efficiency initiative, which expanded its scope within the working capital fund while reducing total costs paid individually by components and Headquarters offices.

Justification

The department has strived to reduce the costs of subscriptions, publications, electronic journals, data base subscriptions and books. As a result of the efficiency initiative, the scope and level of involvement in the FedLink program as expanded two-fold.

Impact on Performance

The expansion of the FEDLINK activity has increased the efficiency of the Department and has reduced our operating cost by over \$1m in FY2010. The consolidation effort of pooling subscriptions will enable the participating agencies to acquire better services from the providers and receive better rates due to the volume in numbers for the users. As a result of the consolidation, the activity now plays a larger role in its mission to support critical services.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 3: Financial Statement Audit

PPA: Fee-For-Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$2,990

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$15,816
Program Increase							0	0	\$2,990
Budget Request	0	0	\$13,544	0	0	\$15,552	0	0	\$18,806

Description of Item

DHS awards a contract to an independent CPA firm to perform financial statement audit functions. The contract includes time and material for audit services with the auditor providing the services and billing the hours worked at billing rates commensurate with the audit position being billed. The cost include travel and incidental costs associated with the performance of the audit as permitted by the contract maintained by the Office of the Inspector General (OIG) as the Contracting Officer Technical Representative (COTR).

Justification

In FY 2011, the Financial Statement Audit activity requests a funding increase of \$2.990 million in contractor cost and for travel oversight costs for the OIG staff. The amount includes an increase for time and material costs for audit services. These services include a full scope audit cost for Customs and Border Protection (CBP), Federal Law Enforcement Training Center (FLETC) Transportation Security Administration (TSA), Immigration and Customs Enforcement (ICE), and Citizenship and Immigration Services (CIS).

Impact on Performance

This increase will enable Financial Statement Audit to continue providing full scope auditing services for Customs and Border Protection (CBP), Federal Law Enforcement Training Center (FLETC) Transportation Security Administration (TSA), Immigration and Customs Enforcement (ICE), and Citizenship and Immigration Services (CIS).

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 4: Finance and Accounting Shared Services

PPA: Fee-For-Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$8,229

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$23,042
Program Increase							0	0	\$8,229
Budget Request	0	0	\$26,413	0	0	22,657	0	0	\$31,271

Description of Item

ICE and FLETC's Office of Financial Management provide a variety of financial shared services for various DHS components on a reimbursable basis. The types of financial services provided include financial reports, obligations and payment processing, system usage, receipts, payroll, overhead, and travel and cash management services.

Justification

The \$8.229 million increase reflects higher than anticipated costs being incurred by the service provider to support the DHS components in terms of higher demands of services from DHS and upgrading the ABC model to better track and determine component actual costs. These higher costs are being distributed across DHS components based on Activity Based Costing results from previous years. In addition, the Financial Shared Services FY2010 bill decreased from \$30,084,781 to \$22,656,868. Billing notifications have been adjusted for FY2010 based on actual cost. This will be adjusted at the beginning of FY 2011 per the ABC model.

Impact on Performance

The requested increase will cover the increased support costs of this activity in FY 2011.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 5: NFC Payroll Services & Reporting

PPA: Fee-For-Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$2,919

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$35,641
Program Increase							0	0	\$2,919
Budget Request	0	0	\$32,344	0	0	\$35,045	0	0	\$38,560

Description of Item

Description of Service: The Department of Agriculture/National Finance Center (NFC) provides Payroll/Personnel services utilizing their legacy mainframe systems (payroll) and EmpowHR PeopleSoft application (personnel). In addition, NFC provides Payroll/Personnel policy support and benefits reconciliation, tax reporting, and payroll problem resolution. The following components will have migrated to EmpowHR by FY 2011: TSA, USCG Civilian population, HQ, FLETC, FEMA, ICE and CIS.

NFC Payroll and Reporting; \$2.919million - The FY 2011 request includes O&M costs for NFC payroll and EmpowHR personnel systems. The funding request reflects an increase in O&M costs as a direct result of deploying EmpowHR to additional DHS components in FY09 and FY10 that includes FEMA, ICE and CIS.

Justification

NFC Services that DHS components are billed for include:

COST AREA	COST DRIVER
Postage-Earnings and Leave and Personal Benefits Statements	Pieces of mail
Treasury FMS Postage Charges for Single Address Checks	Checks mailed
USDA OIG Oversight of Non-USDA Payroll Processing	Avg # of employees paid
Payroll Operations Branch Support	Avg # of employees paid
Tax Reporting	Avg # of employees paid
Payroll Policy Support	Avg # of employees paid
e-Pay Policy Support	Avg # of employees paid
Benefits Reconciliation and Liaison Area	Avg # of employees paid
Debt Management	Receivables established
Claims	Claims processed
Payroll Accounting	Avg # of employees paid
Certification	Avg # of employees paid
Ad-Hoc reporting (based on CPU Minutes used)	CPU Minutes
Data Center Operations (Other than FOCUS)	Avg # of employees paid
Payroll/Personnel Baseline Services	Avg # of employees paid

Along with NFC Payroll/Personnel services and EmpowHR charges, NFC provides hosting services for the webTA (Time & Attendance) application. The following components will have migrated to webTA by FY 2011: TSA, USCG, HQ, USSS, FEMA, FLETC, ICE and CIS. The FY 2011 cost estimate is based on three algorithms: Payroll costs are \$157 per average employees paid. The second algorithm is \$105 per W-2 processed for EmpowHR. Third, the webTA hosting costs are \$12.30 per average employees paid.

This request includes O&M costs for NFC payroll, EmpowHR personnel systems and webTA hosting services. The funding request increase is a direct result of deploying EmpowHR to additional DHS components in FY09 and FY10 that includes FEMA, ICE and CIS. This activity is a pass through charge from NFC through HCBS to bill each component in order to maintain payroll and personnel support services.

It is imperative for the Department to migrate to the modern personnel solution, EmpowHR, because NFC is planning to replace the mainframe payroll/personnel systems with a modern payroll engine beginning in FY 2011. Legacy personnel systems will be affected by this fundamental change and would require extensive code changes to interface with the new payroll engine; in turn, this would be redundant costs that can be avoided by migrating to EmpowHR.

Impact on Performance

The activity directly supports the Secretary's goal to Strengthen DHS Operations and Management. The Government is looking at increasing effectiveness from a business perspective and with an enterprise-wide view. Based on the ePayroll Business Case, the best decision for the Government is to achieve savings and economies associated with rapid consolidation of providers while leveraging key technology investment. The goal is to interface payroll systems with customer administrative systems,

while increasing interoperability and reducing overall cost. This decision, made from a Government-wide rather than agency perspective, will move us toward the objective of a standard architecture and final Shared Service Provider solution.

Migrating DHS components to EmpowHR will offer a more stable, modern technology platform to support DHS business needs and result in the following efficiencies for the components:

- Reduction of duplicative personnel applications
- Cost savings
- Increased self-service capability
- Reduced processing cycle times
- Reduced processing errors
- Cost avoidance due to centralized management of enterprise solutions (Avoid redundant costs for managing Security, 508 compliance, infrastructure and contract management activities.)

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 6: HQ Human Capital Service Center

PPA: Fee-For-Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$20

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							51	51	\$14,599
Program Increase							0	0	\$20
Budget Request	33	33	6,477	51	51	\$14,324	51	51	\$14,619

Description of Item

The HQ Service Center provides coordination and oversight support for outsourced services supporting HQ Human Capital operational needs. The team ensures that the personnel processes for HQ’s managers/employees and service providers runs efficiently and effectively. Examples of services include: Staffing and Recruitment; Position Classification/Position Management; Performance Management; Payroll and Personnel Action Processing; Employee and Labor Relations Support; Retirements and Benefits Support; Time and Attendance Support. It is imperative that we continue providing full-time, Federal employee oversight of these services.

Justification

In FY 2011, the estimated HQ population assumes “full-service” capacity. An increase in funding request will provide continued operational oversight of all contracted services as well as provide more effective focus on customer support. This team has continued to be very efficient and operates seamlessly, thus keeping costs with a modest increase for supplies. The increase is in line with the reprogramming increase that was approved for FY 2009.”

Impact on Performance

With this funding, the HC Service Center can provide coordinated and prioritized personnel staffing services; ensure timely and effectively recruitment of staff; effectively manage the “on-board” staffing process (which includes security clearances and collaboration with the Personnel Security Office).

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 7: Microsoft Enterprise Software Licenses

PPA: Fee-For-Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$7,297

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							1	1	\$47,265
Program Increase							0	0	\$7,297
Budget Request	0	0	51,960	1	1	46,474	1	1	\$54,562

Description of Item

This service allows components to consolidate license requirements into a single enterprise-wide procurement to leverage DHS buying power. The activity further helps to decrease costs, reduce paperwork and save time by eliminating the need for repetitive, individual purchases from. It is the first procurement delivered through the management Action Directive Software Licenses, as reported at the 60-day Efficiency Review. The Department continues to pursue opportunities to benefit from economies of scale, moving from component or office specific software licenses to larger enterprise licenses for common services.

Justification

The FY 2011 costs are significantly higher than previous years due to the expiration of the initial contract that was based on 2003 Microsoft prices. In addition, the FY 2011 license costs are higher because they are based on the base requirements applied at the beginning of the contract in 2003, plus all of the actual requirements that have been made by components since that time. Before FY 2011 the costs included in the WCF were based on the 2003 base requirements and amortized over a period of five years. The FY 2011 price increase is based on today's market prices and the FY 2009 Enterprise Agreement awarded in June 2009. Due to DHS's buying power, the package includes more than the standard Microsoft Suite products.

In the spirit of the Federal Acquisition Streamlining Act (FASA), the Department of Homeland Security (DHS) and Dell Marketing, L.P. decided to re-enter into a single blanket purchase agreement (BPA) for a DHS-wide Microsoft Enterprise Agreement to standardize office automation and communication applications across the component agencies' existing IT environments. The account provides for the funding and management of the Microsoft Enterprise Agreement awarded June 2009, which provides enterprise access to the Microsoft suite of products. The products include the software needed for individual desktops, laptops, and server platforms, such as MS Office, MS Project, MS Visio, MS Advanced Server, etc. This agreement is utilized by all of DHS. The request reflects the contractual obligations of each of the Components.

Impact on Performance

This activity helps the agency to fulfill Federal Acquisition Streamlining Act (FASA) requirements. It also helps to ensure legal licensing of all DHS Microsoft servers deployed throughout the enterprise. In addition, it implements governance over the contract vehicle through which Microsoft licenses are purchased by DHS component organizations.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 8:

Data Center Consolidation

PPA:

Fee-for-Service Activity

Program Increase:

Positions 0 FTE 0 Dollars \$25,990

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$152,250
Program Increase							0	0	\$25,990
Budget Request		0	0	0	0	150,000	0	0	\$178,540

Description of Item

Currently, DHS is undergoing efforts to migrate disparate component systems and applications from legacy data centers to the two enterprise DHS data centers. The two DHS centers will address the need for greater efficiency, improved security posture and the rapid movement of information within the Department. By establishing two enterprise data centers, DHS has established the capabilities to integrate, consolidate, and transform the individual Component Infrastructures into a single, world-class IT infrastructure capable of supporting the significant demands required of an organization.

Managed through the WCF, Data Center Consolidation activity provides funding for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2011.

Justification

The Data Center Consolidation WCF activity will provide the means by which to manage the funding for the migration efforts to the DHS enterprise facilities. Operation as a DHS WCF activity will allow a reduction in overhead required to manage data center consolidation. The WCF will allow DHS to act as a single bill payer to the Data Center service providers, and will reduce necessary procurement activities. The consolidation into a WCF activity will also allow for greater transparency and more effective management of the goods and services being provided to the Department. By allowing for the central management of the contracts between Data Center providers, the Data Center Consolidation activity enables Components to focus their resources on their missions, rather than contracting and administrative support for acquiring data center services.

Impact on Performance

This increase will improve the established two enterprise DHS data centers, which provide large scale, physically secure, scalable, mission critical data center computing facilities and service for DHS. The Enterprise Data Centers WCF supports the DHS goal of “One Infrastructure” and “One DHS.” The

Enterprise Data Centers WCF activity aligns with the DHS Strategic Goals, “Strengthen and Unify DHS Operations and Management”

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 9: e-Gov Disaster Management

PPA: Government-wide Mandated Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$ 217

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$12,728
Program Increase							0	0	\$217
Budget Request		0	12,270	0	0	12,515	0	0	\$12,945

Description of Item

Disaster Management is part of the e-Gov Act of 2002, Title II, and Section 214 "Enhancing Crisis Management Through Advanced Information Technology" and is described in OMB M-03-18, "Implementation Guidance for the e-Government Act of 2002." This initiative, which will support disaster assistance and "all hazards" response, is a joint effort involving 10 other Federal agencies that support disaster management. This initiative also supports many of the goals of the Initial National Response Plan dated October 2003.

Justification

This increase will continue to support disaster assistance and "all hazards" response is a joint effort involving 10 other Federal agencies that support disaster management. The scope of the project covers all Federal agencies that are involved in disaster recovery, as well as state, local and tribal disaster recovery organizations and individuals. The value of this program is its contribution to improving disaster preparedness and its potential to reduce property damage and loss of life.

Impact on Performance

The activity supports the DHS goal of "One Infrastructure" and "One DHS." e-Gov Disaster Management "Strengthens and Unifies DHS Operations and Management". The increase in funding allows the activity to maintain its support of mitigating loss of life and would be susceptible to an increase property loss increased loss of life.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 10: IT Data Center Service from DOJ

PPA: Tri-Bureau Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$ 2,399

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							2	2	\$38,625
Program Increase							0	0	\$2,399
Budget Request	0	0	43,243	0	0	37,977	2	2	\$41,024

Description of Item

The Department of Justice (DOJ) MOU Working Group performed an analysis that clarified IT services that DHS requires from DOJ and their associated costs. The working group defined the specific IT service requirements of each component currently using DOJ as the provider: USCIS, ICE, OIS, NPPD, and US-VISIT. The working group is preparing migration plans to transfer services to the Enterprise Data Center. The Department of justice (DOJ) provides the following data center services:

- Application hosting on OS/390 platform for approximately 40 applications.
- Application hosting on AIX Unix platform for approximately 25 applications.
- House DHS servers.
- Disk storage and enterprise tape backup capacity.
- Local printing services.
- Manage and operate Component-owned equipment.
- Perform transition support for de-installing, packing, and shipping systems as requested.
- Provide dedicated, separate raised-floor computer room space and utilities as requested.

Justification

The Department of Homeland Security (DHS), Office of the Chief Information Officer (OCIO), Infrastructure Services Planning and Control (ISPC) project team will monitor all work related to clarifying, analyzing, and managing data center support and services required by DHS from Department of Justice (DOJ), and all related operation, usage and storage costs. Previously, information technology (IT) services provided by DOJ included data center services, data networks wide area network (WAN) services, voice network wireless application service providers (WASP), Just Message Switch and web/internet services. However, as a result of current DHS “One Infrastructure” activities, IT services being provided by DOJ now fall within the data center services category. Therefore, the ISPC project team continues to coordinate specific IT data center service requirements for DHS Components (U.S. Immigration and Customs Enforcement, U.S. Visitor and Immigrant Status Indicator Technology, U.S. Citizenship and Immigration Services, and Office of

Immigration Statistics) currently using DOJ facilities. Also, the team assists in establishing working capital fund budget submissions and forecasts, update the data center cost allocation methodology, and update the Memorandum of Agreement between DHS and DOJ.

Impact on Performance

This increase will enable OCIO continued support of the requirements set forth by DHS, maintaining IT performance and providing services for systems users. If this increase is not received, the DHS goal “to strengthen & Unify DHS operations and management” will be compromised and will delay DHS consolidating the number of DHS IT platforms.

**Department of Homeland Security
Working Capital Fund
Justification of Program Changes**

Program Decrease 1: IAE Loans and Grants

PPA: Government-wide Mandated Service Activity

Program Decrease: Positions 0 FTE 0 Dollars (\$5)

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level				0	0	0	0	0	\$195
Program Increase							0	0	(\$5)
Budget Request	0	0	190	0	0	192	0	0	\$190

Description of Item

The Federal Funding Accountability and Transparency Act of 2006 (FFATA) requires OMB to “ensure the existence and operation of a single searchable website, accessible by the public at no cost to access” that includes information on each Federal award. The law specifically requires a unique identifier for the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity.

Justification

This activity allows loan and grant information to feed information into the FFATA portal, and the Integrated Acquisition Environment (IAE) activity has been expanded for this purpose. OMB initiated funding requests for each agency to reimburse IAE for this additional cost. This activity is a required agency activity mandated by the e-Government Act of 2002.

Impact on Performance

In addition to tracking loans and grants via DUNS numbers, this activity supports the grants management process by supporting the effort to provide business and linkage data seamlessly, resulting in higher quality data that are provided via real-time updates. This will result in a more integrated business process for buyers and sellers that promote competition, transparency and integrity.

**Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 2: CPO Shared Reporting

PPA: DHS Crosscutting Services

Program Decrease: Positions 0 FTE 0 Dollars (\$94)

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							4	4	\$5,361
Program Decrease							4	4	(\$94)
Budget Request	0	0	\$3,999	4	4	\$5,267	0	0	\$5,267

Description of Item

The CPO Shared Reporting Working Capital Account provides the DHS acquisition workforce with eProcurement systems and tools which leverage investment costs and promote competition, transparency, integrity and standardization and provides for the comprehensive management of DHS' eProcurement Portfolio, ensuring proper program development, operation and maintenance.

Justification

CPO system is the acquisition data feeder system to the Federal Procurement Data System-Next generation (FPDS-NG) that is required by statute. This data source is the primary source of all acquisition data for the federal government, used by U.S. agencies, governments around the world, the public and commercial world for panning marketing opportunities with the American government related to its \$3.10 trillion annual acquisition budget. The Acquisition Systems Branch (ASB) has the fiduciary responsibility to provide the DHS acquisition workforce with systems and tools to efficiently and effectively perform their jobs. The CPO Shared Reporting Working Capital Fund supports the activities of the ASB and, more specifically, funds the DHS eProcurement Portfolio. Centralized funding and management of the Department's eProcurement Portfolio ensures comprehensive program management throughout the systems lifecycle and results in systems and tools that meet the needs of the entire DHS enterprise.

Impact on Performance

With this decrease in funding, the ASB will continue to provide the wide-ranging acquisition systems and tools and personnel to support the contracting mission of the Department efficiently and to ultimately further the Department's ability to more effectively support response and recovery activities. CPO Shared Reporting supports the Secretary's goal to Strengthen and Unify DHS Operations and Management. It also supports the Chief Procurement Officer's goals to make good business deals; perform effective contract administration; and to build and sustain the DHS acquisition workforce. No deterioration in performance is anticipated to result from the decrease in funding. The Acquisition Systems Branch will continue to provide systems and tools which support the acquisition

mission of the Department; support the Chief Procurement Officer's priority to make good business deals and to perform effective contract administration; as well as support the Secretary's goal to Strengthen and Unify DHS Operations and Management.

**Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 3: Bankcard Services

PPA: Fee-For-Service Activity

Program Decrease: Positions 0 FTE 0 Dollars (\$493)

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$541
Program Increase							0	0	(\$493)
Budget Request	0	0	\$215	0	0	532	0	0	\$48

Description of Item

DHS has selected Customs and Border Protection (CBP) as the servicing agent to provide for a centralized invoicing and payment system for components within DHS. CBP has developed and implemented a system that supports the receipt of daily invoices for all of DHS from US Bank. This system assures payment of those invoices within one business day of receipt, and provides transmission of an electronic file containing transaction data to each component's accounting system.

Justification

The decrease changes are in regards to Payment Audit, Merchant Category Code Reviews, and Payment Process, significantly impacted the cost and audit review process, thus causing a substantial decrease in the cost of this service.

Impact on Performance

The decrease is a result of decline in number of Bankcard transactions being processed on a daily basis. The efficiency of the activity is the prompt payment and separation of data transmission to each components accounting system; therefore reducing the margin of error in procurement actions.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 4: Internal Control Audit

PPA: Fee-For-Service Activity

Program Decrease: Positions 0 FTE 0 Dollars (\$3,173)

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$5,019
Program Increase							0	0	(\$3,173)
Budget Request	0	0	\$1,447	0	0	\$4,935	0	0	\$1,846

Description of Item

The DHS Financial Accountability Act requires an audit opinion on the Department’s Internal Controls over Financial Reporting. Due to the extent of material weaknesses, the Department’s Inspector General conducts performance audits to assess the effectiveness of DHS corrective actions in effort to comply with the Act. The Internal Control Auditor is selected through contracting procedures by the Office of Inspector General (OIG) and must stay independent from the DHS components that are being audited. The auditor selected commences work immediately and entrance conferences are held within a short time after award of the financial statement audit contract.

Justification

The decrease from \$4.935 million to \$1.846 million reflects efficiencies due to implementation of DHS corrective actions. DHS executed corrective actions and made progress on: resolving material weakness conditions, validating the effectiveness of internal controls over financial reporting and implementing the internal control audit provision of the DHS Financial Accountability Act.

Impact on Performance

With the funding level requested, DHS will continue implementing corrective actions and continue to resolve material weaknesses.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 5: e-Training

PPA: Government-wide Mandated Service Activity

Program Decrease: Positions (1) FTE (1) Dollars (\$3,626)

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							8	8	\$13,961
Program Increase							(1)	(1)	(\$3,626)
Budget Request	4	4	\$6,645	8	8	\$13,721	7	7	\$10,335

Description of Item

The DHS e-Training initiative is focused on strengthening and unifying DHS operations and management by taking an earned value approach to Information Technology Portfolio Management (IT PFM) in support of employee learning and development (L&D). Through consolidated systems and aligned business processes, the Advanced Distributed Learning Program Management Function (ADL PMF) within the Office of the Chief Human Capital Officer (OCHCO) serves to eliminate Department redundancies while increasing overall access to the highest quality ADL products and services. e-Training directly supports several government-wide initiatives as explained below. This activity benefits the Federal government, the Department, and the individual employee by:

- Reducing redundancies and achieving economies of scale in the purchase, deployment, and management of ADL technology infrastructure (e.g., Learning Management Systems (LMS), Learning Content Management Systems (LCMS) and/or other Information Technology (IT) hardware/software for Human Capital Performance Support (HCPS) tools), and the consolidation and/or sharing of hardware/software;
- Reducing redundancies and achieving economies of scale in the purchase and/or development of e-Learning courses and content (e.g., commercial-off-the-shelf (COTS) or custom-developed content to meet specific agency needs);
- Leveraging components of existing learning systems (e.g., LMS, LCMS, IT hardware, or HCPS tools) where clear value propositions exist;
- Offering user-friendly, one-stop access to a robust and high-quality learning environment;
- Encouraging ADL investments as part of a strategic, systematic, and continuous development of DHS human capital; and
- Fostering communication between Federal Human Resources Development (HRD) practitioners government-wide to identify, prioritize and develop solutions to issues of interest within the community, and to share best practices and resources where synergies are evident.

Justification

FY 2011 requests funding for an expected stabilization of licensing support costs and an increase in dependency on centralized custom courseware development being managed by the ADL PMF.

e-Training directly supports the Department's strategic human capital management activity as defined in the Homeland Security Act (HR 5005), Title XIII, Section 1304 and academic training as described in Section 1331; the President's Management Agenda for e-Gov Initiatives; both the Office of Personnel Management's e-Training and Enterprise Human Resource Integration initiatives; and, specifically, Katrina Lessons Learned Recommendation 115.³

Impact on Performance

Although there's a decrease in funding, e-training will continue to support the following critical goals:

- Supporting the President's Management Agenda (PMA), the DHS Human Capital Operations Plan (HCOP), and the DHS Learning and Development Strategic Plan for Fiscal Years 2006-2010 (specifically Goal 4, Strategy 2, and Tactic 1 which is to implement the recommendations of the ADL Enterprise Architecture Study).
- Serving is a key enabling IT component to the DHS Chief Learning Officer's Strategy for establishing a Homeland Security University System.
- Further leveraging simplicity through reductions in Department-wide Information Technology (IT) infrastructure and redundancies in DHS-wide training needs.
- Direct support of Department Information Technology Portfolio Management goals

Benefits to be derived from e-Training include:

- Increased functionality through automation of the SF-182 process
- Automated Enterprise Human Resources Integration (EHRI) reporting of training to OPM
- Access to professional development, required training, and other enterprise content
- Anticipated integration of competency management capabilities
- Enterprise-leveraged course procurement (i.e., increased buying power)
- Enterprise-leveraged course management. Preliminary analysis showed approximately 75% in cost savings through enterprise licensing of commercial-off-the-shelf (COTS) courseware versus contracting by individual Components.

These benefits will enhance the performance of the program as it will provide a seamless method to provide human capital other avenues to become more marketable. If the resources are not provided, it limits the human capital officer's ability to leverage the available technology.

3. Katrina Lessons Learned Recommendation 115: DHS should provide training, technical, and other assistance in support of other departments' and agencies' homeland security professional development programs. DHS should expand its use of innovative techniques and technologies to enhance the quality and dissemination of homeland security education and training. This may include the use of distance learning programs and interactive computer methodologies. DHS must expand its efforts to promote awareness and implementation of the NIMS and the NRP throughout Federal, State, and local governments, and private sector.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 6: Capital Planning and Investment Control

PPA: DHS Crosscutting Activity

Program Increase: Positions 0 FTE 0 Dollars (\$54)

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$7,828
Program Increase							0	0	(\$54)
Budget Request	0	0	\$5,294	0	0	\$7,697	0	0	\$7,774

Description of Item

CPIC is run jointly by the CFO, CIO, and CPO to assist the Department in carrying out its responsibilities for the quality and performance of its investment projects by providing support services and training for the Project Management Offices throughout the Department’s components. The Project Management Offices are required to prepare business cases to demonstrate to OMB that they are on-track and ready to effectively use the additional funding that they are requesting in the DHS budget submission. This Activity provides services to support these efforts, including automated tools to assist with portfolio analyses, document preparation, and document review and scoring, formal training, informational briefings, and remedial coaching to improve business case quality. It supports the Project Management Offices in preparing decision packages for DHS investment review boards at key decision points in their projects’ life cycle.

Justification

In FY2011 the CIO is leading an effort to improve DHS’s integrated program management and reporting capability, the System for Management Analysis and Resource Tracking (SMART) efficiently. SMART will realize incremental improvements to the existing DHS CPIC architecture; establish interfaces to target DHS financial, acquisition, asset management, enterprise architecture, and human resources systems, and deploy an enterprise wide Business Intelligence solution to provide comprehensive program management analysis and forecasting capability for decision support services across the Department.

In FY 2011 the funding will enhance the CPIC periodic reporting function by integrating planning, budgeting and performance reporting at the project level on a monthly basis with corresponding financial, acquisition, asset management, DHS Enterprise Architecture (EA), and human resources information. SMART will provide centralized management information services for components to manage programs and investments down to the project level and for DHS to track corresponding performance metrics at monthly intervals for tracking performance trends such as Earned Value Management (EVM) and identifying risks for early mitigation and resolution. Consolidation within SMART will save time for users by streamlining the DHS status reporting and review processes. It

will improve the quality, standardization, and consistency of program performance data across the entire department as the program managers entering corresponding performance data will have a personal stake in the quality of the data. SMART will provide integration of DHS business information and provide implementation of analytic tools that support better tracking of program performance and better decision making by senior leadership in line with the EA. The budget increase will fund:

- Component Level Reporting roll out;
- Rollout of a workflow and Project Asset Library to store and route all required documentation for review and approval;
- Integration of project performance data with target financial, acquisition, asset management, and human resources systems of records; and
- Hardware software and support services to maintain the SMART architecture

Impact on Performance

This decrease in funding reflects efficiencies and is sufficient to improve the number of DHS investments that perform within a 10 percent variance and reduce investment cost, schedule, and performance variances accordingly. It will also reduce overlap and duplication of investments; reduce reporting burdens on Components while improving data and information quality; increase alignment of DHS planning with program execution, and improve DHS Security Posture and information sharing capabilities.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 7: Financial Management Line of Business

PPA: Government-wide Mandated Service Activity

Program Decrease: Positions 0 FTE 0 Dollars (\$146)

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level				0	0		0	0	\$291
Program Increase							0	0	(\$146)
Budget Request		0	\$143	0	0	\$286	0	0	\$145

Description of Item

The Financial Management Line of Business (FMLoB) goals are to define, analyze, and implement options that will enhance cost savings in the financial management systems, provide for standardization of business processes and data models, promote seamless data exchange between Federal agencies, and strengthen internal controls through integration of core financial and subsidiary systems.

Justification

The FMLoB's current objective is to improve the cost, quality, and performance of financial management (FM) reducing the number of noncompliant systems by leveraging common standards, shared service solutions, and implementing other government-wide reforms that foster efficiencies in Federal financial operations.

Impact on Performance

The decrease in funding is a result of the standardization, consolidation and optimization for the Financial Management Line of Business. This activity will continue to accomplish its objectives and goals of improving the cost, quality and performance of financial management and reducing the number of noncompliant systems.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 8: USAJOBS (formerly Recruitment One-Stop)

PPA: Government-wide Mandated Service Activity

Program Increase: Positions 0 FTE 0 Dollars (\$4)

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FT E	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$1,212
Program Increase							0	0	(\$4)
Budget Request	0	0	\$862	0	0	\$1,191	0	0	\$1,208

Description of Item

OPM’s USAJOBS Program Office has increased the content and navigation of Veterans-focused resources; incorporated a new one-stop information center; successfully implemented e-Authentication for Federal HR users; provided a more robust and meaningful online application status tracking mechanism for job seekers; added graphics to announcements and incorporated an applicant survey to provide feedback to agencies about the application process. This program operates on a fully reimbursable basis to pay the cost of providing Federal employment information and services.

In prior years, OPM’s fee assessment was based on the number of Competitive Service employees within a given agency. Effective October 1, 2007, in accordance with CFR Title 5, Volume 1, Part 317.501(b)(2), those organizations with Executive Resource Service/Senior Executive Service positions which are required to be posted on USAJOBS must now pay a USAJOBS fee. In addition, similar per-capita staff and SES fees will be charged to excepted-service agencies which voluntarily elect to use USAJOBS. The DHS fee was calculated based upon the Department’s total “on-board” employment levels for competitive, excepted service, and ERS positions.

Justification

USAJOBS Federal Employment Information System delivers state-of-the-art on-line recruitment services to job seekers including intuitive job searching, on-line resume submission, applicant data-mining, and on-line feedback on status and eligibility. The additional funds support the USAJOBS system to deliver state-of-the-art on-line recruitment services to job seekers. OPM’s plan for USAJOBS is to complete the migration of agency job search engines, enhance website tools, and expand agency implementation of integrated job application and status tracking. Due to the fact that the majority of Federal government job announcements are posted via USAJOBS, and most job-seekers are aware of this tool, DHS will continue to be a user of this system.

Impact on Performance

Access to USAJOBS supports the DHS Strategic Goal to strengthen and unify operations and management, as well as the DHS Human Capital Operations Plan goal to “Hire and Retain a Talented and Diverse Workforce.” The FY 2011 funding request will allow DHS to continue utilizing USAJOBS to reach out to Federal job seekers. DHS’s continued use of this valuable system will support DHS efforts to promote DHS as the workplace of choice.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 9: National Capital Region Infrastructure Operations

PPA: Fee-For-Service Activity

Program Increase: Positions 21 FTE 21 Dollars (\$338)

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							9	9	\$123,387
Program Increase							21	21	(\$338)
Budget Request	3	3	\$108,725	9	9	\$121,315	30	30	123,049

Description of Item

The NCRIO serves the majority of DHS Headquarters users for network, email, internet, intranet, and telecom infrastructure, as well as all end user desktop computing, telecom, and wireless services. NCRIO's Program Management Office (PMO) coordinates management and deployment of infrastructure resources along with build-out of new facilities and provides continuous operations, help desk, vendor management, financial management, and technology evaluation.

Justification

With the growth in user demand that has been experienced in FY 2009 and FY 2010, DHS continues to realize an increased need for network storage and connectivity into FY2011. This funding request will cover the purchase and installation of additional network hardware and software to augment network capabilities and increase network utility for the users. Operational network features such as network storage capacity and connectivity will be enhanced. As a result of the IT infrastructure acceleration, an additional 21 FTE are estimated to meet requirements for the support of the infrastructure systems. DHS is slated to consolidate more systems as well as deployment of new systems; resources for build-out facilities will also require help desks, additional vendor management, and financial management. This effort will also require additional assistance for users at DHS Headquarters This initiative will result in strengthened operations and management of the DHS network

Impact on Performance

Network enhancements such as storage capacity and improved response time, will help in achieve DHS' objective of improved IT performance for system users. These user friendly enhancements also support the DHS strategic goal to Strengthen and unify DHS Operations and Management.

Department of Homeland Security

**Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 10: Flexible Spending Account Plan Fees (FSA FEDS)

PPA: Fee-For-Service Activity

Program Decrease: Positions 0 FTE 0 Dollars (\$6)

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$2,164
Program Increase							0	0	(\$6)
Budget Request	0	0	\$1,582	0	0	\$2,128	0	0	\$2,158

Description of Item

The purpose of this WCF activity is to pay fees associated with the administration of FSAFEDS. FSAFEDS is the Federal government’s Flexible Spending Account (FSA) Program designed to allow Federal employees to set aside pre-tax funds from their pay to cover health and dependent care costs not covered by any other source. Employees elect to participate in the program within 60 days of entry on duty or each year during the Federal Benefits Open Season. Once a DHS employee elects to participate in the Program, FSAFEDS receive allotments from the employee’s pay and places those allotments into an account where the funds are held. The employee then files a claim against those funds for reimbursement of incurred costs associated with health and/or dependent care.

FSAFEDS is managed by The Office of Personnel Management, with additional support of a contractor (SHPS, Inc.). This activity reimburses OPM and the vendor for administrative fees as mandated by The National Defense Authorization Act of 2004 (P.L. 108-136), which requires that agencies pay the administrative fees associated with employee participation in flexible spending account programs.

Justification

FSAs are employee-funded accounts that are used by the employee account holders to pay for medical expenses that are tax deductible, but not reimbursed by another source, as well as eligible dependent care costs. Contributions to the accounts come from an employee's pre-taxed salary; the government does not make a contribution. There are fees charged to each agency to administer these accounts on behalf of the employees.

SHPS Admin Fees- This is a fee that SHPS charges for administering the plan (i.e. call center, claims processing and reimbursement, etc)

OPM Reserve Fees- This is a contingency fund used when total claims received exceed total contributions for all agencies (basically because FSA funds are available up front in the beginning of

the plan and can be used all at once even though all payroll deductions haven't been taken from the employee's payroll)

Impact on Performance

Although there's a decrease in funding for this activity, FSA FEDS will have the capability to continue support to the gradual and consistent growth in DHS-wide participation. The payment program supports the Department's goal to Strengthen and unify DHS operations and management.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Working Capital Fund
Justification of Proposed Changes in Department of Homeland Security
Appropriation Language**

SEC. 504. The Department of Homeland Security Working Capital Fund, established pursuant to section 403 of Public Law 103-356 (31 U.S.C. 501 note), shall continue operations as a permanent working capital fund for fiscal year 2011: Provided, That none of the funds appropriated or otherwise made available to the Department of Homeland Security may be used to make payments to the Working Capital Fund, except for the activities and amounts allowed in the President's fiscal year 2011 budget: Provided further, That funds provided to the Working Capital Fund shall be available for obligation until expended to carry out the purposes of the Working Capital Fund: Provided further, That all departmental components shall be charged only for direct usage of each Working Capital Fund service: Provided further, That funds provided to the Working Capital Fund shall be used only for purposes consistent with the contributing component: Provided further, That such fund shall be paid in advance or reimbursed at rates which will return the full cost of each service: Provided further, That the Working Capital Fund shall be subject to the requirements of section 503 of this Act. Provided further, Provided further, That funds provided to the Working Capital Fund shall be available for obligation until expended to carry out the purposes of the Working Capital Fund: Provided further, That all departmental components shall be charged only for direct usage of each Working Capital Fund service: Provided further, That funds provided to the Working Capital Fund shall be used only for purposes consistent with the contributing component: Provided further, That such fund shall be paid in advance or reimbursed at rates which will return the full cost of each service: Provided further, That the Working Capital Fund shall be subject to the requirements of section 503 of this Act.

Explanation of Changes:

To extend the current language for the Working Capital Fund through FY 2011.

B: FY 2010 to FY 2011 Budget Change

**Department of Homeland Security
Working Capital Fund
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2009 Actual	310	310	\$514,187
2010 Enacted	460	426	705,462
Adjustments-to-Base			
Transfers to and from other accounts: <i>(Hide if there are no transfers)</i>			
Transfer 1.....	---	---	---
Transfer 2.....	---	---	---
Total Transfers	---	---	---
Increases			
Annualization of prior year part year funding.....	---	---	---
Annualization of 2010 pay raise.....	---	---	386
2010 pay increase.....	---	---	760
DHS Workforce Balance Strategy	---	34	---
Non-pay inflation.....	---	---	11,173
Total Increases	---	34	12,319
Decreases			
Termination of one-time costs.....	---	---	---
Management and Technology Efficiencies.....	---	---	---
Total Decreases	---	---	---
Total Adjustments-to-Base	---	34	12,319
2011 Current Services	460	460	717,781
Program Changes			
Program Increases/(Decreases)			
Fee for Service Activity	57	57	74,301
Tri-Bureau Service Activity	---	---	2,399
Government-Wide Mandated Service Activity	1	1	(4,096)
DHS Crosscutting Activity	(2)	(2)	(156)
WCF Management Activity	3	3	255
Total Program Changes	59	59	72,703
2011 Request	519	519	790,484
2010 to 2011 Total Change	59	93	85,022

C: Summary of Requirements

Department of Homeland Security
Working Capital Fund
 Summary of Requirements
 (Dollars in Thousands)

	2011 Request		
	Perm. Pos.	FTE	Amount
FY 2009 Actual	310	310	\$514,187
2010 Enacted	460	426	705,462
Adjustments-to-Base (See "FY 2010 to FY 2011 Budget Change" for details)			
Transfers	---	---	---
Increases	---	34	12,319
Decreases	---	---	---
Total Adjustments-to-Base	---	34	12,319
2011 Current Services	460	460	717,781
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	59	59	72,703
2011 Total Request	519	519	790,484
2010 to 2011 Total Change	59	93	85,022

Estimates by Program/Project Activity	2010 Enacted			2011 Adjustments to Base			2011 Program Change			2011 Request			2010 to 2011 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Fee for Service Activity	438	404	\$614,689	---	34	\$10,756	57	57	\$74,301	495	495	\$699,746	57	91	\$85,057
2 Tri-Bureau Service Activity	2	2	37,977	---	---	648	---	---	2,399	2	2	41,024	---	---	3,047
3 Government-Wide Mandated Service Activity	8	8	35,761	---	---	614	1	1	(4,096)	9	9	32,279	1	1	(3,482)
4 DHS Crosscutting Activity	4	4	15,719	---	---	272	(2)	(2)	(156)	2	2	15,835	(2)	(2)	116
5 WCF Management Activity	8	8	1,316	---	---	29	3	3	255	11	11	1,600	3	3	284
Total	460	426	\$705,462	---	34	\$12,319	59	59	\$72,703	519	519	\$790,484	59	93	\$85,022

D. Summary of Reimbursable Resources

Not Applicable to the Working Capital Fund

E: Summary of Requirements by Object Class

Department of Homeland Security
Working Capital Fund
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
11.1 Total FTE & personnel compensation	\$29,391	\$36,253	\$43,806	\$7,553
11.3 Other than full-time permanent	266	\$0	\$0	\$0
11.5 Other Personnel Compensation	997	\$1,046	\$1,199	\$153
11.8 Special Service Pay	---	\$0	\$20	\$20
12.1 Benefits	7,602	\$10,921	\$12,867	\$1,946
13.0 Benefits - former	---	\$0	\$0	\$0
Total, Personnel Comp. & Benefits	\$38,256	\$48,220	\$57,892	\$9,672
Other Object Classes:				
21.0 Travel	355	\$393	\$443	50
22.0 Transportation of things	20	\$3	\$4	1
23.1 GSA rent	51,048	\$63,529	\$94,088	30,559
23.2 Other rent	78	\$12,112	\$0	(12,112)
23.3 Communications, utilities, & other misc. charge	20,615	\$20,015	\$22,617	2,602
24.0 Printing and reproduction	347	\$88	\$48	(40)
25.1 Advisory and assistance services	50,657	\$18,369	\$14,823	(3,546)
25.2 Other services	13,325	\$92,596	\$108,065	15,469
25.3 Purchases of goods & svcs. from Gov't account	119,105	\$262,974	\$294,246	31,272
25.4 Operation & maintenance of facilities	320	\$37,590	\$40,625	3,035
25.5 Research and development contracts	---	\$0	\$0	---
25.6 Medical care	29	\$0	\$0	---
25.7 Operation and maintenance of equipment	119,646	\$70,913	\$70,771	(142)
25.8 Subsistence and support of persons	---	\$0	\$0	---
26.0 Supplies and materials	1,267	\$838	\$845	7
31.0 Equipment	99,051	\$77,822	\$86,017	8,195
41.0 Grants/Subsidies/Contributions		\$0	\$0	---
42.0 Grants/Subsidies/Contributions	67			
43.0 Interest & Dividends/ Legal Fees	---			
Total, Other Object Classes	475,931	\$657,243	\$732,592	75,349
Total, Direct Obligations	\$514,187	\$705,463	\$790,484	\$85,022
Unobligated balance, start of year	---	---	---	
Unobligated balance, end of year	---	---	---	
Recoveries of prior year obligations	---	---	---	
Total requirements	\$514,187	\$705,463	\$790,484	\$85,022

F: Permanent Positions by Grade

Department of Homeland Security Working Capital Fund Permanent Positions by Grade

Grades and Salary Ranges	2009	2010	2011	2009 to 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Total
Total, SES	2	2	2	---
Total, EX	0	0	---	---
GS-15	95	112	124	12
GS-14	86	145	183	38
GS-13	28	45	68	23
GS-12	32	43	52	9
GS-11	25	29	34	5
GS-10	0	0	---	---
GS-9	29	32	37	5
GS-8	6	7	7	---
GS-7	3	6	6	---
GS-6	2	3	4	1
GS-5	2	2	2	---
Other Graded Positions	0	0	---	---
Ungraded Positions	0	0	---	---
Total Permanent Positions	310	426	519	93
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	---	---	---	---
FTE	310	426	519	93
Headquarters	310	426	519	93
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	310	426	519	93
Average ES Salary	\$ 189,917	\$ 195,852	\$ 200,504	\$ 4,651
Average GS Salary	\$ 124,561	\$ 128,659	\$ 126,908	\$ (1,751)
Average GS Grade	13.00	13.08	13.09	0.02

G. Capital Investment and Construction Initiative Listing

Not Applicable to the Working Capital Fund

H. PPA Budget Justifications

Not Applicable to the Working Capital Fund

L: Changes in Full-Time Equivalents

**Department of Homeland Security
Working Capital Fund
Changes in Full-Time Equivalents**

	FY2009 Actual	FY 2010 Enacted	FY 2011 Request
Base: Year-end Actual from Prior Year	342	310	426
INCREASES			
Increase #1: Description: Fee For Service Activities		110	91
Increase #2: Description: Tri-Bureau Activities			
Increase #3: Description: Government-Wide Activities		2	1
Increase #4: Description: DHS Cross Cutting Activities		4	-2
Increase #5 Description: WCF Management			3
Sub-Total Increases		116	93
DECREASES			
Decrease #1: Description: Fee For Service Activities	24		
Decrease #2: Description: Tri-Bureau Activities	2		
Decrease #3: Description: Government-Wide Activities	2		
Decrease #4: Description: DHS Cross Cutting Activities	4		
Sub-Total Decreases	32		
Year-end Actual/Estimated FTEs	310	426	519
Net Change from prior year base to Budget Year Estimate:		84	93

J. FY 2011 Schedule of Working Capital Fund by Program/Project Activity
1. Program/Project Activity (dollars in thousands)

Fee for Service Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Delta FY 2010 - FY 2011	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
GSA RENT	1	48,422	5	75,606	7	94,088	2	18,482
FEDLINK/(Library of Congress)	1	10,671	4	11,203	5	22,028	1	10,825
Financial Management (Finance & Acctg Shared Services)	-	26,413	-	22,657	-	31,271	-	8,614
Financial Statement Audit	-	13,544	-	15,552	-	18,806	-	3,254
Internal Control Audit	-	1,447	-	4,935	-	1,846	-	(3,089)
Financial Management	9	3,943	13	4,267	15	4,140	2	(127)
Bankcard Program	-	215	-	532	-	48	-	(484)
TIER	-	666	-	722	-	882	-	160
NFC Payroll Services & Reporting	-	32,344	-	35,045	-	38,560	-	3,515
HQ Human Capital	33	6,477	51	14,324	51	14,619	-	295
HCBS/Payroll Service Ops	16	6,244	24	7,809	24	11,254	-	3,445
Flexible Spending Plan	-	1,582	-	2,128	-	2,158	-	30
DHS Executive Leadership Development/Secretary's Leadership Conference	2	455	2	973	2	994	-	21
HQ Executive Leadership Development (TEI; SES FORUM and General Workforce Trng)	-	282	-	306	-	307	-	1
Employee Assistance Program	-	51	-	61	-	61	-	-
CIO/DHS Infrastructure Transf Pgm	8	51,237	18	52,649	36	53,422	18	773
NCR Infrastructure Operations	3	108,725	35	121,315	70	123,049	35	1,734
- Software Enterprise Licenses - Microsoft	-	51,960	2	46,474	4	54,562	2	8,088
Procurement Operations	225	44,090	250	48,131	281	49,112	31	981
Data Center Consolidation				150,000		178,540		28,540
Sub-Total	298	408,768	404	614,689	495	699,746	91	85,057
Tri-Bureau Service Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Delta FY 2010 - FY 2011	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Tri-bureau Human Resources Shared Services	-	20,730	-	-	-	-	-	-
IT Services from DOJ	-	43,243	2	37,977	2	41,024	-	3,047
Sub-Total	-	63,973	2	37,977	2	41,024	-	3,047

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity

Fee for Service Activities	CBP	FLETC	ICE	TSA
GSA RENT	-	-	-	-
Consolidated Subscriptions (Library of Congress)	2,861,581	148,126	2,377,966	535,205
Financial Management (Finance & Acctg Shared Services)	-	-	-	-
Financial Statement Audit	2,590,304	665,868	1,747,480	1,697,418
Financial Management (OFO)	-	-	-	-
Bankcard Program	77,381	8,585	38,940	26,809
TIER	47,606	47,606	47,606	47,606
Internal Control Audit	212,828	37,462	208,353	200,577
NFC Payroll Services & Reporting	10,363,517	223,916	3,727,588	10,709,743
HQ Human Capital Services	-	-	-	-
(HCBS) Payroll Service Ops	1,663,246	45,681	760,431	2,184,833
Flexible Spending Plan	416,629	14,167	227,599	371,522
DHS EXEC. LEAD. (SES CDP, Sec Conf)	60,993	5,030	37,728	97,463
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	-	-	-	-
Employee Assistance Program	-	-	-	-
CIO/DHS Infrastructure Transf Pgm	13,923,626	378,839	4,665,427	7,805,119
NCR Infrastructure Operations	-	-	-	-
Software Enterprise Licenses - Microsoft	10,997,713	534,224	4,638,992	10,522,744
Office of Procurement	0	0	0	0
Board of Contract Appeals	0	0	0	0
Sub-Total	43,215,424	2,109,504	18,478,109	34,199,038
Tri-Bureau Activities	CBP	FLETC	ICE	TSA
Tri-Bureau Human Recourses Shared Services	-	-	15,616,305	-
Data Center Services from DOJ	-	-	22,470,787	-
Sub-Total	0	0	38,087,092	0
Government-wide Mandated Service Activities	CBP	FLETC	ICE	TSA
Interagency Council Funding	275,910	5,960	129,655	100,484
Recruitment One-Stop	290,524	6,277	101,660	299,931
e-Training	1,714,750	37,049	616,768	1,772,037
Enterprise HR Integration (EHR)	1,243,740	26,872	435,211	1,284,012
Business Gateway	0	0	0	0
e-Rulemaking	197,428	4,265	92,775	71,903
Case Management Line of Business	0	0	0	0
e-Grants.gov	-	-	1,301	26,448
e-Authentication	16	-	6	16
Human Resources Line of Business	87,950	1,900	30,774	90,794
e-govBenefits	46,789	1,012	16,374	48,306
Financial Management Line of Business	44,345	959	20,839	16,150
e-gov.Integrated Acquisition Environment	-	-	-	-
e-gov. Disaster Management (DisasterHelp.gov)	225,724	62,194	236,643	220,764
IAE Loans & Grants	1,015,972	-	1,015,972	1,055,048
IT Infrastructure LOB	-	-	326	6,637
Budget Formulation and Execution LOB	29,486	637	13,858	10,740
Geospatial LOB	19,244	416	9,044	7,009
Sub-Total	5,191,878	147,541	2,721,206	5,010,279
DHS Crosscutting Activities	CBP	FLETC	ICE	TSA
Capital Planning and Investment Control (CPIC)	741,139	169,048	285,426	782,409
Ready Campaign (Ready.gov)	195,679	4,227	91,954	71,267
Strategic Sourcing	426,270	101,149	158,948	520,193
CPO Shared Reporting	61,772	188,705	842,218	60,042
Sub-Total	1,424,860	463,129	1,378,546	1,433,911
WCF Management Activity	CBP	FLETC	ICE	TSA
Working Capital Fund Operations	98,225	6,092	139,847	78,527
Sub-Total	98,225	6,092	139,847	78,527
New Requests	CBP	FLETC	ICE	TSA
Sub-Total New Requests	0	0	0	0
FY WCF Final Total	49,930,386	2,726,266	60,804,800	40,721,754

Fee for Service Activities	FEMA	NPPD	OHA	Operations Coord & Intel & Analysis	OIG
GSA RENT	-	4,840,765	2,464,632	9,449,403	-
Consolidated Subscriptions (Library of Congress)	232,912	35,166	-	295,769	107,948
Financial Management (Finance & Acctg Shared Services)	-	2,912,038	305,425	1,324,998	-
Financial Statement Audit	2,829,412	55,770	48,386	42,502	48,386
Financial Management (OFO)			47,401		
Bankcard Program	20,165	800	8,595	800	2,946
TIER	47,606		47,606	47,606	47,606
Internal Control Audit	267,439	7,511	2,391	7,511	2,987
NFC Payroll Services & Reporting	1,419,698	10,459	110,571	117,614	81,327
HQ Human Capital Services		1,121,406	1,034,940	1,067,809	761,220
(HCBS) Payroll Service Ops	289,620	2,149	22,533	18,849	16,578
Flexible Spending Plan	96,097	1,710		16,647	10,311
DHS EXEC. LEAD. (SES CDP, Sec Conf)	38,357	1,886	15,720	7,545	20,122
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)		4,103	34,193		43,767
Employee Assistance Program		798	8,441		6,209
CIO/DHS Infrastructure Transf Pgm	2,395,394	252,679	-	35,375	308,268
NCR Infrastructure Operations	-	16,963,029	2,722,460	22,682,223	24,205
Software Enterprise Licenses - Microsoft	3,881,421			-	254,813
Office of Procurement	322,256	7,921,785	1,610,505	2,772,021	0
Board of Contract Appeals	0	0	0	0	0
Sub-Total	11,840,376	34,132,055	8,483,800	37,886,673	1,736,693
Tri-Bureau Activities	FEMA	NPPD	OHA	Operations Coord & Intel & Analysis	OIG
Tri-Bureau Human Recourses Shared Services					
Data Center Services from DOJ					
Sub-Total	0	0	0	0	0
Government-wide Mandated Service Activities	FEMA	NPPD	OHA	Operations Coord & Intel & Analysis	OIG
Interagency Council Funding	18,105	15,852	3,198	8,535	2,688
Recruitment One-Stop	14,882	3,255	293	3,100	-
e-Training	234,904	221,520	16,802	177,628	188,944
Enterprise HR Integration (EHR)	63,710	13,936	1,255	13,270	-
Business Gateway	0	0	0	0	0
e-Rulemaking	12,954	11,343	2,289	6,107	1,923
Case Management Line of Business	0	0	0	0	0
e-Grants.gov	713,075	-	-	4,327	-
e-Authentication	1	-	-	-	-
Human Resources Line of Business	4,505	985	89	938	0
e-govBenefits	2,398	524	47	499	-
Financial Management Line of Business	2,910	2,548	514	1,371	432
e-gov.Integrated Acquisition Environment	508,257	-	-	-	-
e-gov. Disaster Management (DisasterHelp.gov)	5,744,150	-	-	625,214	-
IAE Loans & Grants	178,927	-	-	1,086	-
IT Infrastructure LOB	-				
Budget Formulation and Execution LOB	1,935	1,694	342	912	287
Geospatial LOB	1,263	1,106	223	595	187
Sub-Total	7,501,976	272,763	25,052	843,582	194,461
DHS Crosscutting Activities	FEMA	NPPD	OHA	Operations Coord & Intel & Analysis	OIG
Capital Planning and Investment Control (CPIC)	472,891	687,799	-	163,373	3,972
Ready Campaign (Ready.gov)	12,840	11,244	2,268	6,051	1,906
Strategic Sourcing	14,450	723	-	-	3,612
CPO Shared Reporting	1,233,280	-	-	-	-
Sub-Total	1,733,461	699,766	2,268	169,424	9,490
WCF Management Activity	FEMA	NPPD	OHA	Operations Coord & Intel & Analysis	OIG
Working Capital Fund Operations	30,767	95,504	10,527	91,266	5,641
Sub-Total	30,767	95,504	10,527	91,266	5,641
New Requests	FEMA	NPPD	OHA	Operations Coord & Intel & Analysis	OIG
Sub-Total New Requests	0			0	0
FY WCF Final Total	21,106,580	35,200,088	8,521,647	38,990,945	1,946,285

Fee for Service Activities	S&T	DNDO	USCG	USCIS	USSS
GSA RENT	2,362,448	4,010,975	-	4,443,478	-
Consolidated Subscriptions (Library of Congress)	295,769	84,033	539,946	2,012,502	142,244
Financial Management (Finance & Acctg Shared Services)	3,796,172	-	-	10,730,242	-
Financial Statement Audit	26,984	-	2,711,967	887,192	82,309
Financial Management (OFO)					
Bankcard Program	800	2,033	12,123	7,824	993
TIER		47,606	47,606	47,606	47,606
Internal Control Audit		318,469	122,510	11,826	6,281
NFC Payroll Services & Reporting	25,828	1,393,016	2,286,971	1,430,157	21,773
HQ Human Capital Services	785,396				203,791
(HCBS) Payroll Service Ops	5,280	284,156	466,573	285,138	4,421
Flexible Spending Plan	2,661	101,615	152,099	109,372	
DHS EXEC. LEAD. (SES CDP, Sec Conf)	5,659	8,803	28,925	29,553	3,773
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	12,310				8,206
Employee Assistance Program	1,972				1,662
CIO/DHS Infrastructure Transf Pgm	1,248,233	-	7,448,970	4,992,933	1,308,876
NCR Infrastructure Operations	12,227,064	4,609,837	-	-	-
Software Enterprise Licenses - Microsoft	393,306	-	12,363,192	4,152,478	1,050,440
Office of Procurement	9,527,134	4,437,240	-	862,342	0
Board of Contract Appeals	-	-	-	-	0
Sub-Total	30,717,016	15,297,783	26,180,880	30,002,644	2,882,375
Tri-Bureau Activities	S&T	DNDO	USCG	USCIS	USSS
Tri-Bureau Human Recourses Shared Services				5,113,771	
Data Center Services from DOJ				10,687,609	
Sub-Total	0	0	0	15,801,380	0
Government-wide Mandated Service Activities	S&T	DNDO	USCG	USCIS	USSS
Interagency Council Funding	21,670	15,238	205,841	4,935	43,634
Recruitment One-Stop	2,280	724	39,051	50,516	40,092
e-Training	130,649	41,492	353,185	378,403	236,634
Enterprise HR Integration (EHR)	9,760	3,100	167,178	216,261	171,635
Business Gateway	0	0	0	0	0
e-Rulemaking	15,506	10,904	147,291	3,532	31,222
Case Management Line of Business	0	0	0	0	0
e-Grants.gov	2,751	-	8,458	-	534
e-Authentication	-	-	2	3	2
Human Resources Line of Business	690	219	11,821	15,292	12,137
e-govBenefits	367	116	6,290	8,137	6,458
Financial Management Line of Business	3,483	2,449	33,083	793	7,013
e-gov.Integrated Acquisition Environment	-	-	611,537	63,030	37,142
e-gov. Disaster Management (DisasterHelp.gov)	195,379	-	1,797,489	507,986	273,531
IAE Loans & Grants	690	-	2,122	-	134
IT Infrastructure LOB	-	-	-	-	-
Budget Formulation and Execution LOB	2,316	1,629	22,000	527	4,664
Geospatial LOB	1,512	1,063	14,358	345	3,044
Sub-Total	387,053	76,934	3,419,706	1,249,760	867,876
DHS Crosscutting Activities	S&T	DNDO	USCG	USCIS	USSS
Capital Planning and Investment Control (CPIC)	171,936	154,758	576,063	472,891	60,201
Ready Campaign (Ready.gov)	15,369	10,808	145,987	3,500	30,945
Strategic Sourcing	2,891	-	57,800	101,149	57,800
CPO Shared Reporting	-	-	168,138	99,708	10,190
Sub-Total	190,196	165,566	947,988	677,248	159,136
WCF Management Activity	S&T	DNDO	USCG	USCIS	USSS
Working Capital Fund Operations	76,965	25,415	53,669	109,634	12,168
Sub-Total	76,965	25,415	53,669	109,634	12,168
New Requests	S&T	DNDO	USCG	USCIS	USSS
Sub-Total New Requests	0	0	0	0	0
FY WCF Final Total	31,371,230	15,565,698	30,602,243	47,840,666	3,921,555

Fee for Service Activities	US VISIT	Office of the Undersecretary (USM)	OSEM	Chief Financial Officer	Chief Information Officer	Total
GSA RENT	-	10,792,987	7,335,452	2,491,176	230,376	48,421,692
Consolidated Subscriptions (Library of Congress)	15,402	533,305	362,148	81,645	9,975	10,671,642
Financial Management (Finance & Acctg Shared Services)	2,693,908	1,993,294	670,667	212,665	1,692,897	26,332,306
Financial Statement Audit	55,770	-	-	27,199	27,199	13,544,146
Financial Management (OFO)	-	1,826,373	1,415,808	337,511	315,738	3,942,831
Bankcard Program	4,227	-	-	0	0	213,023
TIER	-	47,612	-	40,087	0	658,971
Internal Control Audit	-	17,465	17,465	272,000	0	1,713,074
NFC Payroll Services & Reporting	78,979	26,469	20,065	12,866	12,458	32,073,015
HQ Human Capital Services	739,243	247,746	187,808	588,027	223,540	6,960,927
(HCBS) Payroll Service Ops	16,148	5,403	4,114	5,916	4,484	6,085,554
Flexible Spending Plan	10,463	2,227	2,519	1,901	1,441	1,538,979
DHS EXEC. LEAD. (SES CDP, Sec Conf)	15,091	5,031	5,030	11,694	10,241	408,645
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	32,826	10,941	10,941	9,933	11,353	178,574
Employee Assistance Program	6,030	2,020	1,532	1,492	1,131	31,287
CIO/DHS Infrastructure Transf Pgm	-	-	-	0	6,473,631	51,237,367
NCR Infrastructure Operations	196,870	11,951,185	9,575,792	3,536,297	24,146,775	108,635,737
Software Enterprise Licenses - Microsoft	-	-	-	0	3,170,856	51,960,178
Office of Procurement	6,376,948	2,740,392	232,517	984,579	6,302,051	44,089,770
Board of Contract Appeals	0	0	0	0	0	0
Sub-Total	10,241,905	30,202,451	19,841,859	8,614,988	42,634,145	408,697,718
Tri-Bureau Activities	US VISIT	Office of the Undersecretary (USM)	OSEM	Chief Financial Officer	Chief Information Officer	Total
Tri-Bureau Human Recourses Shared Services	-	-	-	0	0	20,730,076
Data Center Services from DOJ	9,189,089	-	895,032	0	0	43,242,517
Sub-Total	9,189,089	0	895,032	0	0	63,972,593
Government-wide Mandated Service Activities	US VISIT	Office of the Undersecretary (USM)	OSEM	Chief Financial Officer	Chief Information Officer	Total
Interagency Council Funding	9,831	8,796	4,404	1,225	12,878	888,839
Recruitment One-Stop	610	3,117	3,866	946	694	861,818
e-Training	34,977	177,286	218,091	54,181	40,120	6,645,419
Enterprise HR Integration (EHR)	2,613	13,347	16,293	4,048	2,972	3,689,213
Business Gateway	0	0	0	0	0	0
e-Rulemaking	7,034	7,344	2,104	877	9,216	636,017
Case Management Line of Business	0	0	0	0	0	0
e-Grants.gov	-	-	200	0	0	757,094
e-Authentication	0	0	0	0	0	47
Human Resources Line of Business	185	1,151	955	275	210	260,870
e-govBenefits	98	498	613	151	112	138,789
Financial Management Line of Business	1,580	1,412	708	198	2,070	142,857
e-gov.Integrated Acquisition Environment	-	305,229	-	0	0	2,270,520
e-gov Disaster Management (DisasterHelp.gov)	-	-	39,075	0	0	12,269,816
IAE Loans & Grants	-	-	51	0	0	189,973
IT Infrastructure LOB	-	-	-	-	-	0
Budget Formulation and Execution LOB	1,051	942	472	131	1,377	95,000
Geospatial LOB	685	613	307	87	899	62,000
Sub-Total	58,664	519,735	287,139	62,119	70,548	28,908,272
DHS Crosscutting Activities	US VISIT	Office of the Undersecretary (USM)	OSEM	Chief Financial Officer	Chief Information Officer	Total
Capital Planning and Investment Control (CPIC)	60,150	51,586	-	64,792	375,393	5,293,826
Ready Campaign (Ready.gov)	6,971	7,274	2,088	867	9,134	630,379
Strategic Sourcing	-	-	-	0	0	1,444,985
CPO Shared Reporting	-	1,334,925	-	0	0	3,998,978
Sub-Total	67,121	1,393,785	2,088	65,659	384,527	11,368,168
WCF Management Activity	US VISIT	Office of the Undersecretary (USM)	OSEM	Chief Financial Officer	Chief Information Officer	Total
Working Capital Fund Operations	31,226	78,879	41,479	14,364	109,589	1,239,778
Sub-Total	31,226	78,879	41,479	14,364	109,589	1,239,778
New Requests	US VISIT	Office of the Undersecretary (USM)	OSEM	Chief Financial Officer	Chief Information Officer	Total
Sub-Total New Requests	0	0	0	0	0	0
FY WCF Final Total	19,588,005	32,194,850	21,067,597	8,757,130	43,198,809	514,186,528

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

Department of Homeland Security
 FY 2010 Working Capital Fund Updated OMB Request by PPA

Manager	Fee for Service Activity	CBP - FY10 Enacted	FLETC - FY10 Enacted	ICE - FY10 Enacted
CAO	GSA RENT	0	0	0
CAO	Consolidated Subscriptions (Library of Congress)	3,011,010	193,103	2,457,504
CFO	Financial Management (Finance & Acctg Shared Services)	0	0	0
CFO	Financial Statement Audit	2,714,622	692,174	2,763,162
CFO	Internal Control Audit	880,113	230,001	1,094,851
CFO	Financial Management (OFO)	0	0	0
CFO	Bankcard Program	125,151	4,923	47,588
CFO	TIER	51,575	51,575	51,575
CHCO	NFC Payroll Services & Reporting	10,115,733	259,962	3,594,784
CHCO	HQ Human Capital Services	0	0	0
CHCO	(HCBS) Payroll Service Ops	2,501,000	54,037	899,567
CHCO	Flexible Spending Plan	681,454	14,724	245,108
CHCO	DHS EXEC. LEAD. (SES CDP, Sec Conf)	88,992	14,273	107,036
CHCO	HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	0	0	0
CHCO	Employee Assistance Program	0	0	0
CIO	CIO/DHS Infrastructure Transf Pgm	12,483,142	279,041	5,770,360
CIO	NCR Infrastructure Operations	0	0	0
CIO	Software Enterprise Licenses - Microsoft	10,635,646	493,938	3,530,093
CPO	Procurement Operations	0	0	0
CIO	Data Center Consolidation	33,650,000	0	23,850,000
	Fee-for Service Sub-Total	76,938,438	2,287,751	44,411,628
Manager	Tri-Bureau Service Activity	CBP - FY10 Enacted	FLETC - FY10 Enacted	ICE - FY10 Enacted
CHCO	Tri-Bureau Human Resources Shared Services	0	0	0
CIO	Data Center Services from DOJ	0	0	17,609,981
	Tri-Bureau Sub-Total	0	0	17,609,981
Manager	Government-wide Mandated Service Activity	CBP - FY10 Enacted	FLETC - FY10 Enacted	ICE - FY10 Enacted
CFO	Interagency Council Funding	174,416	5,220	82,702
CHCO	Recruitment One-Stop	381,408	8,241	137,186
CIO - CHCO	e-Training	4,410,060	95,284	1,586,227
CIO - CHCO	Enterprise HR Integration (EHRI)	1,205,031	26,036	433,430
CIO	Business Gateway	0	0	0
CIO	e-Rulemaking	222,295	6,652	105,402
CIO	e-Travel	0	0	0
CIO	Case Management Line of Business	0	0	0
CIO	e-Grants.gov	0	0	1,065
CIO	e-Authentication	0	0	0
CIO - CHCO	Human Resources Line of Business	85,210	1,841	30,648
CIO	e-govBenefits	0	0	0
CIO	Financial Management Line of Business	83,055	2,486	39,382
CIO	Geospatial LOB	18,935	567	8,978
CIO	IT Infrastructure LOB	0	0	0
CIO	Budget Formulation & Execution LOB	28,169	843	13,356
CIO - CPO	e-gov.Integrated Acquisition Environment	202,209	53,998	226,397
CIO - S & T	e-gov. Disaster Management (DisasterHelp.gov)	1,036,307	0	1,036,307
CIO	IAE Loans & Grants	61,444	1,328	22,100
CIO	Grants Management Line of Business	0	0	0
	Gov Mandated Sub-Total	7,908,539	202,496	3,723,180
Manager	DHS Crosscutting Activity	CBP - FY10 Enacted	FLETC - FY10 Enacted	ICE - FY10 Enacted
CIO	Capital Planning and Investment Control (CPIC)	1,202,022	187,174	377,846
CIO	Ready Campaign (Ready.gov)	0	0	0
CPO	Strategic Sourcing	551,024	192,858	303,063
CPO	CPO Shared Reporting	406,560	252,616	961,035
CPO	Competitive Sourcing	0	0	0
	DHS Crosscutting Sub-Total	2,159,606	632,648	1,641,944
Manager	WCF Management Activity	CBP - FY10 Enacted	FLETC - FY10 Enacted	ICE - FY10 Enacted
CFO	Working Capital Fund Operations	117,765	7,226	160,134
	WCF Mgt Sub-Total	117,765	7,226	160,134
	Continuing Activities Sub-Total	87,124,348	3,130,121	67,546,867

Department of Homeland Security
 FY 2010 Working Capital Fund Updated OMB Request by PPA

Fee for Service Activity	TSA-FY10 Enacted	FEMA - FY10 Enacted	NPPD - FY10 Enacted	Office of Health Affairs- FY10 Enacted
GSA RENT	0	0	16,897,235	2,379,612
Consolidated Subscriptions (Library of Congress)	491,820	269,920	47,524	3,694
Financial Management (Finance & Acctg Shared Services)	0	0	2,312,371	551,232
Financial Statement Audit	2,083,224	3,136,822	57,712	107,342
Internal Control Audit	638,176	783,378	0	0
Financial Management (OFO)	0	0	0	200,469
Bankcard Program	41,220	14,449	1,381	0
TIER	51,575	51,575	51,575	0
NFC Payroll Services & Reporting	13,753,550	2,054,163	77,008	5,841
HQ Human Capital Services	0	214,764	2,265,631	272,787
(HCBS) Payroll Service Ops	2,584,549	342,609	33,277	2,524
Flexible Spending Plan	704,220	93,352	9,067	688
DHS EXEC. LEAD. (SES CDP, Sec Conf)	74,162	108,820	48,167	5,354
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	0	0	68,230	5,176
Employee Assistance Program	0	0	12,225	925
CIO/DHS Infrastructure Transf Pgm	9,060,939	3,990,815	4,396,214	0
NCR Infrastructure Operations	0	0	19,303,450	3,448,430
Software Enterprise Licenses - Microsoft	11,354,273	3,113,969	0	0
Procurement Operations	0	240,000	8,686,256	1,760,022
Data Center Consolidation	8,800,000	5,900,000	8,000,000	0
Fee-for Service Sub-Total	49,637,708	20,314,636	62,267,323	8,744,096
Tri-Bureau Service Activity	TSA-FY10 Enacted	FEMA - FY10 Enacted	NPPD - FY10 Enacted	Office of Health Affairs- FY10 Enacted
Tri-Bureau Human Resources Shared Services	0	0	0	0
Data Center Services from DOJ	0	0	0	0
Tri-Bureau Sub-Total	0	0	0	0
Government-wide Mandated Service Activity	TSA-FY10 Enacted	FEMA - FY10 Enacted	NPPD - FY10 Enacted	Office of Health Affairs- FY10 Enacted
Interagency Council Funding	73,522	13,247	11,599	2,340
Recruitment One-Stop	394,151	52,249	5,075	385
e-Training	4,557,393	604,134	58,678	4,451
Enterprise HR Integration (EHR)	1,245,290	165,077	16,034	1,216
Business Gateway	0	0	0	0
e-Rulemaking	93,703	16,883	14,783	2,982
e-Travel	0	0	0	0
Case Management Line of Business	0	0	0	0
e-Grants.gov	21,644	583,538	0	0
e-Authentication	0	0	0	0
Human Resources Line of Business	88,054	11,673	1,134	86
e-govBenefits	0	0	0	0
Financial Management Line of Business	35,011	6,308	5,523	1,114
Geospatial LOB	7,982	1,438	1,259	254
IT Infrastructure LOB	0	0	0	0
Budget Formulation & Execution LOB	11,874	2,139	1,873	378
e-gov.Integrated Acquisition Environment	148,547	207,592	0	0
e-gov. Disaster Management (DisasterHelp.gov)	1,076,165	5,859,120	0	0
LAE Loans & Grants	63,497	9,235	0	62
Gramts Management Line of Business	0	0	0	0
Gov Mandated Sub-Total	7,816,833	7,532,633	115,958	13,268
DHS Crosscutting Activity	TSA-FY10 Enacted	FEMA - FY10 Enacted	NPPD - FY10 Enacted	Office of Health Affairs- FY10 Enacted
Capital Planning and Investment Control (CPIC)	1,285,988	809,045	548,401	87,464
Ready Campaign (Ready.gov)	0	0	0	0
Strategic Sourcing	991,842	0	0	0
CPO Shared Reporting	298,669	811,312	0	0
Competitive Sourcing	0	0	0	0
DHS Crosscutting Sub-Total	2,576,499	1,620,357	548,401	87,464
WCF Management Activity	TSA-FY10 Enacted	FEMA - FY10 Enacted	NPPD - FY10 Enacted	Office of Health Affairs- FY10 Enacted
Working Capital Fund Operations	94,292	58,886	109,150	23,550
WCF Mgt Sub-Total	94,292	58,886	109,150	23,550
Continuing Activities Sub-Total	60,125,332	29,526,512	63,040,832	8,868,378

Fee for Service Activity	Operations Coord & Intel & Analysis - FY10 Enacted	IG - FY10 Enacted	S&T - FY10 Enacted	DNDO - FY10 Enacted
GSA RENT	8,910,461	0	7,694,944	4,328,137
Consolidated Subscriptions (Library of Congress)	308,280	117,234	275,328	91,273
Financial Management (Finance & Acctg Shared Services)	1,349,000	0	3,032,664	0
Financial Statement Audit	46,088	53,721	31,264	0
Internal Control Audit	0	0	0	0
Financial Management (OFO)	0	0	0	0
Bankcard Program	606	0	1,610	66
TIER	51,575	51,575	51,575	0
NFC Payroll Services & Reporting	61,749	121,189	45,418	14,424
HQ Human Capital Services	1,829,316	0	1,669,880	524,734
(HCBS) Payroll Service Ops	26,683	28,383	19,626	6,233
Flexible Spending Plan	7,271	7,734	5,348	1,698
DHS EXEC. LEAD. (SES CDP, Sec Conf)	44,599	21,409	57,087	16,057
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	54,715	0	40,244	12,781
Employee Assistance Program	9,803	0	7,210	2,290
CIO/DHS Infrastructure Transf Pgm	821,329	273,776	742,355	168,478
NCR Infrastructure Operations	23,515,217	24,607	14,438,067	5,524,574
Software Enterprise Licenses - Microsoft	0	0	512,941	0
Procurement Operations	3,220,507	0	10,743,026	4,554,237
Data Center Consolidation	0	0	0	0
Fee-for Service Sub-Total	40,257,199	699,628	39,368,588	15,244,982
Tri-Bureau Service Activity	Operations Coord & Intel & Analysis - FY10 Enacted	IG - FY10 Enacted	S&T - FY10 Enacted	DNDO - FY10 Enacted
Tri-Bureau Human Resources Shared Services	0	0	0	0
Data Center Services from DOJ	0	0	0	0
Tri-Bureau Sub-Total	0	0	0	0
Government-wide Mandated Service Activity	Operations Coord & Intel & Analysis - FY10 Enacted	IG - FY10 Enacted	S&T - FY10 Enacted	DNDO - FY10 Enacted
Interagency Council Funding	6,244	1,967	15,856	11,149
Recruitment One-Stop	4,069	4,329	2,993	951
e-Training	47,052	0	34,608	10,991
Enterprise HR Integration (EHRI)	12,857	13,676	9,456	3,003
Business Gateway	0	0	0	0
e-Rulemaking	7,958	2,506	20,208	14,210
e-Travel	0	0	0	0
Case Management Line of Business	0	0	0	0
e-Grants.gov	3,541	0	2,251	0
e-Authentication	0	0	0	0
Human Resources Line of Business	909	967	669	212
e-govBenefits	0	0	0	0
Financial Management Line of Business	2,973	936	7,550	5,309
Geospatial LOB	678	213	1,721	1,210
IT Infrastructure LOB	0	0	0	0
Budget Formulation & Execution LOB	1,008	318	2,561	1,801
e-gov.Integrated Acquisition Environment	0	0	0	0
e-gov. Disaster Management (DisasterHelp.gov)	637,727	0	199,290	0
IAE Loans & Grants	656	697	482	153
Grants Management Line of Business	0	0	0	0
Gov Mandated Sub-Total	725,672	25,609	297,645	48,989
DHS Crosscutting Activity	Operations Coord & Intel & Analysis - FY10 Enacted	IG - FY10 Enacted	S&T - FY10 Enacted	DNDO - FY10 Enacted
Capital Planning and Investment Control (CPIC)	284,259	12,245	201,168	274,638
Ready Campaign (Ready.gov)	0	0	0	0
Strategic Sourcing	0	0	137,756	0
CPO Shared Reporting	0	0	0	0
Competitive Sourcing	0	0	0	0
DHS Crosscutting Sub-Total	284,259	12,245	338,924	274,638
WCF Management Activity	Operations Coord & Intel & Analysis - FY10 Enacted	IG - FY10 Enacted	S&T - FY10 Enacted	DNDO - FY10 Enacted
Working Capital Fund Operations	97,802	6,742	89,420	30,917
WCF Mgt Sub-Total	97,802	6,742	89,420	30,917
Continuing Activities Sub-Total	41,364,932	744,224	40,094,577	15,599,526

Department of Homeland Security
 FY 2010 Working Capital Fund Updated OMB Request by PPA

Fee for Service Activity	USCG - FY10 Enacted	USCIS - FY10 Enacted	USSS - FY10 Enacted	US VISIT - FY10 Enacted
GSA RENT	0	0	0	0
Consolidated Subscriptions (Library of Congress)	548,213	2,150,770	186,489	16,522
Financial Management (Finance & Acctg Shared Services)	0	8,968,260	0	1,751,740
Financial Statement Audit	2,970,398	707,536	65,594	57,712
Internal Control Audit	1,035,133	226,819	0	0
Financial Management (OFO)	0	0	0	0
Bankcard Program	266,536	14,248	9,429	186
TIER	51,575	51,574	51,574	51,574
NFC Payroll Services & Reporting	1,741,561	2,134,367	884,408	12,159
HQ Human Capital Services	0	0	0	354,505
(HCBS) Payroll Service Opr	336,172	551,907	345,136	5,254
Flexible Spending Plan	91,598	150,380	94,040	1,432
DHS EXEC. LEAD. (SES CDP, Sec Conf)	24,977	82,061	83,845	10,705
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	0	0	0	10,774
Employee Assistance Program	0	0	0	1,930
CIO/DHS Infrastructure Transf Pgm	5,554,498	3,158,956	974,011	0
NCR Infrastructure Operations	0	0	0	150,604
Software Enterprise Licenses - Microsoft	9,467,164	2,921,496	2,116,701	0
Procurement Operations	0	871,471	0	5,123,867
Data Center Consolidation	0	11,000,000	0	0
Fee-for Service Sub-Total	22,087,825	32,989,845	4,811,227	7,548,964
Tri-Bureau Service Activity	USCG - FY10 Enacted	USCIS - FY10 Enacted	USSS - FY10 Enacted	US VISIT - FY10 Enacted
Tri-Bureau Human Resources Shared Services	0	0	0	0
Data Center Services from DOJ	0	12,916,011	0	6,987,786
Tri-Bureau Sub-Total	0	12,916,011	0	6,987,786
Government-wide Mandated Service Activity	USCG - FY10 Enacted	USCIS - FY10 Enacted	USSS - FY10 Enacted	US VISIT - FY10 Enacted
Interagency Council Funding	144,296	595	27,759	9,167
Recruitment One-Stop	51,267	84,167	52,634	801
e-Training	592,780	973,191	608,585	9,265
Enterprise HR Integration (EHR)	161,975	265,921	166,293	2,532
Business Gateway	0	0	0	0
e-Rulemaking	183,903	759	35,378	11,683
e-Travel	0	0	0	0
Case Management Line of Business	0	0	0	0
e-Grants.gov	6,921	0	437	0
e-Authentication	0	0	0	0
Human Resources Line of Business	11,453	18,804	11,759	179
e-govBenefits	0	0	0	0
Financial Management Line of Business	68,712	283	13,219	4,365
Geospatial LOB	15,665	65	3,014	995
IT Infrastructure LOB	0	0	0	0
Budget Formulation & Execution LOB	23,304	96	4,483	1,480
e-gov.Integrated Acquisition Environment	516,176	50,419	34,019	0
e-gov. Disaster Management (DisasterHelp.gov)	1,833,466	518,154	279,006	0
IAE Loans & Grants	8,259	13,559	8,479	129
Grants Management Line of Business	0	0	0	0
Gov Mandated Sub-Total	3,618,177	1,926,013	1,245,065	40,596
DHS Crosscutting Activity	USCG - FY10 Enacted	USCIS - FY10 Enacted	USSS - FY10 Enacted	US VISIT - FY10 Enacted
Capital Planning and Investment Control (CPIC)	1,198,524	813,506	109,330	17,493
Ready Campaign (Ready.gov)	0	0	0	0
Strategic Sourcing	275,512	165,307	68,878	68,878
CPO Shared Reporting	1,037,821	180,948	144,833	0
Competitive Sourcing	0	0	0	0
DHS Crosscutting Sub-Total	2,511,857	1,159,761	323,041	86,371
WCF Management Activity	USCG - FY10 Enacted	USCIS - FY10 Enacted	USSS - FY10 Enacted	US VISIT - FY10 Enacted
Working Capital Fund Operations	63,869	116,890	14,725	24,977
WCF Mgt Sub-Total	63,869	116,890	14,725	24,977
Continuing Activities Sub-Total	28,281,728	49,108,520	6,394,058	14,688,694

Manager	Fee for Service Activity	USM - FY10 Enacted	Chief Financial Officer - FY10 Enacted	Chief Information Officer - FY10 Enacted	OSEM - FY10 Enacted	FY10 Enacted Total
CAO	GSA RENT	19,247,964	1,544,069	5,376,125	9,227,387	75,605,934
CAO	Consolidated Subscriptions (Library of Congress)	324,602	99,774	6,101	603,926	11,203,087
CFO	Financial Management (Finance & Acctg Shared Services)	2,523,952	160,073	1,509,698	497,878	22,656,868
CFO	Financial Statement Audit	22,362	2,058	31,455	8,400	15,551,646
CFO	Internal Control Audit	0	46,660	0	0	4,935,131
CFO	Financial Management (OFO)	1,982,121	348,312	235,549	1,501,000	4,267,451
CFO	Bankcard Program	2,262	0	0	1,948	531,603
CFO	TIER	0	51,574	0	0	722,046
CHCO	NFC Payroll Services & Reporting	82,610	14,782	11,205	60,317	35,045,230
CHCO	HQ Human Capital Services	3,224,934	592,544	525,257	2,849,381	14,323,733
CHCO	(HCBS) Payroll Service Ops	34,464	6,388	4,842	26,064	7,808,715
CHCO	Flexible Spending Plan	9,725	1,740	1,319	7,102	2,128,000
CHCO	DHS EXEC. LEAD. (SES CDP, Sec Conf)	46,393	14,273	14,273	110,626	973,109
CHCO	HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	39,083	13,098	9,929	51,970	306,000
CHCO	Employee Assistance Program	13,115	2,347	1,779	9,576	61,200
CIO	CIO/DHS Infrastructure Transf Pgm	0	0	4,975,356	0	52,649,270
CIO	NCR Infrastructure Operations	15,782,374	2,821,273	25,783,790	10,522,798	121,315,184
CIO	Software Enterprise Licenses - Microsoft	0	0	2,327,691	0	46,473,912
CPO	Procurement Operations	3,375,712	996,560	8,278,274	281,521	48,131,454
CIO	Data Center Consolidation	0	0	58,800,000	0	150,000,000
	Fee-for Service Sub-Total	46,711,673	6,715,525	107,892,643	25,759,894	614,689,573
Manager	Tri-Bureau Service Activity	Office of the Undersecretary - FY10 Enacted	Chief Financial Officer - FY10 Enacted	Chief Information Officer - FY10 Enacted	Office of the Sec - FY10 Enacted	FY10 Enacted Total
CHCO	Tri-Bureau Human Resources Shared Services	0	0	0	0	0
CIO	Data Center Services from DOJ	0	0	0	463,321	37,977,099
	Tri-Bureau Sub-Total	0	0	0	463,321	37,977,099
Manager	Government-wide Mandated Service Activity	Office of the Undersecretary - FY10 Enacted	Chief Financial Officer - FY10 Enacted	Chief Information Officer - FY10 Enacted	Office of the Sec - FY10 Enacted	FY10 Enacted Total
CFO	Interagency Council Funding	12,037	651	5,181	2,052	600,000
CHCO	Recruitment One-Stop	5,445	974	738	3,975	1,191,038
CIO - CHCO	e-Training	62,676	11,263	8,538	45,962	13,721,138
CIO - CHCO	Enterprise HR Integration (EHRI)	17,200	3,078	2,333	12,559	3,762,997
CIO	Business Gateway	0	0	0	0	0
CIO	e-Rulemaking	15,341	829	6,603	2,616	764,694
CIO	e-Travel	0	0	0	0	0
CIO	Case Management Line of Business	0	0	0	0	0
CIO	e-Grants.gov	0	0	0	164	619,561
CIO	e-Authentication	0	0	0	0	0
CIO - CHCO	Human Resources Line of Business	1,218	218	165	888	266,087
CIO	e-govBenefits	0	0	0	0	0
CIO	Financial Management Line of Business	5,733	310	2,467	978	285,714
CIO	Geospatial LOB	1,305	71	562	225	65,137
CIO	IT Infrastructure LOB	0	0	0	0	0
CIO	Budget Formulation & Execution LOB	1,945	105	837	330	96,900
CIO - CPO	e-gov.Integrated Acquisition Environment	240,836	0	0	0	1,680,193
CIO - S & T	e-gov. Disaster Management (DisasterHelp.gov)	39,858	0	0	0	12,515,400
CIO	IAE Loans & Grants	876	157	120	640	191,873
CIO	Gramts Management Line of Business	0	0	0	0	0
	Gov Mandated Sub-Total	404,470	17,656	27,544	70,389	35,760,732
Manager	DHS Crosscutting Activity	Office of the Undersecretary - FY10 Enacted	Chief Financial Officer - FY10 Enacted	Chief Information Officer - FY10 Enacted	Office of the Sec - FY10 Enacted	FY10 Enacted Total
CIO	Capital Planning and Investment Control (CPIC)	87,464	87,464	112,829	0	7,696,860
CIO	Ready Campaign (Ready.gov)	0	0	0	0	0
CPO	Strategic Sourcing	0	0	0	0	2,755,118
CPO	CPO Shared Reporting	1,173,546	0	0	0	5,267,340
CPO	Competitive Sourcing	0	0	0	0	0
	DHS Crosscutting Sub-Total	1,261,010	87,464	112,829	0	15,719,318
Manager	WCF Management Activity	Office of the Undersecretary - FY10 Enacted	Chief Financial Officer - FY10 Enacted	Chief Information Officer - FY10 Enacted	Office of the Sec - FY10 Enacted	FY10 Enacted Total
CFO	Working Capital Fund Operations	112,897	15,661	120,793	50,150	1,315,846
	WCF Mgt Sub-Total	112,897	15,661	120,793	50,150	1,315,846
	Continuing Activities Sub-Total	48,377,153	6,836,306	108,153,809	26,343,754	705,462,568

J. FY 2011 Schedule of Working Capital Fund by Program/Project Activity

Manager	Fee for Service Activity	CBP	FLETC	ICE	TSA	FEMA
CAO	GSA RENT	0	0	0	0	0
CAO	Consolidated Subscriptions (Library of Congress)	6,100,000	54,888	6,100,000	1,454,286	1,421,806
CFO	Financial Management (Finance & Acctg Shared Services)	0	0	0	0	0
CFO	Financial Statement Audit	3,076,969	796,880	2,281,529	3,110,650	3,815,399
CFO	Internal Control Audit	418,533	58,048	120,405	289,406	608,172
CFO	Financial Management (OFO)	0	0	0	0	0
CFO	Bankcard Program	3,076	5,028	5,028	3,076	5,028
CFO	TIER	58,856	58,856	58,856	58,856	58,856
CHCO	NFC Payroll Services & Reporting	8,170,272	822,528	2,955,872	18,914,655	2,264,520
CHCO	HQ Human Capital Services	0	0	0	0	0
CHCO	(HCBS) Payroll Service Ops	1,589,411	144,444	2,812,887	2,648,316	1,207,071
CHCO	Flexible Spending Plan	695,851	15,888	15,888	745,720	96,422
CHCO	DHS EXEC. LEAD. (SES CDP, Sec Conf)	90,868	14,578	109,286	75,721	111,107
CHCO	HQ Executive Lead. Dev (TEI, SES Forum, Gen. Widrcs Trng)	0	0	0	0	0
CHCO	Employee Assistance Program	0	0	0	0	0
CIO	CIO/DHS Infrastructure Transf Pgm	11,744,594	861,805	6,400,555	7,771,050	3,605,098
CIO	NCR Infrastructure Operations	0	0	0	0	0
CIO	Software Enterprise Licenses - Microsoft	11,548,895	560,974	4,871,277	11,049,648	4,075,778
CPO	Procurement Operations	0	0	0	0	240,000
	Data Center Consolidation	34,370,000	0	10,400,000	0	5,900,000
	Sub-Total	77,866,819	2,392,301	35,893,239	46,116,379	23,408,748
Manager	Tri-Bureau Service Activity	CBP	FLETC	ICE	TSA	FEMA
CHCO	Tri-Bureau Human Resources Shared Services	0	0	0	0	0
CIO	Data Center Services from DOJ	0	0	17,643,991	0	0
	Sub-Total	0	0	17,643,991	0	0
Manager	Government-wide Mandated Service Activity	CBP	FLETC	ICE	TSA	FEMA
CFO	Interagency Council Funding	158,099	4,896	83,084	118,687	110,182
CHCO	Recruitment One-Stop	389,467	8,862	155,981	417,878	59,967
CIO - CHCO	e-Training	2,616,561	121,852	1,047,596	3,412,622	697,447
CIO - CHCO	Enterprise HR Integration (EHRI)	1,218,428	27,724	487,824	1,805,747	168,838
CIO	Business Gateway	0	0	0	0	0
CIO	e-Rulemaking	108,779	3,106	49,207	48,746	7,882
CIO	e-Travel	0	0	0	0	0
CIO	Case Management Line of Business	0	0	0	0	0
CIO	e-Grants.gov	0	0	1,065	21,644	583,538
CIO	e-Authentication	0	0	0	0	0
CIO - CHCO	Human Resources Line of Business	86,157	1,960	34,495	92,882	11,988
CIO	e-govBenefits	0	0	0	0	0
CIO	Financial Management Line of Business	42,106	1,260	19,965	17,749	3,198
CIO	Geospatial LOB	18,274	547	8,666	7,704	1,888
CIO	IT Infrastructure LOB	0	0	0	0	0
CIO	Budget Formulation & Execution LOB	28,004	888	18,277	11,804	2,126
CIO	IAE Loans & Grants	61,407	1,897	24,586	65,808	8,068
CIO - CFO	e-gov.Integrated Acquisition Environment	208,851	47,977	226,795	146,478	205,540
CIO - S & T	e-gov. Disaster Management (DisasterHelp.gov)	1,071,541	0	1,071,541	1,112,755	6,062,688
CIO	Grants Management Line of Business	0	0	0	0	0
	Sub-Total	5,997,674	219,419	3,224,033	6,774,403	7,916,741
Manager	DHS Crosscutting Activity	CBP	FLETC	ICE	TSA	FEMA
CIO	Capital Planning and Investment Control (CPIC)	1,214,042	189,045	381,624	1,298,848	817,185
CIO	Ready Campaign (Ready.gov)	0	0	0	0	0
CPO	Strategic Sourcing	558,738	195,558	307,306	1,005,728	0
CPO	Competitive Sourcing	0	0	0	0	0
CPO	CPO Shared Reporting	422,896	201,592	1,161,946	296,600	417,155
	Sub-Total	2,195,676	586,195	1,850,876	2,601,176	1,234,290
Manager	WCF Management Activity	CBP	FLETC	ICE	TSA	FEMA
CFO	Working Capital Fund Operations	193,891	19,076	162,825	131,803	71,112
	Sub-Total	193,891	19,076	162,825	131,803	71,112
	Continuing Activities Sub-Total	86,254,061	3,216,991	58,774,964	55,623,761	32,630,891

Fee for Service Activity	NPPD	Office of Health Affairs	Operations Coord & Intel & Analysis	IG	S&T
GSA RENT	14,858,468	4,428,278	11,999,681	0	10,295,428
Consolidated Subscriptions (Library of Congress)	412,842	80,000	469,982	66,506	815,818
Financial Management (Finance & Acctg Shared Services)	8,472,527	864,212	1,891,974	0	4,526,832
Financial Statement Audit	122,668	47,838	50,838	29,919	88,077
Internal Control Audit	6,478	11,449	8,705	5,724	4,482
Financial Management (OFO)	0	89,436	0	0	0
Bankcard Program	1,188	1,188	6,260	0	3,076
TIER	58,768	58,768	58,856	58,856	58,856
NFC Payroll Services & Reporting	858,488	11,491	95,622	98,628	55,267
HQ Human Capital Services	5,282,442	171,720	1,428,958	0	825,898
(HCB5) Payroll Service Ops	268,608	8,569	71,809	68,562	41,214
Flexible Spending Plan	87,098	1,206	10,084	9,072	5,799
DHS ENEC. LEAD. (SES CDF, Sec Conf)	49,179	5,467	45,536	21,859	58,287
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wdrce Trng)	117,042	3,805	81,662	0	18,800
Employee Assistance Program	22,178	721	5,998	0	3,467
CIO/DHS Infrastructure Transf Pgm	4,587,609	0	824,430	222,226	468,862
NCR Infrastructure Operations	21,597,990	2,797,059	22,880,647	742,186	14,741,534
Software Enterprise Licenses - Microsoft	0	0	0	267,572	418,000
Procurement Operations	7,408,650	2,967,009	5,049,407	0	8,778,945
Data Center Consolidation	9,800,000	0	0	0	5,040,000
Sub-Total	67,941,693	10,998,210	44,424,895	1,585,061	46,183,137
Tri-Bureau Service Activity	NPPD	Office of Health Affairs	Operations Coord & Intel & Analysis	IG	S&T
Tri-Bureau Human Resources Shared Services	0	0	0	0	0
Data Center Services from DOJ	0	0	0	0	0
Sub-Total	0	0	0	0	0
Government-wide Mandated Service Activity	NPPD	Office of Health Affairs	Operations Coord & Intel & Analysis	IG	S&T
Interagency Council Funding	29,820	2,101	5,440	1,947	14,741
Recruitment One-Stop	20,761	675	5,616	5,078	8,246
e-Training	498,421	16,202	184,828	121,905	77,927
Enterprise HR Integration (EHR)	64,949	2,111	17,569	15,885	10,155
Business Gateway	0	0	0	0	0
e-Rulemaking	6,901	1,892	3,715	1,170	9,484
e-Travel	0	0	0	0	0
Case Management Line of Business	0	0	0	0	0
e-Grants.gov	0	0	3,541	0	2,251
e-Authentication	0	0	0	0	0
Human Resources Line of Business	4,598	149	1,242	1,128	718
e-govBenefits	0	0	0	0	0
Financial Management Line of Business	2,800	565	1,507	475	3,827
Geospatial LOB	1,215	245	654	206	1,661
IT Infrastructure LOB	0	0	0	0	0
Budget Formulation & Execution LOB	1,862	376	1,002	316	2,546
IAE Loans & Grants	3,278	106	885	801	512
e-gov Integrated Acquisition Environment	0	0	0	0	0
e-gov. Disaster Management (DisasterHelp.gov)	0	0	659,410	0	206,066
Grants Management Line of Business	0	0	0	0	0
Sub-Total	634,596	23,923	835,410	148,907	333,083
DHS Crosscutting Activity	NPPD	Office of Health Affairs	Operations Coord & Intel & Analysis	IG	S&T
Capital Planning and Investment Control (CPIC)	558,885	88,339	287,102	12,637	208,180
Ready Campaign (Ready.gov)	0	0	0	0	0
Strategic Sourcing	0	0	0	0	189,685
Competitive Sourcing	0	0	0	0	0
CFO Shared Reporting	0	0	0	0	0
Sub-Total	558,885	88,339	287,102	12,637	342,865
WCF Management Activity	NPPD	Office of Health Affairs	Operations Coord & Intel & Analysis	IG	S&T
Working Capital Fund Operations	138,645	15,099	87,609	1,567	87,969
Sub-Total	138,645	15,099	87,609	1,567	87,969
Continuing Activities Sub-Total	69,268,819	11,125,571	45,635,016	1,748,172	46,947,054

Fee for Service Activity	DNDO	USCG	USCIS	USSS	US VISIT
GSA RENT	5,584,198	0	0	0	6,918,218
Consolidated Subscriptions (Library of Congress)	62,072	1,161,750	2,589,838	6,650	0
Financial Management (Finance & Acctg Shared Services)	0	0	12,797,688	0	8,212,414
Financial Statement Audit	0	3,722,836	1,487,006	100,400	49,065
Internal Control Audit	0	194,860	107,415	10,492	2,589
Financial Management (OFO)	0	0	0	0	0
Bankcard Program	1,188	3,076	3,076	3,076	1,188
TIER	58,768	58,856	58,856	58,768	58,768
NFC Payroll Services & Reporting	17,784	2,248,799	1,574,901	1,082,810	185,910
HQ Human Capital Services	265,758	0	0	0	2,778,188
(HCB5) Payroll Service Ops	18,262	926,172	1,278,800	858,979	188,639
Flexible Spending Plan	1,866	97,254	14,972	101,278	19,508
DHS EXEC. LEAD. (SES CDP, Sec Conf)	16,895	25,502	88,786	85,607	10,980
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	5,888	0	0	0	61,557
Employee Assistance Program	1,116	0	0	0	11,661
CIO/DHS Infrastructure Transf Pgm	188,641	6,105,189	3,682,496	805,668	0
NCR Infrastructure Operations	5,111,829	0	0	0	1,089,846
Software Enterprise Licenses - Microsoft	0	12,982,246	4,860,402	1,108,088	0
Procurement Operations	3,705,521	0	871,471	0	2,488,883
Data Center Consolidation	0	0	28,400,000	12,600,000	15,000,000
Sub-Total	14,979,275	27,526,040	52,255,157	16,266,261	31,972,359
Tri-Bureau Service Activity	DNDO	USCG	USCIS	USSS	US VISIT
Tri-Bureau Human Resources Shared Services	0	0	0	0	0
Data Center Services from DOJ	0	0	12,940,955	0	9,523,938
Sub-Total	0	0	12,940,955	0	9,523,938
Government-wide Mandated Service Activity	DNDO	USCG	USCIS	USSS	US VISIT
Interagency Council Funding	5,578	10,650	5,541	22,675	20,077
Recruitment One-Stop	1,044	54,488	8,880	56,688	10,919
e-Training	25,076	365,698	56,299	515,725	262,138
Enterprise HR Integration (EHR)	3,268	170,291	26,216	177,829	84,159
Business Gateway	0	0	0	0	0
e-Rulemaking	6,684	85,856	854	16,517	5,484
e-Travel	0	0	0	0	0
Case Management Line of Business	0	0	0	0	0
e-Grants.gov	0	6,921	0	487	0
e-Authentication	0	0	0	0	0
Human Resources Line of Business	281	12,042	1,854	12,589	2,415
e-gov/Benefits	0	0	0	0	0
Financial Management Line of Business	2,691	34,884	148	6,701	2,218
Geospatial LOB	1,168	15,120	68	2,909	960
IT Infrastructure LOB	0	0	0	0	0
Budget Formulation & Execution LOB	1,790	28,167	95	4,457	1,471
IAE Loans & Grants	165	8,582	1,821	8,987	1,722
e-gov.Integrated Acquisition Environment	0	498,402	65,895	36,429	0
e-gov. Disaster Management (DisasterHelp.gov)	0	1,895,804	585,771	287,984	0
Grants Management Line of Business	0	0	0	0	0
Sub-Total	47,640	3,176,799	701,932	1,149,271	341,528
DHS Crosscutting Activity	DNDO	USCG	USCIS	USSS	US VISIT
Capital Planning and Investment Control (CPIC)	277,384	1,210,509	821,641	110,424	17,668
Ready Campaign (Ready.gov)	0	0	0	0	0
Strategic Sourcing	0	279,369	167,621	69,842	69,842
Competitive Sourcing	0	0	0	0	0
CFO Shared Reporting	0	999,077	288,061	73,764	0
Sub-Total	277,384	2,488,955	1,222,323	254,030	87,510
WCF Management Activity	DNDO	USCG	USCIS	USSS	US VISIT
Working Capital Fund Operations	33,020	106,360	110,170	13,638	33,135
Sub-Total	33,020	106,360	110,170	13,638	33,135
Continuing Activities Sub-Total	15,337,319	33,298,154	67,230,536	17,683,199	41,958,469

Fee for Service Activity	Office of the Undersecretary (USM)	Chief Financial Officer	Chief Information Officer	OSEM	Total
GSA RENT	17,492,532	4,025,989	6,794,917	11,700,149	94,087,848
Consolidated Subscriptions (Library of Congress)	363,686	35,000	13,300	821,968	22,028,342
Financial Management (Finance & Acctg Shared Services)	3,191,008	191,027	1,520,640	602,428	31,270,700
Financial Statement Audit	44,115	44,115	0	0	18,806,294
Internal Control Audit	0	2,260	2,260	0	1,846,273
Financial Management (OFO)	1,311,374	239,369	837,219	1,712,458	4,139,856
Bankcard Program	3,076	0	0	0	47,593
TIER	0	0	0	0	882,400
NFC Payroll Services & Reporting	129,408	23,666	12,859	92,752	38,560,232
HQ Human Capital Services (HCBS) Payroll Service Ops	1,933,897	353,662	192,163	1,386,026	14,618,707
Flexible Spending Plan	96,507	17,649	9,589	69,167	11,253,606
DHS EXEC. LEAD. (SES CDP, Sec Conf)	13,581	2,483	1,349	9,733	2,157,648
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	47,368	14,573	14,573	112,951	993,563
Employee Assistance Program	27,268	7,836	4,258	29,173	306,789
CIO/DHS Infrastructure Transf Pgn	8,118	1,484	807	5,818	61,362
NCR Infrastructure Operations	0	0	6,758,991	0	53,421,714
Software Enterprise Licenses - Microsoft	15,897,536	3,717,803	23,167,290	11,355,582	123,049,252
Procurement Operations	0	0	3,329,628	0	54,561,948
Data Center Consolidation	4,088,180	1,214,215	11,897,572	412,059	49,111,913
Sub-Total	44,647,653	9,891,131	117,087,416	28,310,264	699,746,040
Tri-Bureau Service Activity	Office of the Undersecretary (USM)	Chief Financial Officer	Chief Information Officer	OSEM	Total
Tri-Bureau Human Resources Shared Services	0	0	0	0	0
Data Center Services from DOJ	0	0	0	914,961	41,023,845
Sub-Total	0	0	0	914,961	41,023,845
Government-wide Mandated Service Activity	Office of the Undersecretary (USM)	Chief Financial Officer	Chief Information Officer	OSEM	Total
Interagency Council Funding	11,859	998	5,151	2,449	608,370
Recruitment One-Stop	7,601	1,390	755	5,447	1,207,633
e-Training	182,472	33,370	18,131	130,778	10,334,546
Enterprise HR Integration (EHR)	23,778	4,348	2,363	17,042	3,778,019
Business Gateway	0	0	0	0	0
e-Rulemaking	7,162	387	3,083	1,221	357,000
e-Travel	0	0	0	0	0
Case Management Line of Business	0	0	0	0	0
e-Grants.gov	0	0	0	164	619,561
e-Authentication	0	0	0	0	0
Human Resources Line of Business	1,681	307	167	1,205	267,150
e-govBenefits	0	0	0	0	0
Financial Management Line of Business	2,906	157	1,251	509	144,857
Geospatial LOB	1,258	69	542	219	62,868
IT Infrastructure LOB	0	0	0	0	0
Budget Formulation & Execution LOB	1,934	104	832	329	96,330
IAE Loans & Grants	1,197	219	119	860	189,960
e-gov Integrated Acquisition Environment	236,979	0	0	0	1,668,346
e-gov. Disaster Management [DisasterHelp.gov]	41,213	0	0	0	12,944,724
Grants Management Line of Business	0	0	0	0	0
Sub-Total	520,039	41,350	32,394	160,223	32,279,364
DHS Crosscutting Activity	Office of the Undersecretary (USM)	Chief Financial Officer	Chief Information Officer	OSEM	Total
Capital Planning and Investment Control (CPIC)	88,339	88,339	113,957	0	7,774,099
Ready Campaign (Ready.gov)	0	0	0	0	0
Strategic Sourcing	0	0	0	0	2,793,689
Competitive Sourcing	0	0	0	0	0
CPO Shared Reporting	1,461,249	0	0	0	5,267,340
Sub-Total	1,549,588	88,339	113,957	0	15,835,128
WCF Management Activity	Office of the Undersecretary (USM)	Chief Financial Officer	Chief Information Officer	OSEM	Total
Working Capital Fund Operations	100,515	14,389	223,093	56,085	1,600,000
Sub-Total	100,515	14,389	223,093	56,085	1,600,000
Total	46,817,795	10,035,209	117,456,861	29,441,533	790,484,377

Department of Homeland Security

U. S. Customs and Border Protection



Fiscal Year 2011
Overview
Congressional Justification

i. Summary of FY 2010 Budget Estimates by Appropriation

**Department of Homeland Security
Customs and Border Protection**
Summary of FY 2011 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)

Budget Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses	44,955	8,112,961	48,276	8,064,713	49,053	8,207,986	777	143,273	(202)	(237,342)	979	380,615
Automation Modernization	63	488,756	63	422,445	63	347,575	-	(74,870)	-	-	-	(74,870)
Border Security, Fencing, Infrastructure, and Technology	183	622,625	200	800,000	200	574,173	-	(225,827)	-	(158,331)	-	(67,496)
Air and Marine Operations	-	639,622	-	519,826	-	503,251	-	(16,575)	-	(2,575)	-	(14,000)
Facilities Management Program *	-	399,938	-	319,570	-	175,968	-	(143,602)	-	-	-	(143,602)
Small Airports	54	6,998	54	8,000	54	8,164	-	164	-	-	-	164
Subtotal, Enacted Appropriations and Budget Estimates	45,255	10,270,899	48,593	10,134,554	49,370	9,817,117	777	(317,437)	(202)	(398,248)	979	80,811
COBRA	1,538	406,127	1,538	373,780	1,683	390,974	145	17,194	-	-	145	17,194
Land Border Inspection	287	26,610	287	27,498	287	28,598	-	1,100	-	-	-	1,100
Immigration Enforcement Fines	23	1,183	23	992	23	1,037	-	45	-	-	-	45
Puerto Rico Trust Fund	529	112,680	529	92,000	529	89,980	-	(2,020)	-	-	-	(2,020)
Immigration User Fee	4,777	542,082	4,921	502,335	4,311	525,443	(610)	23,108	-	-	(610)	23,108
Animal & Plant Heal Inspection Services (APHIS)	2,332	331,264	2,332	312,227	2,332	318,472	-	6,245	-	-	-	6,245
Customs Unclaimed Goods	-	-	-	5,897	-	5,897	-	-	-	-	-	-
Global Entry	-	-	-	-	40	2,500	40	2,500	-	-	40	2,500
Subtotal, Fees/Mandatory	9,486	1,419,946	9,630	1,314,729	9,205	1,362,901	(425)	48,172	-	-	(425)	48,172
Total, Enacted Appropriations and Budget Estimates	54,741	11,690,845	58,223	11,449,283	58,575	11,180,018	352	(269,265)	(202)	(398,248)	554	128,983

American Recovery and Reinvestment Act (ARRA)	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses		9,153	---	---	---		---	---	---	---	---	---
Facilities Management	10	214,584										
Total	10	223,737	0	0								

*FY11 includes (\$99.772M) prior year rescission of unobligated funds.

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security
Customs and Border Protection**
Homeland and Non-Homeland Allocation by Program/Project Activity
(Dollars in Thousands)

Budget Activity	2009 Actual						2010 Enacted						2011 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	37,771	6,821,266	7,184	1,291,695	44,955	8,112,961	40,577	6,835,185	7,700	1,229,528	48,276	8,064,713	41,104	6,927,944	7,949	1,280,042	49,053	8,207,986
- HQ Management and Administration	3,136	1,102,784	597	210,054	3,733	1,312,839	3,226	1,191,341	614	226,922	3,840	1,418,263	3,222	1,189,369	614	226,546	3,836	1,415,915
- Border Security Inspections & Trade Facilitation at POEs	12,227	2,017,605	6,022	993,746	18,249	3,011,350	13,083	1,842,355	6,444	907,429	19,527	2,749,784	13,623	1,955,277	6,710	963,047	20,333	2,918,324
- Border Security & Control Between the Ports	21,263	3,522,424	---	---	21,263	3,522,424	22,966	3,587,037	---	---	22,966	3,587,037	22,989	3,575,417	---	---	22,989	3,575,417
- Air and Marine Operations - Salaries	1,146	178,453	564	87,895	1,710	266,348	1,302	207,451	641	102,178	1,943	309,629	1,270	199,881	625	98,449	1,895	298,330
Automation Modernization	32	244,378	32	244,378	63	488,756	32	211,223	32	211,223	63	422,445	32	173,788	32	173,788	63	347,575
Facilities Management*	---	399,938	---	---	---	399,938	---	319,570	---	---	---	319,570	---	175,968	---	---	---	175,968
Border Security, Fencing, Infrastructure, and Technology	183	622,625	---	---	183	622,625	200	800,000	---	---	200	800,000	200	574,173	---	---	200	574,173
Air and Marine Interdiction, Operations, Maintenance and	---	428,547	---	211,075	---	639,622	---	348,283	---	171,543	---	519,826	---	337,178	---	166,073	---	503,251
Total Direct Appropriations and Budget Estimates	37,986	8,516,754	7,215	1,747,148	45,201	10,263,901	40,808	8,514,261	7,731	1,612,293	48,539	10,126,554	41,336	8,189,050	7,981	1,619,903	49,316	9,808,953
Small Airports	54	6,998	---	---	54	6,998	54	8,000	---	---	54	8,000	54	8,164	---	---	54	8,164
Fee Accounts	9,486	1,419,946	---	---	9,486	1,419,946	9,630	1,308,832	---	---	9,630	1,308,832	9,205	1,357,004	---	---	9,205	1,357,004
COBRA	1,538	406,127	---	---	1,538	406,127	1,538	373,780	---	---	1,538	373,780	1,683	390,974	---	---	1,683	390,974
Land Border Inspection	287	26,610	---	---	287	26,610	287	27,498	---	---	287	27,498	287	28,598	---	---	287	28,598
Immigration Enforcement Fines	23	1,183	---	---	23	1,183	23	992	---	---	23	992	23	1,037	---	---	23	1,037
Puerto Rico Trust Fund*	529	112,680	---	---	529	112,680	529	92,000	---	---	529	92,000	529	89,980	---	---	529	89,980
Immigration User Fee	4,777	542,082	---	---	4,777	542,082	4,921	502,335	---	---	4,921	502,335	4,311	525,443	---	---	4,311	525,443
Animal & Plant Health Inspection Services (APHIS)	2,332	331,264	---	---	2,332	331,264	2,332	312,227	---	---	2,332	312,227	2,332	318,472	---	---	2,332	318,472
Global Entry	---	---	---	---	---	---	---	---	---	---	---	---	40	2,500	---	---	40	2,500
Total, CBP	47,526	9,943,698	7,215	1,747,148	54,741	11,690,845	50,492	9,831,093	7,731	1,612,293	58,223	11,443,386	50,595	9,554,218	7,981	1,619,903	58,575	11,174,121
Customs Unclaimed Goods	---	---	---	5,897	---	5,897	---	---	---	5,897	---	5,897	---	---	---	5,897	---	5,897

*Homeland Database does not include Puerto Rico Trust Fund FY 10 and FY 11.

*FY11 includes (\$99.772M) prior year rescission of unobligated funds.

iii. Status of Congressional Requested Studies, Reports, and Evaluation

2009	1/8/2009 Monthly Report	FY 2009 Appropriations Act House Report 110-862, Title II, p. 44	Operations and Support: The Committee recommends the funding level of \$410 million to make certain that the program does not lack basic operational resources despite the fact that the Department provided inadequate information to justify it. To ensure these funds are necessary, the Committee directs CBP to provide a detailed report on operations and support to obligations and expenditures on a monthly basis, beginning January 8, 2009. The first such report shall include all obligations and expenditures to date.	CBP is submitting this report to DHS for transmission to Congress on a monthly basis.
2009	January 16, 2008	FY 2009 Appropriations Act Senate Rpt 110-396, Title II, p 33	Ortly: Automated Commercial Environment (1st Quarter FY 09): The Committee directs that CBP continue to provide the level of detail within the ACE expenditure plan as required in previous years.	03/09/09: Report was transmitted to Congress.
2009	1/30/2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 31 and 42	SBI Quarterly Report: The Committee directs the Department to continue its Secure Border Initiative status reports on a quarterly, versus the current bi-monthly, schedule. The report should include an update on Northern Border <i>SBI</i> net investments.	Complete.
2009	January 30, 2009	FY 2009 Appropriations Act Joint Explanatory Statement for P.L. 110-329, p. 586 House Report 110-862, Title II, p. 31	Staffing Resources Report: CBP is directed to brief the Committees not later than January 30, 2009, on how incentives such as pay adjustments could be used to recruit and retain Border Patrol agents and CBP Officers with language fluency skills, as outlined in the House report.	03/05/09: Although no longer a reporting requirement according to the final appropriations bill, CBP submitted a report on hiring and retention incentives; the report provides good insight in CBP's programs and ongoing efforts to maintain a healthy workforce. The report was transmitted to Congress.
2008	January 30, 2009	FY 2008 Appropriations Act P.L 110-161, Division E, Title VI, Section 604, p. 253	National Land Border Security Plan: Not later than January 31 of every other year, the Secretary, acting through the Commissioner, shall prepare a National Land Border Security Plan and submit such plan to the Committees on Appropriations of the Senate and the House of Representatives, the Senate Committee on Environment and Public Works, the Senate Committee on Homeland Security and Governmental Affairs, the Senate Committee on the Judiciary, the House Committee on Transportation and Infrastructure, the House Committee on Homeland Security, and the House Committee on the Judiciary.	The reporting requirements for section 604 (this report) and 603 (POE Infrastructure Assessment Study) are combined into one report. CBP and OMB are working to complete the report.
2008	January 30, 2009	FY 2008 Appropriations Act P.L 110-161, Division E, Title VI, Section 603, p. 252	Port of Entry Infrastructure Assessment Study: Not later than January 31 of every other year, the Commissioner, in consultation with the Administrator of General Services shall submit an updated assessment of land port of entry infrastructure needs to the Committees on Appropriations of the Senate and the House of Representatives, the Senate Committee on Environment and Public Works, the Senate Committee on Homeland Security and Governmental Affairs, the House Committee on Transportation and Infrastructure, and the House Committee on Homeland Security.	The reporting requirements for section 603 (this report) and 604 (National Land Border Security Plan) are combined into one report. CBP and OMB are working to complete the report.
2009	February 1, 2009	FY 2009 Appropriations Act Joint Explanatory Statement for P.L. 110-329, p. 589	Container Security Devices: The bill includes language directing the Commissioner to submit to the Committees, not later than 120 days after the date of enactment of this Act, the results of operational field testing of container security devices and a plan for implementation and deployment of such devices, as applicable, in high risk trade lanes.	03/05/09: Report was transmitted to Congress.
2009	March 23, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 36	US-VISIT Function Support: The Committee directs CBP to provide a detailed report on the prior year budget for this support, by account, purpose and fiscal year, with the fiscal year 2010 budget submission.	Complete.

2009	March 23, 2009,	FY 2009 Appropriations Act House Report 110-862, Title II, p. 50 Senate Report 110-396, Title II, p. 39	Land Ports of Entry Modernization: In addition to GSA facilities, the 43 land ports of entry owned by and maintained by CBP require significant recapitalization, which CBP estimates could cost \$150,000,000. The Committee includes \$10,000,000, as requested, to begin this recapitalization, and directs CBP to submit a detailed plan for modernizing all 43 ports of entry with its 2010 budget request	CBP and OMB are working to complete the report.
2009	March 23, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 38	Unaccompanied Alien Children: The committee directs CBP to implement periodic training for CBP staff dealing with unaccompanied children. Directs CBP to submit report with FY10 budget on results of the Border Patrol Self Inspection Program.	Complete.
2009	March 23, 2009	FY 2009 Appropriations Act Senate Report 110-396, Title II, pg. 38	Air and Marine Facilities Upgrades: The Committee is disappointed by the apparent lack of support for a continued commitment to upgrade the many outdated and ill sized air and marine facilities. The Committee encourages the Department to include additional funding for these facilities in the 2010 budget request.	The enhancements in the FY 2010 President's budget submission focus on addressing other critical areas of meeting future challenges and fulfilling our mission of securing America.
2009	March 23, 2009	FY 2009 Appropriations Act Senate Report 110-396, Title II, pg. 39	Border Facilities Construction Backlog: Committee encourages administration to include funds in its 2010 request to address infrastructure requirements at Sault Ste. Marie International Bridge and Columbus and Santa Teresa ports of entry.	The funding for these requirements are not included in the FY 2010 President's Budget submission.
2009	March 23, 2009	FY 2009 Appropriations Act Senate Report 110-396, Title II, pg. 30	Customs Revenue Staffing Shortfalls: CBP is encouraged to include in its FY10 budget submission a plan to address the significant shortfalls in all of these positions	CBP currently exceeds the required FY 2003 staffing levels. The enhancements included in the FY 2010 President's Budget submission will focus on addressing other critical areas for meeting future challenges and fulfilling our mission of securing America while facilitating legitimate trade.
2009	March 23, 2009	FY 2009 Appropriations Act Senate Report 110-396, Title II, pg. 28	Vehicle Replacement: DHS is directed to include with its fiscal year 2010 budget submission a plan to replace at least 20 percent of the CBP vehicle fleet annually, as well as the funding needed to execute the plan, as specified in the Senate report.	CBP has made progress in addressing fleet management responsibilities; however, CBP will not be able to achieve the replacement rate of 20%. The enhancements in the FY 2010 President's budget submission focus on addressing other critical areas for meeting future challenges and fulfilling our mission of securing America.
2009	March 23, 2009	FY 2009 Appropriations Act Senate Report 110-396, Title II, pg. 37	Northern Border Air Branches: The Committee encourages the Department to include in the fiscal year 2010 budget funding to expand the hours of operation at these air branches.	The enhancements in the FY 2010 President's budget submission focus on addressing other critical areas for meeting future challenges and fulfilling our mission of securing America.
2009	March 23, 2009	FY 2009 Appropriations Act Senate Report 110-396, Title II, pg. 26	Passenger Screening at Airports: The Committee is convinced that growth in the U.S. economy depends in no small measure on international travel and encourages inclusion of funds in the fiscal year 2010 budget request for robust staffing increases at both land and air ports of entry.	The enhancements in the FY 2010 President's budget submission for on addressing other critical areas for meeting future challenges and fulfilling our mission of securing America.

2009	March 23, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 38	Carrizo Cane – FY 2009: The Committee directs CBP to submit, with its fiscal year 2010 budget request, a comprehensive plan to eradicate <i>Arundo donax</i> and other invasive plants that inhibit security efforts along the U.S.-Mexico border, including in Eagle Pass and other Texas border areas not now included in the pilot programs.	This reporting requirement was to be submitted in the FY 2010 Budget Submission; however, it is too long to be included. This reporting requirement will be sent to Congress as a separate report, with the same due date of March 27, 2009. 06/02/09: Report was transmitted to Congress.
2009	March 23, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 37	Textile Transshipment Enforcement – FY 2009: The Committee directs CBP to submit report with FY10 budget on execution of 5-year plan.	This reporting requirement was to be submitted in the FY 2010 Budget Submission; however, it is too long to be included. This reporting requirement will be sent to Congress as a separate report, with the same due date of March 27, 2009. 02/20/09: Report was transmitted to Congress.
2009	February 16, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 39	Project Seahawk: The Committee directs CBP to report not later than February 16, 2009, on the impact of Project SeaHawk to date, and to include details of how the project will be funded and supported beyond fiscal year 2009.	11/03/2009: Report was transmitted to Congress.
2009	March 31, 2009	Tariff Suspension and Trade Act of 2000 P.L. 106-476, Chapter 3, section 1443	Dog and Cat Fur Protection Act: Annual report on CBP's efforts to enforce the provisions of the Dog and Cat Protection Act of 2000, which prohibit the importation of products made with dog and cat fur.	03/06/09: Report was transmitted to Congress.
2007	April 10, 2009	Security and Accountability for Every Port Act of 2006 P.L. 109-367, Section 232	Full-Scale Implementation of Pilot Scanning System: A report submitted every six months on the status of the costs and the efforts of CBP's full-scale deployment to scan, using non-intrusive imaging equipment and radiation detection equipment, all containers entering the United States before such containers arrive in the United States as soon as possible.	05/29/09: Report was transmitted to Congress.
2009	April 30, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 31 and 42	SBI Quarterly Report: The Committee directs the Department to continue its Secure Border Initiative status reports on a quarterly, versus the current bi-monthly, schedule. The report should include an update on Northern Border <i>SBI</i> investments.	Report was transmitted to Congress.
2007	May 1, 2009	Security and Accountability for Every Port of 2006 P.L. 109-347 Section 235	Report on Pilot Program to Improve the Safety of Empty Containers: A report on the one-year pilot program to assess the risk posed by and improve the security of empty containers at U.S. seaports to ensure the safe and secure delivery of cargo and prevent potential acts of terrorism involving such containers.	9/15/09: Report was transmitted to Congress.
2009	May 15, 2009	FY 2009 Appropriations Act Senate Rpt 110-396, Title II, p 33	Qrtly: Automated Commercial Environment (2nd Quarter FY 09): The Committee directs that CBP continue to provide the level of detail within the ACE expenditure plan as required in previous years.	8/20/09: Report was transmitted to Congress
2009	August 14, 2009	FY 2009 Appropriations Act Senate Rpt 110-396, Title II, p 33	Qrtly: Automated Commercial Environment (3rd Quarter FY 09): The Committee directs that CBP continue to provide the level of detail within the ACE expenditure plan as required in previous years.	10/26/09: Report was transmitted to Congress

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
Customs and Border Protection**
Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)

Budget Activity	Last Year of Authorization		Authorized Level		Appropriation in Last Year of Authorization		FY 2011 Request
	Fiscal Year		Amount		Amount		Amount
	Salaries and Expenses	2003	\$2,739,695	1/	\$3,195,094	2/	\$8,207,986
Air and Marine Interdiction, Operations, Maintenance, and Procurement	NA	NA		NA		503,251	
Border Security Fencing, Infrastructure, and Technology (BSFIT)	NA	NA		NA		574,173	
Automation Modernization	NA	NA		NA		347,575	
Facilities Management Program	NA	NA		NA		275,740	
Total Direct Authorization/Appropriation		\$2,739,695		\$3,195,094		\$9,908,725	

Note:

1/Immigration and Naturalization Service - inspection, investigations, Border Patrol, detention and deportation only.

2/ Includes \$2, 862,094,000 from the FY 2003 INS Salaries and Expenses appropriation, and \$333,000,000 included in the FY 2003

Wartime Supplemental Appropriations Act, P.L. 108-11.

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Salaries and expenses:

I. Appropriation Overview

A – Mission Statement for Salaries and expenses:

Since its inception in March 2003, U.S. Customs and Border Protection (CBP) has been making great strides in securing America's borders while safeguarding trade and international travel, ensuring the vitality of our economy. With the creation of CBP, for the first time in our nation's history, responsibility for securing, controlling and managing U.S. borders was consolidated within a single agency. America's frontline border agency employs more than 58,000 highly trained and professional personnel equipped with the latest homeland security technologies.

The agency is responsible for protecting the sovereign borders of the United States at and between official ports of entry. CBP is on the frontline protecting the American public against terrorists and instruments of terror and protects economic security by regulating and facilitating the lawful movement of goods and persons across U.S. borders. CBP performs these missions with vigilance, integrity and professionalism.

CBP ensures all persons and cargo enter the United States legally and safely through CBP's official ports of entry. CBP officers prevent cross-border smuggling of contraband such as controlled substances, weapons of mass destruction and illegal or diseased plants and animals. CBP ensures that travelers and immigrants present appropriate documentation. On a typical day, CBP officers screen more than 1 million international travelers and 70,000 cargo container before they enter the country. CBP also strives to prevent the illegal export of U.S. currency or other monetary instruments, stolen goods such as vehicles and other illegal items, as well as strategically sensitive technologies.

CBP carries out its homeland security mission without restricting the flow of legitimate trade and travel that is important to our nation's economy. Accordingly, CBP has a dual mission: to prevent terrorists and their weapons of mass destruction from entering the U.S. and to facilitate legitimate trade and travel. CBP has found that by using advanced information, risk assessment and management and appropriate scanning and other technologies, and by partnering with other nations as well as private industry, these goals need not be mutually exclusive.

In support of this dual mission, CBP has instituted various programs and initiatives such as the Secure Border Initiative, a comprehensive multi-year plan to secure America's borders and reduce illegal migration; the Cargo Security Initiative, a program intended to help increase security for containerized cargo shipped to the United States from around the world and the Customs-Trade Partnership Against Terrorist, a joint government-business initiative to build cooperative relationships that strengthen overall supply chain and border security.

CBP's primary field occupations consist of CBP officers including import, entry and agriculture specialists, Border Patrol agents, Office of Air and Marine pilots, and marine officers. Its field organization is focused around 20 Border Patrol Sectors with 34 border patrol checkpoints and 93 tactical checkpoints between the ports of entry, 143 stations and substations. Port security is maintained at 20 field offices and 327 associated ports of entry, of which 15 are pre-clearance stations outside the United States. Personnel use a mix of non-intrusive technology such as large-scale X-rays and radiation portal monitors, targeting systems, air and marine assets, and other forms of automation to ensure the identification and apprehension of high-risk travelers and cargo and the facilitation of legitimate traffic into the United States.

Mission Statement

We are the guardians of our Nation's borders.

We are America's frontline.

We safeguard the American homeland at and beyond our borders.

We protect the American public against terrorists and the instruments of terror.

We steadfastly enforce the laws of the United States while fostering our Nation's economic security through lawful international trade and travel.

We serve the American public with vigilance, integrity, and professionalism.

Core Values

Vigilance: Vigilance is how we ensure the safety of all Americans. We are continuously watchful and alert to deter, detect, and prevent threats to our Nation. We demonstrate courage and valor in the protection of our Nation.

Service to Country: Service to Country is embodied in the work we do. We are dedicated to defending and upholding the Constitution of the United States. The American people have entrusted us to protect the homeland and defend liberty.

Integrity: Integrity is our cornerstone. We are guided by the highest ethical and moral principles. Our actions bring honor to our agency and ourselves.

B – Budget Activities:

Headquarter Management and Administration

Headquarters Management and Administration provides critical policy and operational direction, mission support, including equipment, training, and technical expertise to CBP front-line personnel. This program is essential in carrying out CBP's dual mission of protecting our homeland while facilitating legitimate trade and travel.

Border Security Inspections and Trade Facilitation at the Ports of Entry

The Inspections, Trade, and Travel Facilitation at the Ports of Entry program facilitates the flow of legitimate travel and trade across U.S. borders while ensuring that threats to the United States are not allowed entry. CBP accomplishes this by using technology, intelligence, risk information, targeting, and international cooperation in the screening of entering international cargo and travelers and departing export cargo. This program reduces the potential of terrorists' instruments of terror and contraband from entering the U.S. while facilitating the legal flow of people and trade by deploying CBP officers to the ports of entry. The goal of this program is to improve compliance with trade regulations and other mandatory import/export guidance while increasing the security of the U.S. CBP has extended its zone of security beyond its physical borders through the use of bilateral and private-sector partnerships, targeting, and scrutinizing advance information on people and products coming into this country. CBP is cultivating "smart borders" through the use of technology, has established a layered defense strategy, and has created "one face at the border," a unified, recognizable presence at the border to combine and capitalize on the authorities and skills of our diverse workforce.

Border Security and Control Between the Ports of Entry

The primary purpose of the Border Security and Control Between the Ports of Entry program is to establish and maintain effective control of U.S. borders by detecting, responding to, and interdicting border penetrations. A national strategy that consists of five objectives has been established to achieve the mission of this program: (1) Establish a substantial probability of apprehending terrorists and their weapons as they attempt to enter illegally between the ports of entry; (2) Deter illegal entries through improved enforcement; (3) Detect, apprehend, and deter smugglers of humans, drugs and other contraband; (4) Leverage Smart Border Technology to multiply the effect of enforcement personnel; and (5) Reduce crime in border communities and consequently improve the quality of life and economic vitality of targeted areas. The National Border Patrol Strategy requires increasing national security by augmenting enforcement resources along the northern and southern border. The proper balance in the deployment of personnel, equipment, intelligence, support, technology, and infrastructure is critical. Reducing vulnerability to the entry of terrorists, illegal aliens and drugs by increasing personnel and resources, is the key to the successful implementation of this strategy.

CBP Air and Marine – Salaries

CBP Air and Marine Salaries support a staff of over 1,800 air interdiction officers/pilots, marine enforcement officers, operational support, and administrative positions. It

provides funding to enhance skills and expertise to deter, interdict, and prevent acts of terrorism arising from unlawful movement of people and goods across the borders of the U.S.

C – Budget Request Summary:

CBP Salaries and Expense requests 49,640 positions, 49,053 FTEs, and \$8,207,986,000 for FY 2011. Program changes include a decrease of 284 positions and a decrease of 202 FTEs:

Data Center Migration – CBP requests an increase of \$26.6 million for the Data Center consolidation effort, which will standardize Information Technology (IT) resource acquisitions across components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time. The data center development funding, to be managed through the DHS Working Capital Fund (WCF), will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2011.

Intellectual Property Rights Enforcement – CBP requests an increase of \$25.0 million for IPR enforcement. The additional resources will be used to enhance information technology systems and enforcement activities that support IPR activities and will support the implementation of the IPR 5-Year Plan and CBP’s strategic goal of releasing legitimate cargo without delay, intercepting infringing goods, and preventing and deterring violations.

Office of Intelligence and Operations Coordination (OIOC) Staffing – CBP requests an increase of \$10.0 million to fund 103 Intelligence Analysts to support 24/7 operations of CBP Intelligence Watch, Operations Coordination and the Commissioner’s Situation Room. These positions will insure that CBP’s leadership is provided with the intelligence information required to make tactically and strategically sound decisions.

OIT Reduce Contractor Support – CBP requests a reduction of \$74.4 million to contractor support to ensure our highest priority capabilities are fully funded to achieve our core missions. This will reduce the amount of funding available for contract support in a number of areas within the Office of Information and Technology. The reductions will result in less direct support to the field and more centralized IT Help Desk support. OIT plans to mitigate the impacts by standardizing desktops, servers and storage; consolidate and centralize management of desktops; virtualize services/workstations and circuit/bandwidth optimization.

Not Sustaining FY 2010 Initiatives – CBP requests a reduction of \$27.7 million (OAM Reduction to FY 2010 Personnel Enhancement \$19.7 million, Cyber Security \$5.0

million, and API/PNR \$3.0 million) in FY 2010 enhancement capabilities. This cut to the FY 2010 enhancements is necessary to ensure our highest priority capabilities are fully funded to achieve our core missions.

Reduction to Border Patrol Premium Pay and Agent Staffing – CBP requests a reduction of \$31.7 million of OBP’s premium pay and agent staffing. The reduction reflects a proposed change to management of premium pay policy on working shifts, which currently results in higher premium pay costs, and it includes a staffing reduction, which translates into a decrease of 181 Border Patrol agents in FY 2011, but maintains approximately 20 thousand Border Patrol agents. The Border Patrol is committed to maintaining the current levels of effective control.

Human Resource Reductions – CBP requests a reduction of \$4.2 million to Human Resources. This reduction would be achieved in the following areas: travel, equipment replacement and telework, contractor support, staffing reduction, recruitment support and limit updates to data systems/software.

Training and Development Reduction – CBP requests a reduction of \$24.3 million to the Office of Training and Development (OTD). This reduction would be achieved in three major areas: OTD will reduce 50 positions and \$3.115 million at headquarters and the Academies through attrition and not filling current vacancies; OTD will reduce \$3.650 million in funding for contract positions for services that are no longer required; and OTD will reduce \$17.559 million from CBP’s National Training Plan.

Office of Administration (OA) Reduction – CBP requests a reduction of \$8.0 million to OA. This reduction will impact OA’s core areas such as acquisition management, systems development and deployment, facilities and real property management, as well as asset and personal property management. Decreased funding will reduce FTE’s by 3% and contractor support by 11%.

Secure Freight Initiative – CBP requests a reduction of \$16.6 million in the Secure Freight Initiative (SFI) Program. Under this reduction, three of the five existing SFI ports (Honduras, Southampton, and Korea) will revert to Container Security Initiative (CSI) protocols. Under CSI protocols, only targeted, high risk cargo will be examined, as opposed to 100% of all cargo under SFI. CSI will increase the use of remote targeting and examinations in order to achieve the program’s objectives. SFI operations at Qasim, Pakistan and Salalah, Oman will remain constant.

Customs-Trade Partnership Against Terrorism (C-TPAT) – CBP requests a reduction of \$12.0 million in the Customs-Trade Partnership Against Terrorism program (C-TPAT). The Automated Web-Base Portal System funding will be reduced by \$2.0 million, the number of contractors (software programmers and testers) assigned to the Office of Information Technology to develop the Automated Web-Based Portal System will be reduced from 8 to 2 programmers in equal increments from FY 2010 – FY 2012. The program will also take a \$10.0 million reduction in support funds, i.e., equipment, services and supplies.

Terminating United States Postal Service (USPS) Facilities Leases – CBP requests a reduction of \$4.4 million to terminate the lease space at U.S. Postal Service (USPS) buildings. The reduction may have an impact on mail inspections and entries since multiple cargo locations will now be used to process mail, but CBP expects this impact can be significantly mitigated by shifting to an automated versus manual cargo clearance environment that will also facilitate more effective targeting. CBP operations could be pushed upstream in line with other cargo operations and it would help achieve advanced electronic manifesting and create a more level playing field with express and air cargo operators as provided for in the Postal Accountability and Enhancement Act (PAEA).

Elimination of the Customs and Border Protection (CBP) Explosive Detector Dog Program – Resources totaling \$410 thousand to fund CBP’s Explosive Detector Dog Program have been eliminated. CBP will use state and local Explosive Detector Dog teams in emergency situations.

Container Security Initiative (CSI) – CBP requests a reduction of \$50.7 million in the CSI Program. As the CSI program matures, CBP will begin to shift from the initial CSI operating protocols (which were heavily dependent on the placement of U.S. personnel overseas) to a more technological based approach, relying on remote targeting from the National Targeting Center-Cargo (NTC-C), remote examinations and image analysis, and greater reciprocal examination relationships with host governments. As CSI activities transition to a more virtual environment, personnel and mission support resources stationed overseas will be relocated to U.S. domestic ports. This will allow the program to become more efficient and less costly.

Western Hemisphere Traveler Initiative (WHTI) Reduction – CBP requests a reduction of \$24.5 million in the WHTI Program. The legislative mandate to implement WHTI was met in June, 2009. All other enhancements have gone or will go beyond the legislative mandate. The reduction will be achieved by eliminating one half of funds recurred in FY 2011 for new acquisitions in FY 2010 (\$10.5 million) and reducing FY 2011 base funding by \$14.0 million.

Foreign Language Award Program (FLAP) – CBP requests a reduction of \$19.9 million in FLAP. FLAP was established in 1985 to pay cash awards to U.S. Customs and Border Protection (CBP) officers and CBP Agriculture Specialists in the Office of Field Operations (OFO) who are proficient in, and utilize, a foreign language in the performance of their official duties. CBP’s plan of action to suspend the FLAP program would first commence with notifying the National Treasury Employees Union (NTEU) of its intentions and this funding reduction will be taken against the Inspections, Trade and Travel Facilitation at POEs PPA. FLAP funding is currently paid for through the COBRA User Fees. Funding freed up from the elimination of FLAP will be used to fund salary costs in support of CBP officer staffing.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security U.S. Customs and Border Protection Salaries and expenses:

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Headquarters Management & Administration	3,733	1,312,838	3,840	1,418,264	3,836	1,415,915	(4)	(2,349)	(18)	1,977	14	(4,325)
M&A, Border Security Inspections and Trade Facilitation	2,119	669,547	2,186	520,575	2,190	521,141	4	566	(10)	4,804	14	(4,238)
M&A, Border Security and Control between Ports of Entry	1,614	643,291	1,654	495,426	1,646	494,201	(8)	(1,225)	(8)	4,803	-	(6,027)
Rent	-	-	-	402,263	-	400,573	-	(1,690)	-	(7,630)	-	5,940
Border Security Inspections and Trade Facilitation	18,249	3,011,350	19,527	2,749,784	20,333	2,918,324	806	168,540	-	(104,836)	806	273,376
Inspections, Trade, and Travel Facilitation	17,618	2,558,232	18,880	2,262,235	19,614	2,511,463	734	249,228	4	(22,448)	730	271,676
Harbor Maintenance Fee Collection (Trust Fund)	-	3,154	-	3,226	-	3,274	-	48	-	-	-	48
International Cargo Screening	187	148,880	189	162,000	185	84,445	(4)	(77,555)	(4)	(67,328)	-	(10,227)
Other international programs	100	14,973	101	11,181	101	11,308	-	127	-	-	-	127
C-TPAT	207	52,420	207	62,612	207	51,136	-	(11,476)	-	(12,000)	-	524
Trusted Traveler Programs (TTP)	-	11,220	-	11,274	-	10,887	-	(387)	-	-	-	(387)
Inspection and Detection Technology	-	137,446	-	153,563	-	155,153	-	1,590	-	(410)	-	2,000
Systems for Targeting	8	32,507	8	32,560	8	32,565	-	5	-	-	-	5
National Targeting Center	129	24,419	142	26,355	218	36,465	76	10,110	-	-	76	10,110
Training at the Ports of Entry	-	28,099	-	24,778	-	21,628	-	(3,150)	-	(2,650)	-	(500)
Border Security and Control between Ports of Entry	21,263	3,522,424	22,966	3,587,037	22,989	3,575,417	23	(11,620)	(64)	(116,301)	87	104,681
Border Security and Control	21,135	3,447,627	22,836	3,535,286	22,884	3,538,208	48	2,922	(39)	(102,923)	87	105,845
Training Between the Ports of Entry	128	74,797	130	51,751	105	37,209	(25)	(14,542)	(25)	(13,378)	-	(1,164)
Air and Marine Operations, Personnel Compensation and Benefits	1,710	266,348	1,943	309,628	1,895	298,330	(48)	(11,298)	(120)	(18,182)	72	6,883
Subtotal, Enacted Appropriations and Budget Estimates	44,955	8,112,960	48,276	8,064,713	49,053	8,207,986	777	143,273	(202)	(237,342)	979	380,615
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Net, Enacted Appropriations and Budget Estimates:	44,955	8,112,960	48,276	8,064,713	49,053	8,207,986	777	143,273	(202)	(237,342)	979	380,615

American Recovery and Reinvestment Act (ARRA)	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses												
Headquarters Management and Administration	---	719										
Inspection and Detection Technology	---	8,434										
Total	---	9,153										

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
M&A, Border Security Inspections and Trade Facilitation
Program Performance Justification
(Dollars in Thousands)**

PPA: M&A, Border Security Inspections and Trade Facilitation

	Perm. Pos	FTE	Amount
2009 Actuals	2,220	2,119	669,547
2010 Enacted	2,197	2,186	520,575
2011 Adjustments-to-Base	-	14	(4,238)
2011 Current Services	2,197	2,200	516,337
2011 Program Change	(18)	(10)	4,804
2011 Total Request	2,179	2,190	521,141
Total Change 2010 to 2011	(18)	4	566

The President's Budget requests \$521.1 million for Headquarters Management and Administration – At the Ports. This is a decrease of \$566 thousand from the FY 2010 request. The request includes:

- increase of \$13.300 million for enhancement to Data Center Migration
- increase of \$9.822 million for annualization of tactical communications and land ports of entry modernization that are being procured and constructed under the ARRA
- increase of \$981 thousand for FY 2010 pay annualization
- increase of \$2.059 million for pay inflation
- transfer of \$315 thousand from the Facilities Program Oversight and Management PPA for non-personnel funding of Facilities personnel
- decrease of \$16.825 million for non recurring costs associated with the Data Center Migration
- decrease of \$3.916 million for program changes to the Office of Administration, which would reduce funding for both staff and contractors
- decrease of \$2.500 million for FY 2010 new initiatives for cyber security that will not be sustained.
- decrease of \$2.080 million for program changes to Human Resources Management, which would reduce funding for staff, contractors, and equipment
- decrease of \$340 thousand for Human Resources Management travel for management efficiencies

- decrease of \$250 thousand for non recurring of Internal Affairs positions added in the FY 2010 budget.

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
M&A, Border Security and Control between Ports of Entry
Program Performance Justification
(Dollars in Thousands)

PPA: M&A, Border Security and Control between Ports of Entry

	Perm. Pos	FTE	Amount
2009 Actuals	1,692	1,614	643,291
2010 Enacted	1,657	1,654	495,426
2011 Adjustments-to-Base	-	-	(6,027)
2011 Current Services	1,657	1,654	489,398
2011 Program Change	(18)	(8)	4,803
2011 Total Request	1,639	1,646	494,201
Total Change 2010 to 2011	(18)	(8)	(1,225)

CBP requests \$494.2 million for Headquarters Management and Administration – Between the Ports. This is a decrease of \$1.2 million from the FY 2010 request. The request includes:

- increase of \$13.300 million for enhancement to Data Center Migration
- increase of \$7.667 million for annualization of tactical communications that are being procured and constructed under the ARRA
- increase of \$1.099 million for FY 2010 pay annualization
- increase of \$2.307 million for pay inflation
- transfer of \$315 thousand from the Facilities Program Oversight and Management PPA for non-personnel funding of Facilities personnel
- decrease of \$16.825 million for non recurring costs associated with the Data Center Migration
- decrease of \$3.917 million for program changes to the Office of Administration, which would reduce funding for both staff and contractors
- decrease of \$2.500 million for FY 2010 new initiatives for cyber security that will not be sustained.
- decrease of \$2.080 million for program changes to Human Resources Management, which would reduce funding for staff, contractors, and equipment
- decrease of \$340 thousand for Human Resources Management travel for management efficiencies
- decrease of \$250 thousand for non recurring of Internal Affairs positions added in the FY 2010 budget.

CURRENT SERVICES PROGRAM DESCRIPTION:

Headquarters Management and Administration provides critical policy and operational direction, mission support, and technical expertise to CBP front-line personnel. This program is essential in carrying out CBP's dual mission of protecting our homeland while facilitating legitimate trade and travel.

Headquarters Management and Administration is comprised of two main groupings: "Policy, Direction and Human Capital," and "Technology and National Support."

Policy, Direction and Human Capital

Office of the Commissioner

The Office of the Commissioner includes the Commissioner's direct staff and 4 offices:

Office of Intelligence and Operations Coordination (OIOC)

The Office of Intelligence & Operations Coordination (OIOC) coordinates national incident response and intelligence-driven special operations that requires collaboration between CBP offices. Through its five divisions (Intelligence & Situational Awareness, Analysis & Targeting, Incident Management and Operations Coordination, Field Coordination, and Mission Support), OIOC ensures that intelligence serves CBP operators, links closely with targeting efforts, and informs CBP leaders so that they can make the best possible decisions.

OIOC mission is to provide CBP decision-makers total situational awareness and facilitates operational response for all crimes, all threats, and all hazards throughout the CBP Area of Responsibility. The Office develops and disseminates Common Operating and Intelligence Pictures at all levels of decision-making and coordinates all cross-organizational operations as well as all CBP operations involving non-CBP elements. OIOC integrates all relevant operational, intelligence, targeting, and information sharing data, processes, mechanisms and programs. OIOC provides incident management and facilitates minimal disruption, rapid recovery, and resumption of national capabilities in the event of a major crisis.

Office of Chief Counsel

The Chief Counsel is the chief legal officer of CBP and reports to the General Counsel of the Department of Homeland Security through the Deputy General Counsel. The Chief Counsel serves as the Ethics Officer for the organization and is the principal legal advisor to the Commissioner of CBP and its officers. The Office of the Chief Counsel provides legal advice to, and legal representation of, CBP officers in matters relating to the activities and functions of CBP. The Office is also responsible for reviewing proposed actions to ensure compliance with legal requirements, preparing formal legal opinions, preparing or reviewing responses in all court actions, civil or criminal, involving CBP, and developing, implementing, and evaluating nationwide programs, policies, and

procedures within its functional areas. The Office of the Chief Counsel has both a Headquarters and a field structure. The Headquarters office is located in Washington, D.C. and its activities are divided broadly into three functional areas under the supervision of Associate Chief Counsels: Ethics, Labor and Employment; Enforcement; and Trade and Finance. The field structure consists of Associate and Assistant Chief Counsels located in major cities across the United States who advise CBP field managers in their geographic areas.

Office of Policy and Planning (OPP)

The Office of Policy and Planning provides leadership, direction, and advice regarding CBP's overall policy development and implementation; assists and works on behalf of the Commissioner and Deputy Commissioner in defining and advancing CBP priorities through the effective development, review, and implementation of key policy initiatives in coordination with other CBP offices, DHS, and other governmental agencies. OPP serves as the principle advisor to the Commissioner and other senior officials on CBP's strategic planning and, in coordination with Office of Finance and Office of Information Technology, on the integration of strategic-level planning and performance with resource allocation. OPP has developed and is responsible for implementing CBP's Strategic Management Framework (SMF), which is intended to fully integrate CBP's investment management, resource management and program management process and ensure that resources are used to maximize the return on investment on CBP's mission focused goals.

The SMF includes four major types of deliverables for which OPP has oversight responsibility: the CBP Strategic Plan, cross-cutting strategy documents, executive level strategic implementation plans, and quarterly progress reviews.

Office of Diversity and Civil Rights (DCR)

The Office of Diversity and Civil Rights (DCR), formerly the Office of Equal Opportunity, is responsible for ensuring diversity and inclusion, and compliance with civil rights and civil liberties statutes, regulations and policies. DCR provides leadership in the formulation, implementation and evaluation of CBP's policies and programs in these aforementioned areas. In addition, DCR ensures diversity and inclusion in all CBP programs and activities processes complaints of discrimination filed by applicants and employees; and allegations of civil liberties violations by members of the trade and traveling public and individuals detailed for law enforcement purposes.

Offices of Internal Affairs (IA)

The Office of Internal Affairs exercises oversight authority for all aspects of CBP operations, personnel, facilities, and the Counterintelligence Program, to include Cyber Security. IA's mission is to promote the integrity and security of the CBP workforce. IA performs and manages a wide variety of functions or programs comprising seven divisions: Personnel Security, Investigative Operations, Integrity Programs, Credibility Assessment, Operational Field Testing, Security Management, and Management Inspections.

IA conducts investigations of alleged criminal and serious non-criminal misconduct on the part of CBP employees. The office coordinates its internal investigative activity with

the Office of Inspector General (OIG), U.S. Immigration and Customs Enforcement's Office of Professional Responsibility (ICE/OPR), the FBI and numerous other federal, state and local law enforcement authorities. Currently, CPB IA is investigating nearly 1100 cases.

IA's Conduct and Integrity Oversight Initiative supports the Commissioner's objectives to strengthen employee base and integrity assurance; implement a proactive anti-corruption investigative program within CBP; and ensure that allegations are investigated thoroughly, objectively and in a timely manner by CBP Special Agents. Prior to hiring its own investigative cadre, CBP IA routinely received investigative reports from outside agencies that were over two years old. Now, CBP IA has implemented a 90 – 120 day goal for completion of misconduct investigations assigned to CBP IA Special Agents.

IA has implemented a Comprehensive Integrity Strategy, which integrates prevention, detection, and investigation capabilities to deter and respond to corruption and serious misconduct in the CBP workforce. The Comprehensive Integrity Strategy employs improved personnel security screening of prospective CBP employees, as well as polygraph examinations of certain law enforcement candidates, application of behavioral and analytical research tools to identify integrity indicators of corruption, and an intelligence-driven investigative response to integrity events. The Integrity Program Division conducts research (data) and analysis (behavior) designed to detect corruption, develops data/intelligence to drive the focus of integrity investigations, and applies "Insider Threat" methodologies for advanced detection of integrity threats.

Office of International Trade (OT)

The Office of International Trade (OT) is responsible for developing the national CBP trade policy and programs that facilitate legitimate trade and enforce our trade laws. OT is able to leverage a diverse array of skill sets to develop a comprehensive trade strategy and action plans, focused on results-driven strategic initiatives addressing trade facilitation, administration and enforcement issues. By promoting trade facilitation through partnership programs, OT streamlines the flow of legitimate shipments and fosters corporate self-governance as a means of achieving compliance with trade laws and regulations. OT also directs national enforcement responses through effective targeting of goods crossing the border as well as strict, swift punitive actions against companies participating in predatory trade practices, including textile transshipment and intellectual property rights infringement. A risk-based audit program is used to respond to allegations of commercial fraud and to conduct corporate reviews of internal controls to ensure importers comply with trade laws and regulations. OT provides the legal tools such as all regulations, Federal Register notices, binding rulings and decisions, and informed compliance publications, to support and promote facilitation and enforcement of our trade and border security requirements. OT is also the business process owner for the development of entry summary functionality in the Automated Commercial Environment (ACE), CBP's new automated trade system. Furthermore, OT has the lead in the modernization of trade policies, processes and procedures that will enable CBP to address the continuously changing trade environment.

Office of Human Resources (HRM)

The Office of Human Resources (HRM) provides centralized human resources support to over 58,000 CBP employees. HRM is responsible for ensuring effective delivery of the following services: recruiting, providing employee services and benefits, processing personnel actions, improving business processes, and facilitating workforce effectiveness. HRM promotes and enables mission accomplishments through human capital planning and utilization, strategic leadership with regard to CBP employees, labor-management relations, training and employee safety.

Office of Training and Development (OTD)

The Office of Training and Development (OTD) leads and directs Customs and Border Protection (CBP) training programs. OTD ensures that all training efforts support the CBP mission and strategic goals, meet the needs of a diverse and geographically dispersed workforce, and contribute to measurable outcomes and results. OTD establishes standards for designing, developing, delivering, and evaluating training. The office directly executes career development programs; basic and advanced training to all occupations; and supervisory, management, and executive development programs via the annual agency-wide training plan.

As CBP's hub for centralized leadership programs and direction of all CBP training programs, OTD promotes achievement and a results-driven culture through effective operational and mission support training efforts and a strong leadership curriculum. OTD prepares employees to carry out the core missions of CBP and continues to evolve to meet the needs of the Department of Homeland Security. By working with all CBP components to develop and deliver mission critical training, OTD prepares employees to protect America's frontline. OTD links to CBP's strategic goals to shape the knowledge of agency employees and instill a law enforcement ethic that prepares them for the ever changing challenges of the field.

OTD addresses critical challenges of the CBP operating environment by focusing on consolidating IT systems, achieving operational integration by developing a unified approach for CBP training, and developing a more robust evaluation and assessment process to measure training effectiveness and identify weaknesses.

Office of Congressional Affairs

The Office of Congressional Affairs is responsible for advising CBP managers on legislative and congressional matters and for assisting members of Congress and their staffs in understanding current and proposed CBP programs.

Office of Public Affairs (OPA)

The Office of Public Affairs communicates CBP's mission and operations. OPA continually informs the agency's chief stakeholders, the American public, through media outreach and public information campaigns conducted via media events, news releases, video and photography, as well as the public Web site CBP.gov, informational brochures, and a national customer service call center to address public questions/complaints. OPA also provides continual information to the CBP work force through the CBPnet intranet

site, the weekly e-mailed news compilation Frontline News, and through mass e-mails. A quarterly magazine, Frontline, is mailed to CBP personnel and other stakeholders throughout the nation. OPA acts as a conduit for information to and guidance from the Department of Homeland Security.

Technology and National Support

Office of Information and Technology (OIT)

The Office of Information and Technology provides integrated, comprehensive technical support to carry out the mission of CBP, as well as the Department of Homeland Security. OIT is responsible for developing, acquiring, testing, and maintaining existing technology and engineering new technology solutions; for managing the CBP Modernization Program; for overseeing the forensic and scientific analyses in the CBP laboratory system; for designing, developing, maintaining and training personnel on CBP's automated systems; for overseeing the tactical wireless radio program; and for ensuring the reliable performance of our infrastructure. OIT also manages the computer security program; establishes automated interfaces between CBP, trade participants, and other government agencies; and provides reference library and electronic information resources.

OIT supports business processes with the design, development, programming, testing, implementation, training, and maintenance of CBP automated systems. OIT is responsible for the management of all CBP computer facilities and systems including the hardware, software, data, video and voice communications, and related financial resources as well as identifying and evaluating new technologies for application in support of CBP business processes.

OIT establishes requirements for computer-to-computer interfaces between CBP and various trade groups and government agencies. OIT represents CBP on matters related to automated import, export and interagency processing and systems development and provides centralized research, development, test, evaluation, acquisition, training, and maintenance services in support of enforcement and inspection technology for CBP process owners and core strategies. OIT also ensures the coordination of applied technology programs with other domestic and international law enforcement agencies and represents CBP on matters related to applied technology development. OIT provides direct technology assistance in support of operational field activities.

OIT directly supports the CBP Chief Information Officer (CIO) functions and is responsible for management, budget and planning reviews impacting information technology programs. The Office serves as the scientific and technical arm of CBP and is responsible for management of the CBP laboratory system and providing scientific and technical opinions and sample analysis reports to CBP officers.

Office of Administration (OA)

The Office of Administration provides a multitude of mission-support products and services that enable CBP's operational personnel and other business partners to succeed at CBP's mission, as well as promoting the prudent use of agency resources. OA delivers

services through customer involvement and modern, integrated financial systems in support of CBP's goal of developing and promoting more effective and efficient methods to obtain and manage financial data, resources, and capital assets, consistent with the needs of customers and stakeholders. OA provides financial management services, including budgeting, accounting and investment analysis and in addition, OA is responsible for acquiring and effectively managing the assets needed to accomplish CBP's frontline mission. This is done in a manner which incorporates the development, implementation and sustainment of effective program management, acquisition excellence and business transformation processes across CBP. This includes centralized requirements, planning and implementation of CBP's mail, uniform, personal property and fleet management programs. It also includes a consolidated facilities program account which allows the agency to strategically and consistently manage its complex facilities portfolio and operations and maintenance, including management of GSA rent costs.

FY 2009 accomplishments include:

- OA was designated to lead the CBP efficiency review effort. In Spring 2009, CBP launched 50 efficiency initiatives including 20 DHS wide and 30 internal CBP initiatives.
- OA's procurement directorate completed over 8,300 procurement actions totaling over \$3.4 billion and exceeded both our small business and 8(a) program dollar goals for the fiscal year. Included was the award of a DHS-wide Microsoft Support Services Contract worth approximately \$350 million.
- OA managed an inventory of over 1,400 operational facilities and 300,000 personal property assets during FY 2009. Our asset management directorate successfully managed the largest ever physical inventory of CBP personal property valued at over \$4.5 billion.
- OA fleet management program executed requirements to acquire 6,565 vehicles for use by CBP personnel.
- OA uniforms program fulfilled the uniform needs of over 45,800 CBP uniformed personnel.
- OA's National Finance Center processed 423,338 invoice payments in FY 2009 totaling over \$6.3 billion. During the calendar year 2009 our revenue division is on pace to review and approve over 170,000 continuous bond transactions. CBP has never in its history approved more continuous bond transactions in a 1 year period than were approved in 2009.
- Office of Information and Technology (OIT) provided Automated Targeting System operational enhancements for direct support of immediate intelligence threats for the National Targeting Center–Passenger and HQ OIOC intelligence support; Integrated cargo entry data from Mexico; Developed the Person and Vehicle Association tool which maps a driver to all vehicles they have been associated with to improve targeting effectiveness.
- OIT maintained 8 accredited forensics labs supporting 400 samples daily.
- OIT provided operations and maintenance of NII large-scale X-ray and gamma-ray imaging systems currently deployed to our nation's land, sea and air ports of

entry, as well as a variety of portable and handheld technologies, to include radiation detection technology.

- Office of Internal Affairs investigated and closed more than 700 investigations involving allegations of criminal and serious misconduct on the part of CBP employees.
- The Office of Human Resources exceeded all of CBP's fiscal year hiring targets for mission-critical, mission support, and front line occupations to include exceeding the Presidential mandate to hire 18,319 Border Patrol agents by December 31, 2008.
- The Office of Human Resources completed 1,540 worksite safety inspections and 73 hazard evaluations; distributed nearly 17 million personal protective devices to keep employees safe from on-the job hazards and illnesses.
- The Office of Intelligence and Operations Coordination (OIOC) fostered the Automated Targeting System Rules Conferences for passenger, cargo and all other fields. The purpose of the rules conference was to modify the threshold targeting rules and develop plans to continue supporting our programs to modify the threshold targeting rules and the Conferences through FY 2011.
- Office of Training and Development (OTD) created a unified CBP Canine Program by incorporating best practices in canine training, instructor development, procurement, facilities management, breeding, veterinarian care, and peer support.
- OTD revised 4 pandemic influenza courses to better prepare the CBP workforce to address the H1N1 threat.

FY 2010 goals include:

- OA major procurement actions in FY 2010 will include a re-compete and award to support the Employee Assistance Program, and completion of procurement actions in support of the ARRA funding for tactical communications, SBI net and land port of entry modernization. Also, OA will provide administration and oversight in FY 2010 and FY 2011 of the DHS-wide Microsoft Support Services Contract.
- The OIOC plans to inaugurate a fully operational Tucson Intelligence Operations Coordination Center (IOCC) and a fully operational Detroit, MI - Intelligence Coordination Center (ICT).
- OIOC will deploy the Homeland Secure Data Network (HSDN) to 11 sites including the Tucson IOCC, Detroit ICT, the Headquarters Watch expansion, Harper's Ferry, WV and an additional ICT and Air and Marines sites across the country.
- OIT will implement initial operating capability of passenger simulation environment to improve passenger targeting.
- OIT will maintain 8 accredited forensics labs supporting 400 samples daily.
- OIT will continue to provide integrated, comprehensive technical IT data, voice, wireless, and support to CBP's more than 58,000 users, ensuring that mission critical systems and information is available to CBP's front line 24x7x365.
- OIT will provide operations and maintenance of NII large-scale X-ray and gamma-ray imaging systems currently deployed to our nation's land, sea and air

ports of entry, as well as a variety of portable and handheld technologies, to include radiation detection technology.

- OTD will address critical challenges with the CBP operating environment and focuses on consolidating IT systems. The goal of achieving operational integration by developing a unified approach for CBP training will allow OTD to more effectively manage external inquiries to enhance training efficiency and ensure that all training efforts meet the needs of CBP.
- The Office of Internal Affairs Integrity Program Division plans to initiate 500 research and analysis projects.
- The Office of Internal Affairs Investigative Operations Division (IOD) plans to open 1,000 cases.
- HRM will build an infrastructure to streamline and re-engineer processes, create learning environments, and leverage its technology to provide better support to our staff and stakeholders.

FY 2011 goals include:

- OA will continue administration and oversight in FY 2011 of the DHS-wide Microsoft Support Services Contract.
- OA major procurement actions in FY 2011 will include a re-compete and award to support the Uniform contract to fulfill the uniform requirements for CBPs uniformed personnel for contracting various building services throughout the country as well as vehicle retrofitting services.
- OA major system implementations planned in FY 2011 include the CBP wide roll out of the Fed Traveler system and initial development of a CBP facilities project management system. OA will continue to strengthen acquisition management through establishing policies and processes for establishing Program Management Offices and implementing COTR training and tools.
- OA will facilitate the review, analysis and implementation of new efficiency topics such as contracting, in-sourcing and facilities management. We will continue to strengthen CBP Performance Management Framework by assessing current and proposed performance measures.
- OIOC will deploy the Homeland Secure Data Network (HSDN) to additional sites based upon the prioritized needs of CBP Operational offices.
- OIT will incorporate new methods for improving the integration of inspection results in the process for evaluating targeting concepts, rules, and lookouts; Continue incorporation of other federal government agency data into ATS to ensure real time situational awareness; Integrate additional analytical tools into ATS to improve targeting effectiveness.
- OIT will ensure that deployed NII technologies meet the expected operational requirements of CBP.
- OTD will develop a more robust evaluation and assessment process to measure the effectiveness of training and identify any weaknesses. This strategy will also enable OTD to implement a Succession Management Career Development process that engages all CBP management levels to identify individual competencies and establish development plans for employees.

- The Office of Internal Affairs Integrity Program Division plans to initiate 530 research and analysis projects.
- The Office of Internal Affairs Investigative Operations Division (IOD) will open another 1,000 cases.
- HRM will continue to become a premier provider of customer-centric HR Advisory Services.

Adjustments to Base

Human Resources Travel

With the slowing of adding new officers and agents, the Office of Human Resource will reduce travel by \$680,000. Decreases will be achieved by adopting the below strategies:

- Reducing travel associated with recruiting, interviews, testing, labor and employee relations advisory services, union negotiations
- Providing only limited support to recruiting events and
- Reduced capacity to conduct in-field consultations and program assessments with CBP leadership, decreasing organizational effectiveness and stakeholder support.

Some travel reductions could be mitigated through increased use of video-teleconferencing and web seminars.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Rent
Program Performance Justification
(Dollars in Thousands)**

PPA: Rent

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	-	-	402,263
2011 Adjustments-to-Base	-	-	5,940
2011 Current Services	-	-	408,203
2011 Program Change	-	-	(7,630)
2011 Total Request	-	-	400,573
Total Change 2010 to 2011	-	-	(1,690)

The President’s Budget requests \$400.5 million for this activity. This is a decrease of \$1.7 million from FY 2010. The request includes:

- increase of \$4.482 million for annualizations of prior year initiatives
- increase of \$2.043 million associated with the adjustment to base for CBPO staffing
- increase of \$75 thousand for annualization of American Recovery and Reinvestment Act funding for Land Port of Entry Modernization
- decrease of \$4.400 million for terminating leased space at U.S. Postal Service facilities for cargo screening
- decrease of \$3.230 million for rent associated with FY 2011 program changes
- decrease of \$660 thousand for non-recurring costs for import safety.

CURRENT SERVICES PROGRAM DESCRIPTION:

CBP leases a substantial portion of its real property assets through GSA and also by direct lease delegation to non-federal sources. This PPA includes funds to support the rental of facilities, space, buildings, structures, and land along with rent-related building charges and services, including utilities and services provided by the Federal Protective Service (FPS). The Rent PPA supports the Office of Border Patrol, Office of Field Operations, Office of Air and Marine, and the Mission Support activities.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Inspections, Trade, and Travel Facilitation
Program Performance Justification
(Dollars in Thousands)**

PPA: Inspections, Trade, and Travel Facilitation

	Perm. Pos	FTE	Amount
2009 Actuals	19,211	17,618	2,558,232
2010 Enacted	19,005	18,880	2,262,235
2011 Adjustments-to-Base	1,274	730	271,676
2011 Current Services	20,279	19,610	2,533,911
2011 Program Change	8	4	(22,448)
2011 Total Request	20,287	19,614	2,511,463
Total Change 2010 to 2011	1,282	734	249,228

The President' Budget requests \$2.5 billion for Border Security Inspections and Trade Facilitation at POEs. This is an increase of \$249.2 million over the FY 2010 Enacted Budget. The request includes:

- increase of \$181.815 million for salaries to fund Customs and Border Protection officers at a journeyman level of GS-12
- increase of \$70.000 million to address salary shortfalls in the for the current population of CBPOs and to sustain the FY 2010 Import Safety and Trade Enforcement initiative
- increase of \$44.815 million for an additional 389 Customs and Border Protection officers
- increase of \$25.000 million for Intellectual Property Rights enforcement efforts
- increase of \$19.368 million for pay inflation
- increase of \$21.590 million for prior year pay annualization (LPR, staffing for air and land ports of entry, agriculture specialists, passenger screening and DNDO positions)
- increase of \$9.223 million for FY 2010 annualization
- decrease of \$40.600 million in management efficiencies for OIT in source conversion of contractors to Federal positions
- decrease of \$24.500 million for the Western Hemisphere Travel Initiative (WHTI)

- decrease of \$19.948 for the Foreign Language Awards Program (FLAP), which provides cash awards to CBP Officers and Agricultural Specialists who are proficient in and utilize a foreign language in performance of official duties
- decrease of \$14.416 million for non-recurring costs for license plate reader and import safety
- decrease of \$9.447 million to realign 65 positions and the related salaries and benefits costs from the Inspections, Trade, and Travel Facilitation at the POEs PPA to the National Targeting Center PPA
- decrease of \$7.025 million to non-recur FY 2010 Congressional add-on of 50 Customs and Border Protection Officers
- decrease of \$3.647 million in management efficiencies for Office of Field Operations travel
- decrease of \$3.000 million for Advance Passenger Information/Passenger Name Record (API/PNR)

CURRENT SERVICES PROGRAM DESCRIPTION:

This PPA supports the Office of Field Operations Strategic Plan goal to secure our Nation's borders to protect America from entry of dangerous people and goods and prevent unlawful trade and travel and to ensure the efficient flow of legitimate trade and travel across the United States borders.

CBP officers and agriculture specialists are multi-disciplined and perform the full range of inspection, intelligence analysis, examination, and law enforcement activities relating to the arrival and departure of persons, conveyances, and merchandise at ports of entry. CBP's primary responsibility is to identify potential terrorists and instruments of terror and to perform layered enforcement activities relative to counter-terrorism. These enforcement activities prevent the entry of terrorists and instruments of terror, harmful pests and diseases, illegal drugs and contraband, illegal aliens, and importations/exportations contrary to law and trade agreements, from entering/exiting the United States. CBP personnel interpret the laws and regulations of a broad range of Federal, state, and local agencies, relating to the admissibility of people, cargo, and conveyances.

Specific programs under Border Security Inspections and Trade Facilitation at the Ports of Entry (POEs) are covered below:

Western Hemisphere Travel Initiative

Section 7209 of the Intelligence Reform and Terrorism Prevention Act of 2004 (IRTPA; P.L. 108-458 as amended) directs the Secretary of Homeland Security, in consultation with the Secretary of State, to develop and implement a plan requiring U.S. citizens (and non-U.S. citizens) to present a passport or other authorized travel document that denotes identity and citizenship when entering the United States. Consistent with the Consolidated Appropriations Act of 2008, DHS continues to make the required investments to implement this secure document requirement at land and sea border ports of entry.

On June 1, 2009, CBP completed the implementation of WHTI to the 39 high volume ports of entry that support 95 percent of the land border traffic. This includes utilizing Radio Frequency Identification (RFID) technology and technical infrastructure to read, validate, and process passport cards issued by the Department of State and other WHTI compliant RFID-enabled documents such as the Enhanced Driver's License (EDL). CBP completed final operational testing and evaluation in August 2009. In FY 2009, CBP completed implementation of the new primary processing application at additional small land border POE. In FY 2010, CBP will fund operations and maintenance at the ports where WHTI has been implemented to ensure the ongoing optimal performance of the program. In FY 2011, WHTI will shift mainly to an operations and maintenance mode.

The new WHTI land border application fully interfaces with the trusted traveler database in order to allow "flex" lanes at the POEs, enabling lanes to be used as trusted traveler, RFID only, or standard vehicle primary lanes based on the operational needs of the individual POE. When a member in one of the trusted traveler programs (NEXUS, SENTRI, FAST) uses their RFID enabled card in the trusted traveler lane, it automatically captures and satisfies WHTI document requirements, thus enhancing CBP's ability to manage traffic flow at the land borders. This new application supports the EDL Project for the states and the Native American Tribal Enrollment Project in terms of developing the requirements, and it supports the technical interfaces necessary.

Electronic System for Travel Authorization (ESTA)

Section 711 of the Implementing the Recommendations of the 9/11 Commission Act of 2007 (P.L. 110-53) provides for the expansion and enhancement of the Visa Waiver Program (VWP). Pursuant to the 9/11 Act, DHS and CBP are required to provide an automated electronic travel authorization process to screen VWP travelers prior to their travel to the United States. CBP, in coordination with the Department of State, has developed the Electronic System for Travel Authorization (ESTA), which allows CBP to screen applicants in advance of travel to determine their eligibility to travel to the United States under the VWP.

Originally, 27 nations were members of the VWP, but the program expanded to 35 nations in FY 2009. ESTA gives VWP travelers advanced authorization to travel to the U.S. and allows CBP to pre-screen VWP travelers, providing another tool for CBP to further secure U.S. borders by pushing the zone of security outward.

In FY 2009, the ESTA program processed almost 12 million ESTA applications submitted by VWP travelers. CBP's denial rate is approximately 0.23%. In FY 2011, the ESTA program is projected to implement a fee for service, as authorized by Congress, which will fund the program. In FY 2011, CBP estimates that the program will receive over 10 million ESTA applications and that it will deny advance travel authorization to an estimated 0.2% of the applicants.

Outbound Programs

In order to address the escalating violence in Mexico and to increase outbound operations throughout the United States, CBP created the Outbound Programs Division in March

2009. This division oversees current outbound operations and develops the Office of Field Operation's (OFO) long term national outbound strategy.

Outbound Programs creates plans that:

- stem the illegal flow of firearms and currency out of the United States;
- increase the interdictions of stolen vehicles and fugitives who are attempting to flee the country; and
- augment compliance with the Nation's export laws.

The Outbound Program works to ensure that there are trained CBP officers able to conduct outbound operations; that CBP possesses adequate outbound facilities, equipment, and technology; that CBP is working with international and other government law enforcement agencies; and that CBP officers have adequate automated targeting assistance to identify violators. The Outbound Program oversees outbound operations at all POEs, including land crossings, airports, international mail and express courier facilities, and seaports.

CBP has partnered with ICE to support the multi-agency task forces established to identify, disrupt, and dismantle criminal organizations posing a significant threat to border security. CBP personnel are supporting these taskforces, known as Border Enforcement Security Taskforces (BESTs), at all ten established Southwest land border sites.

In FY 2009, thirteen additional currency/firearms detector canine teams completed training to bring the total to eighteen permanently assigned teams to the southwest land border and two additional Non-Intrusive imaging systems were deployed to southwest land border to support outbound operations. Additionally, all eight railroad crossings on the U.S. – Mexico border are conducting 100 percent scanning of outbound rail cars.

Immigration Advisory Program (IAP)

Under the IAP, CBP deploys officers overseas (London-Heathrow, Amsterdam, Tokyo, Frankfurt, Seoul, Madrid, and London-Gatwick) to support CBP's goal of enhancing the security of air travel by preventing terrorists from boarding commercial aircraft destined for the U.S. and reducing the number of improperly documented passengers traveling from or through a country to the United States. IAP provides information to host countries, or appropriate authorities, regarding travelers of interest. It focuses on high-risk persons through the use of current targeting and passenger analysis information or an assessment of the passenger's travel documentation. The goals of this effort are the interdiction and apprehension of criminals and persons of national security interest by host countries, the disruption of attempts to smuggle aliens, and the disruption of attempts to enter the U.S. with fraudulent documents. Since IAP does not have any authority in the host country to take such action, the program works with the host country's immigration and/or control authority and the air carrier who takes the appropriate action to prevent the person from boarding the flight to the United States. In addition to the current IAP locations, CBP conducted an IAP pilot study in Mexico for 120 days (Oct – Dec 2009).

Fraudulent Document Analysis Unit (FDAU)

The mission of the FDAU is to remove fraudulent travel documents from circulation and to prevent the use of these documents by mala fide travelers attempting to enter the United States.

Program managers perform in-depth analysis of documents seized by CBP officers nationwide. These program managers also analyze intelligence from fraudulent documents seized overseas to uncover global patterns and trends. This information is shared within CBP and the Department of Homeland Security (DHS) and with other U.S. and foreign government agencies.

The Fraud Prevention Program was established to increase fraudulent document interceptions through sharing of information within and outside of CBP. In FY 2009, 143 CBP officers were designated as Fraud Prevention Officers (FPO). These FPOs are located at ports of entry, international mail and cargo facilities, and preclearance locations. As FPOs, they conduct document examination training and work closely with headquarters on matters related to document examination and document fraud. During FY 2009, 116 Fraud Prevention Program reports were submitted by FDAU.

As the central location for analysis of fraudulent documents seized by CBP, the FDAU provides training and training materials regarding fraudulent use. The FDAU has worked with the CBP Academy and the Advanced Training Center to update their document training programs. Training material and exemplars are provided to other CBP and DHS entities such as the Border Patrol, Transportation Security Administration, Citizenship and Immigration Services, and United States Coast Guard. In August 2009, Fraud Prevention Program training was made mandatory for all CBP officers. By September 30, 2010, all CBP officers will have received training on the nine training modules.

The FDAU also manages the Carrier Liaison Program (CLP). The mission of the CLP is to enhance border security by increasing commercial carrier effectiveness in identifying improperly documented passengers destined to the United States. In FY 2009, the CLP trained 4,711 airline and security personnel in 24 countries throughout Europe, Asia, South America, Africa, the Middle East, Australia, and New Zealand. The CBP assisted the Electronic System for Travel Authorization (ESTA) program on six international missions to train airline personnel on ESTA and update the Visa Waiver Program requirements mandated by the 9/11 Act. In addition, the program published, distributed, and posted to www.cbp.gov a Revised 2009 Carrier Information Guide. The revised guide includes information on the WHTI, ESTA, and Trusted Traveler Programs, new Advanced Passenger Information System (APIS) information, and contains human trafficking information to highlight for the airlines the real threat to young victims around the world.

Admissibility Review Office (ARO)

The ARO provides CBP with a dedicated resource with institutional knowledge and a consistent approach in making determinations of admissibility relative to the exercise of discretion of inadmissible aliens under the Immigration and Nationality Act (INA). The

ARO works extensively with the Department of State (DOS) and other agencies to determine whether inadmissible aliens may be permitted to travel as non-immigrants with waivers. The ARO reviews applications submitted by aliens who have been determined by CBP officers or consular officers to be ineligible to be admitted to the United States because of one or more grounds of inadmissibility under section 212(a) of the INA. The ARO completed over 18,000 cases in FY 2009. The ARO plans to complete approximately 16,000 cases in FY 2010 and 17,000 cases in FY 2011.

The ARO currently processes and adjudicates all nonimmigrant waivers of inadmissibility recommended by DOS consular officers worldwide. It also adjudicates all nonimmigrant temporary and permanent waiver applications, Form I-192, and Form I-212 within the jurisdiction of CBP.

Office of Alien Smuggling Interdiction (ASI)

ASI was established in September 2006 to expand the nation's zone of security beyond physical U.S. borders by preventing the boarding of individuals traveling to the U.S. who may be inadmissible or traveling on fraudulent or fraudulently obtained travel documents, and to reduce the threat to our nation's security by combating illegal migration, disrupting organized smuggling operations, and identifying and preventing clandestine terrorist travel. ASI's primary goals are to deter, detect, and disrupt illegal migration to the United States and increase criminal prosecution of smugglers and human traffickers. The office focuses on migratory trends, specifically human smuggling and trafficking related issues.

ASI manages the Regional Carrier Liaison Groups (RCLGs) located at the international airports in New York (JFK), Miami and Honolulu. The RCLGs help to carry out the ASI mission by preventing passengers who may be inadmissible, or who possess fraudulent documents, from traveling to the U.S. RCLGs also work with carriers to facilitate boarding of bona-fide passengers and provide 24/7 assistance on immigration related issues. ASI/RCLG officers prevent fraudulently and improperly documented aliens from boarding U.S. bound aircraft through various targeting methods and by working with carriers and U.S. government representatives overseas. ASI/RCLG officers make recommendations to the carriers against boarding (offloading) suspect travelers and to refer these travelers to local authorities in all instances involving fraud. RCLGs provide a service to the travel industry by assisting carriers with boarding questions, and providing expert guidance on suspect passengers. The travel industry has come to rely on RCLGs as a means to navigate complicated immigration laws and as a resource for fraud prevention. In FY 2009, RCLG received approximately 17,000 calls for assistance from carriers and offloaded nearly 2,000 passengers bound for the United States, of which 224 were fraud related.

Canine Enforcement Program (CEP)

CEP plays a crucial role in CBP's anti-terrorism and interdiction efforts. The CEP remains a major component in CBP's ability to interdict illegal narcotics, concealed humans, prohibited agriculture products, firearms, and undeclared currency while facilitating legitimate trade and travel.

Through CEP, CBP has established and deployed world-class detector dog programs to augment existing technology while establishing cutting edge detection capabilities. Under these programs, the agency now provides a higher level of security and detection capability while emphasizing a seamless conduit between existing technology and the proven capabilities of detector dogs. The CEP will continue to advance and develop the anti-terrorism aspects of its mission while maintaining the traditional roles of narcotics interdiction. The Office of Field Operations canine teams are strategically assigned to ports of entry around the United States and pre-clearance stations abroad. As their core mission, CBP officers use specially trained detector dogs in an interdiction role at our nation's ports of entry, and they are also involved in specialized detection programs aimed at combating the terrorist threat at our nation's borders, international airports, and seaports.

In FY 2009, the Office of Field Operations had 605 CBP canine officers: 208 Narcotics Detection Teams, 32 Currency Detection Teams, 212 Narcotics/Human Smuggling Detection Teams, 94 Agricultural Teams, 51 Canine Trainers, and 8 Canine Advisors.

Trade Operations Division (TOD)

TOD is responsible for coordinating, implementing, supporting, and monitoring trade enforcement initiatives in the field; collaborating with the Office of International Trade (OT) on the development of national enforcement efforts; supporting U.S. CBP's trade discipline role in security and enforcement matters; managing the operational implementation of trade policy established by OT pertaining to import specialists, entry specialists, and drawback specialists; ensuring the implementation and operational accountability of field offices in their administration of trade programs; establishing efficient and effective mechanisms to conduct oversight of trade programs; promoting uniformity through common measures and best practices; and developing mechanisms to identify operational deficiencies and provide a plan for resolution.

Agriculture Programs and Trade Liaison (APTL)

The APTL office provides leadership, expertise, and innovation to defend the United States from the threats of agro and bio-terrorism. APTL also is responsible for meeting the traditional goals of safeguarding and protecting American agriculture from the risks associated with the entry, establishment, or spread of plant pests and pathogens, noxious weeds, and foreign animal diseases. The specific activities conducted by CBP's APTL fall into five general areas:

- The Agro/Bio-Terror Countermeasures (ABTC) Program mission is to prevent ag/bio-terrorists, their equipment, and weapons from entering into the United States. In partnership with scientific, regulatory, intelligence, and law enforcement agencies, the program seeks to assess risks and obtain information to guide the development and implementation of specific targeting and inspection systems to better protect our people, agriculture, food, and economy from ag/bio-terror attacks.

- The Agriculture Operational Oversight (AOO) office is responsible for improving oversight of the agricultural mission across all CBP field offices by ensuring a more consistent application of agriculture inspection policy across all ports of entry. The office is the primary point of contact for all stakeholder-related issues and the implementation of the Joint Agency Task Force Implementation Action Plans, including coordination with the Animal & Plant Health Inspection Service (APHIS), Department of Agriculture (USDA), Department of Homeland Security, and our agriculture industry stakeholders.
- Agricultural Policy provides policy, planning, and guidance for CBP agriculture inspection programs in order to prevent the intentional and unintentional introduction of plant and animal pests and diseases.
- Agricultural Safeguarding is responsible for the development, clarification, and interpretation of agricultural oversight policy and procedures. In addition, Agricultural Safeguarding is responsible for the application strategies for maritime cargo, air cargo, land border cargo, passenger processing (air, maritime, land border), and trade facilitation and related operations.
- The Fines, Penalties, & Forfeitures (FP&F) Division is responsible for the oversight, policy initiation, and staffing of all 41 Fines, Penalties, and Forfeitures Offices across the United States. These 41 offices perform administrative legal processing of all enforcement actions performed by CBP officers, import specialists, entry specialists and ICE special agents. The FP&F Division is responsible for all aspects of the seized property process to ensure proper management control and accountability of all property that CBP's OFO seizes. The FP&F Division also adjudicates carrier fines assessed under the Immigration and Nationality Act (INA), all liquidated damages, penalty, and seizure cases initiated under the Tariff Act (Customs violations) and certain agriculture penalties. This adjudication includes oversight of both administrative and judicial actions related to violations of law referred to headquarters for initiation as well as providing guidance to the field on carrier fines issues.

Air/Sea Cargo Security Verification Program

The Air/Sea Cargo Security Verification Program establishes maritime and air cargo policy. The program's primary focus is to secure cargo against terrorists and the transport of terrorist weapons within the cargo arena, to coordinate the maritime/air programs with other law enforcement agencies, and to ensure the maximization of efforts in these environments. The program provides a critical component in the facilitation and coordination among other law enforcement agencies of combined anti-terrorism efforts while ensuring the facilitation of trade continues with minimal effect on our economy.

In the maritime environment, CBP has the lead for cargo security controls and measures to mitigate the risk of suspect shipments arriving from or departing to foreign destinations. These efforts support the CBP Cargo Security Strategy and other DHS initiatives such as implementation of the SAFE Port Act of 2006 (P.L. 109-347), and the

9/11 Act. CBP works in collaboration with DHS and its component agencies, such as the United States Coast Guard (USCG), on cargo and port security matters. CBP and USCG have developed joint protocols for maritime operations, including the development of response matrices and joint protocols in the event of an incident of national significance. Further, CBP and USCG routinely conduct joint operations such as law enforcement vessel boardings, targeting efforts, and maritime cargo enforcement operations. Additionally, CBP continues to work with the Transportation Security Administration (TSA) and the USCG in an effort to facilitate the enforcement of the Transportation Worker Identification Credential. Lastly, CBP and USCG work to address business resumption and recovery efforts under the Homeland Security Presidential Directive 13 and collaboratively address industry and trade issues through specific cargo and maritime federal advisory committees.

In the air environment, CBP is strengthening air cargo security measures by updating its national advance targeting unit efforts in support of the CBP International Air Cargo Security Strategy and DHS's National Strategy for Aviation Security. Currently, CBP is working to effectuate enhanced security protocols in the air cargo environment to ensure that high risk cargo is identified for examination and is not released without proper CBP authorization. Additionally, CBP is working with TSA and the DHS Screening Coordination Office to strengthen access control protocols in the air cargo and passenger environments. Lastly, the CBP Office of Port Security is working with the field to identify operational issues and to maximize efforts in the air cargo security environment and other modes of transportation.

Adjustments to Base

Journeyman Increase

CBP requests an increase of \$181.815 million to fund the increased salary and benefit requirements associated with the implementation of raising the journeyman grade level for the frontline CBP officers (CBPOs), Border Patrol agents (BPAs) and CBP Agricultural Specialists (CBPAS') within CBP from the GS-11 level to the GS-12 level.

The Office of Personnel Management has issued a revised GS-1800 Inspections, Investigation, Enforcement and Compliance Standard. The new standard covers the Customs and Border Protection officer series as well as the Border Patrol agent series and provides factor level descriptions and illustrations, which represent current information as to the occupations within its coverage, based upon the audits and interviews that the OPM position classifiers learned from on-site visits to field locations, as well as input from the agencies human resources and operational staffs.

CBP has also conducted a rigorous review of the nature of the work performed by the core of the frontline border patrol agents and CBP officers. The work responsibilities and expectations have continuously increased since CBP became the principal border control agency when DHS was created. The outcomes and consequences of front-line work have never been greater.

CBPOs, BPAs and CBPAS' daily work is exemplar of individuals working at the GS-12 level; and the agency needs to provide these dedicated employees with the appropriate level of compensation.

The work performed by most frontline officers, agents, and specialists equates to the GS-12 level based on the pending job duties description that we are now finalizing. The factors of their work that merit the increase include:

- Job complexity in the wide variety of laws that are enforced;
- The broadening of mission and responsibilities to include focus on terrorist activities;
- Shift to an intelligence-driven organization that makes work more proactive in nature;
- Deployment of sophisticated technology and infrastructure;
- Increased violence at the borders; and
- Increased work with other law enforcement agencies, and enforcement-related activities.

CBP will soon be finalizing the new position descriptions that outline the duties and responsibilities of these critical frontline positions.

Salary Shortfalls for Current CBPOs and Import Safety Initiative Sustainment

CBP proposes to increase the Inspections, Trade, & Travel Facilitation at the POEs PPA by \$70 million to address the systemic salary shortfall in the current population of CBPOs and to sustain the FY 2010 Import Safety and Trade Enforcement initiative.

CBPO Staffing

CBP requests an adjustment to base of \$44.815 million, 389 positions, and 195 FTEs for an increase to Customs and Border Protection Officers (CBPOs) in the Office of Field Operations. The adjustment to base will fund 318 CBPOs and 71 support positions. The proposed adjustment will allow CBP to maintain staffing for critical positions and support CBP's mission to protect the U.S. at its POE from the infiltration of terrorists and other criminal elements into the country as well as efforts to address the illegal smuggling of drugs, money instruments, and aliens across our borders.

In-Source Contractor Positions (Conversion to Federal Positions)

The Office of Information Technology will reduce Inspection, Trade, and Travel Facilitation by \$40.6 million in anticipated savings which will be achieved through hiring Federal employees to perform inherently governmental tasks currently performed by contractors. Based on current costs being paid to contractors for these services, we anticipate significant savings with little or no impact on service. OIT anticipates additional benefits will be achieved through having a more stable workforce committed to the mission of the agency.

The types of work that will be transitioned to government staff include budget planning and execution, acquisition support and oversight, audit support, program management, system acceptance testing, technology evaluation and acceptance and technical skills necessary to ensure that the government has the capability to properly evaluate and manage those services and products provided by contractors.

National Targeting Center Realignment

The Office of Field Operations will realign 65 positions and \$9.447 million for salaries and benefits costs from the Inspections, Trade, and Travel Facilitation at the Ports of Entry PPA to the National Targeting Center (NTC) PPA. This realignment will correct an error in how the positions were originally annualized.

Through the FY 2007 War Supplemental, OFO received 227 positions for targeting and screening US bound cargo. Of the 227 positions, 162 CBPOs were for increased enforcement and inspection activities at high-priority northern border ports of entry. 65 CBPOs were assigned to the NTC-Cargo to screen and target inbound cargo. The 65 NTC positions should have been annualized in the NTC PPA. The funding realignment corrects the error and has no programmatic impact.

Office of Field Operations Travel Reduction

The Office of Field Operations will reduce their headquarters and field travel by \$3.647 million. Decreases are projected in the following areas:

- Resources to support agriculture inspections conducted in the field;
- Number of Temporary On-Duty (TDY) personnel detailed to headquarters to support current programs; and
- Government travel by headquarters personnel to attend meetings and conferences held by stakeholders.

OFO headquarters programs will discontinue the use of TDY personnel as a stop-gap measure while filling staffing vacancies. In order to achieve the reduction, OFO will have to reduce the number of TDY personnel detailed to headquarters to support current programs. Government travel to participate in various meetings, conferences, and recruitment events throughout the country will also be reduced.

FY 2009 accomplishments include:

- Completed the rollout of WHTI infrastructure and technology to all remaining high volume land ports of entry and completed the deployment of the new vehicle primary processing application to the remaining lower volume ports of entry;
- Completed implementation of the ESTA system and website in multiple languages to accommodate all VWP countries;

- Addressed the threat of border violence by doubling the number of currency/firearm canine teams deployed;
- Identified nearly 2,800 persons who were not properly documented for travel to the U.S. Thirty-eight persons were intercepted with fraudulent documents; two persons were identified as smugglers; and a total of 212 terrorist-related suspects were intercepted. Four additional employees were deployed to two overseas locations (Amsterdam and London);
- Continued to enhance CBP's internal and external agricultural-related outreach and communication efforts by leveraging DHS, USDA, and stakeholder outlets;
- Deployed outbound equipment, officers, and overtime in order to increase outbound currency and firearm seizures along the Southwest land border which has resulted in a seizure of over 100 weapons and \$37 million in undeclared currency being smuggled into Mexico; and
- Since March 2009, CBP conducted five Mobile Response Team (MRT) operations to support the SWB surge operations

FY 2010 goals include:

- Transitioning the ESTA system and website to an Operations and Maintenance (O&M) mode;
- Delivering a traffic management system (LED signage) to the high volume land ports of entry, completing deployment of WHTI facilitative technology to novel booth configurations and to additional land ports of entry with an operational requirement for the WHTI technical solution, maintaining a secure border at the land ports of entry while facilitating legitimate trade and travel, and extending WHTI facilitative technology to other environments such as pedestrian processing, ferries, and rail;
- Enhancing the capabilities of the Canine Enforcement Program to match the increasing challenges of expanding foreign trade and the new demands related to the terrorist threat;
- Creating a CBP Agriculture Specialist (CBPAS) risk-based resource allocation and optimization model for assisting in determining deployment for CBPAS and CBP agricultural canine resources at ports of entry; and
- Increasing recruitment efforts in outbound operations, and installing outbound license plate readers along the southwest border to increase the seizures of firearms and currency and the interdiction of stolen vehicles and fugitives.

FY 2011 goals include:

- Continuing to enhance the capabilities of the Canine Enforcement Program to match increasing challenges of expanding foreign trade and the new demands related to the terrorist threat;
- Transitioning the WHTI program to an Operations and Maintenance (O&M) mode and achieving performance goals;
 - Implementing a fee for service program for ESTA, as authorized by Congress;
- Developing comprehensive information exchange procedures with the U.S. Department of Agriculture (USDA) Animal Plant Health Inspection Service

- (APHIS) to fully integrate data capture and analysis capabilities for agriculture operations at ports of entry and cargo business processes; and
- Improving risk management and risk analysis activities within agriculture programs.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Harbor Maintenance Fee Collection (Trust Fund)
Program Performance Justification
(Dollars in Thousands)**

PPA: Harbor Maintenance Fee Collection (Trust Fund)

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	3,154
2010 Enacted	-	-	3,226
2011 Adjustments-to-Base	-	-	48
2011 Current Services	-	-	3,274
2011 Total Request	-	-	3,274
Total Change 2010 to 2011	-	-	48

CBP requests \$3.3 million for Harbor Maintenance Fee Collection. This is an increase of \$48 thousand over the FY 2010 Enacted Budget. The request includes:

- increase of \$16 thousand for FY 2010 pay annualization
- increase of \$32 thousand for 2011 pay increase

CURRENT SERVICES PROGRAM DESCRIPTION:

The Harbor Maintenance Fee is an Army Corps of Engineers (COE) fee, which is collected for the operation and maintenance, as well as improvements, of U.S. channels and harbors. CBP is reimbursed for a portion of the costs associated with the collection of the fee for COE.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
International Cargo Screening
Program Performance Justification**
(Dollars in Thousands)

PPA: International Cargo Screening (Container Security Initiative)

	Perm. Pos	FTE	Amount
2009 Actuals	189	187	148,880
2010 Enacted	189	189	162,000
2011 Adjustments-to-Base	-	-	(10,227)
2011 Current Services	189	189	151,773
2011 Program Change	(8)	(4)	(67,328)
2011 Total Request	181	185	84,445
Total Change 2010 to 2011	(8)	(4)	(77,555)

The President’s Budget requests \$84.4 million for International Cargo Screening. This is a decrease of \$77.6 million from the FY 2010 Enacted Budget. The request includes:

- increase of \$185 thousand for FY 2010 pay annualization
- increase of \$388 thousand for FY 2011 pay raise
- decrease of \$50.749 million for the Container Security Initiative (CSI), which will be achieved as CSI transitions from a physical presence to a virtual presence at most CSI ports
- decrease of \$16.579 million for the Secure Freight Initiative (SFI), which will be achieved by reverting to CSI protocols (high-risk scanning instead of 100% scanning) at three SFI ports
- decrease of \$10.800 million for management efficiencies through eliminating the purchase of information on the financial solvency of trading companies and relying on current sources and open sources for the required information

CURRENT SERVICES PROGRAM DESCRIPTION:

This PPA supports the Office of Field Operations Strategic Plan goal to ensure the efficient flow of legitimate trade and travel across the United States border.

This PPA includes Container Security Initiative (CSI) operations, which consists of 58 foreign ports, and the Secure Freight Initiative (SFI) at the current services level. The CSI/SFI program will continue its mission to prevent terrorists and terrorist weapons

from entering the U.S. while also facilitating the flow of legitimate trade and phasing out operations at 54 foreign ports.

Container Security Initiative

CSI is a multinational program in place to assist protecting maritime containerized shipping from being exploited or disrupted. In FY 2010, CSI continues to operate in 58 ports and screened over 80 percent of the volume of maritime containers destined for the U.S. CBP will begin to shift from the initial CSI operating protocols (which were heavily dependent on the placement of U.S. personnel overseas) to a more technological based approach, relying on remote targeting from the NTC-C, remote examinations and image analysis, and greater reciprocal examination relationships with host governments. As CSI activities transition to a more virtual environment, personnel and mission support resources stationed overseas will be relocated to U.S. domestic ports. This will allow the program to become more efficient and less costly.

The current core elements of CSI are:

- Identifying high-risk containers—CBP uses automated targeting tools to identify containers that pose a potential risk of terrorism, based on advance shipping information and strategic intelligence.
- Screening and evaluating containers before they are shipped—shipments are screened as early in the supply chain as possible, generally at the last port of lading.
- Using technology to scan high-risk containers to ensure that scanning can be done rapidly without impeding the movement of trade—this technology includes large-scale X-ray, gamma ray machines, and/or radiation detection devices.

Since CSI was unveiled in January 2002, it has been part of our government's strategy to secure the nation from the potential terrorist threat of using maritime cargo containers. With the four remaining ports, CSI will continue to foster partnerships with other countries and our trading partners in order to inspect high-risk shipments before they are loaded on board vessels to the United States. CBP will ensure effective coordination with host countries by conducting periodic risk evaluations of ports to assess the level of staffing and other resource needs. CBP will also encourage interagency cooperation by developing a capacity to collect and share information and trade data gathered from CSI ports.

Secure Freight Initiative (SFI)

The goal of SFI is to incorporate a three-pronged approach to enhance supply chain security that includes the International Container Security (ICS) program, the development of a regulation to require additional data elements for improved high-risk targeting, known as Security Filing (10+2), and initiatives to identify and acquire technology enhancements to strengthen cargo scanning and cargo risk assessment capabilities.

The ICS program uses an integrated scanning system, consisting of radiation portal monitors (RPM) and non-intrusive inspection (NII) imaging systems provided by CBP, to scan containers as they move through foreign ports. Through optical character recognition technology, data from these systems are integrated and provided to CBP officers, who determine if the container should be referred to the host nation for secondary examination prior to lading. ICS provides additional data points that are used in conjunction with advanced manifest data, such as 24-hour rule information, Customs-Trade Partnership Against Terrorism information, and the Automated Targeting System to assess the risk of each container coming to the United States.

In FY 2010, the SFI's ICS program is fully operational and is currently scanning a portion of U.S. bound containers laden in the below three foreign ports that were mandated by the SAFE Port Act to establish a pilot program in foreign countries to scan all US-bound containers laden in those ports for radioactive and nuclear material:

- Port of Qasim (Pakistan)
- Puerto Cortes (Honduras)
- Port of Southampton (UK)

On April 30, 2009 CBP and the Hong Kong government concluded the cooperative agreement to conduct a pilot study to scan maritime containers under SFI utilizing large-scale radiation detection and imaging systems. This study provided valuable operational lessons on the technical, logistical, and diplomatic challenges with scanning maritime containers in a high volume port such as Hong Kong. CBP and the Hong Kong government have agreed to continue to work together and explore alternative approaches toward enhancing container and trade security through risk management and total supply chain security.

CBP has been focusing initial deployments of SFI scanning/imaging operations to a limited number of strategic locations where the additional scan data would prove the most beneficial towards enhancing CBP targeting for high-risk maritime cargo.

In FY 2011 CBP will begin a transition to phase out operations at three of the five current locations and relocate personnel domestically; CBP will maintain operations at Port of Qasim, Pakistan and in Salalah, Oman.

Although SFI is a part of CBP's layered risk-based approach, CBP will continue to use and strengthen other means towards the same goals of SGI such as the 24 hour rule, Importer Security Filing and Additional Carrier Requirements Rule (10+2), and C-TPAT.

The Importer Security Filing and Additional Carrier Requirements required DHS to develop a regulation that requires additional data elements for improved high-risk targeting, including appropriate security elements of entry data to be provided as advanced information prior to vessel lading. CBP's 'Importer Security Filing and Additional Carrier Requirements' regulation, also known as "10+2", became effective on January 26, 2009 as an Interim Final Rule. The "10+2" Interim Final Rule significantly

increases the scope and accuracy of information gathered on the goods, conveyances and entities involved in the shipment of cargo to the United States via vessel by requiring importers to supply CBP with an electronic Importer Security Filing consisting of 10 trade data elements 24 hours prior to lading for cargo shipments that will be arriving into the United States by vessel. The ocean carriers are required to provide their vessel stow plans and container status messages to CBP electronically.

In FY 2011, CBP will revert to CSI protocols, which means to only scan those containers identified as “high risk” at three of the five existing ports (Honduras, Southampon and South Korea). CBP operations at Port of Qasim, Pakistan and in Salalah, Oman will remain constant.

Adjustments to Base

Efficiencies in Information Sources for Trade

CBP will eliminate a contract which provides information on companies’ financial status and soundness. This contract elimination will result in an efficiency saving of \$10.8 million annually. This reduction will have a limited impact on CBP’s ability to determine a company’s reliability and financial soundness. As an alternative to the contact, CBP will determine potential alternate sources of business information such as open source information to augment the needs of the Customs-Trade Partnership Against Terrorism and the trade programs that currently receive information from this contract.

FY 2009 accomplishments include:

- Phased in the implementation of Secure Filing (10+2) regulations; and
- Workload and staffing levels were evaluated in all CSI ports to ensure staffing levels were consistent with workload. Eliminated thirty positions through normal attrition and/or staff reduction; those officers returned to domestic ports and/or to the NTC-C.

FY 2010 goals include:

- Finalizing the structured review of the “10+2” Interim Final Rule;
- Establishing a port in Karachi; and
- Maintaining “10+2” data in the Automated Targeting System to enhance CBP’s targeting efforts; and

FY 2011 goals include:

- CBP will begin the transition from a physical presence to a virtual presence at CSI ports; and
- SFI will begin a transition to phase out operations at three of the five current locations and establish a port in Karachi.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Other international programs
Program Performance Justification
(Dollars in Thousands)**

PPA: Other international programs

	Perm. Pos	FTE	Amount
2009 Actuals	101	100	14,973
2010 Enacted	101	101	11,181
2011 Adjustments-to-Base	-	-	127
2011 Current Services	101	101	11,308
2011 Total Request	101	101	11,308
Total Change 2010 to 2011	-	-	127

The President’s Budget requests \$11.3 million for Other International Programs. This is an increase of \$127 thousand over the FY 2010 Enacted Budget. The request includes:

- increase of \$41 thousand for FY 2010 pay annualization
- increase of \$86 thousand for 2011 pay raise

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of International Affairs (INA) administers several international programs that support the U.S. Government’s objectives in anti-terrorism, border security, non-proliferation and customs and immigration laws. CBP’s international programs serve as the conduit for CBP’s participation in international forums such as the World Customs Organization (WCO), and in regional bodies such as the Asia-Pacific Economic Cooperation (APEC) forum. These programs provide the platform for the negotiation of agreements, memoranda of understanding and letters of intent. CBP’s key objectives for its international programs are:

- Develop, promote, and implement CBP’s international strategy;
- Negotiate international agreements and other instruments for CBP;
- Advance CBP’s international policy initiatives in international forums; and
- Develop and maintain strategic international relationships

INA is also responsible for coordinating and supporting foreign initiatives, programs, and activities within CBP. INA strives to extend U.S. borders by implementing programs and initiatives that promote anti-terrorism, global border security, non-proliferation, export controls, immigration, capacity building, and facilitating legitimate trade. INA focuses

on international cooperation and strengthening multi- and bi-lateral relationships to achieve international agreements and joint efforts that both facilitate and secure legitimate trade and travel. INA promotes expansion of the World Customs Organization (WCO) Security and Facilitation in Global Environment (SAFE) Framework of Standards by providing targeted countries with training and advisory support through programs such as Capacity Building and Export Control and Border Security (EXBS).

Additionally, INA identifies, develops, implements, and coordinates specialized training and developmental assistance programs for foreign customs and other law enforcement officials and organizations. INA provides in-country advisory support for broad-based customs reform and modernization and ensures CBP is represented at overseas posts and influencing policy throughout the world.

FY 2009 accomplishments include:

- Identified and pursued opportunities for cooperation with foreign governments and international organizations on issues such as the Mutual Recognition of customs-trade programs and “single window” data systems for international trade and customs information;
- Increased awareness of the Electronic System of Travel Authorization (ESTA) and other CBP initiatives and programs by facilitating and participating in international conferences and meetings; and
- Arranged the signing of a Letter of Intent between the Secretary of DHS and Mexico’s Minister of Finance.

FY 2010 goals include:

- Pursuing, maintaining and establishing international partnerships to share best practices, exchange information, and promote the facilitation of secure travel and trade and support implementation of the WCO SAFE Framework;
- Implement initiatives in support of an international immigration strategy to identify and interdict high risk travelers; and
- Continue to provide leadership in the Mexico Interagency Team, which coordinates and oversees U.S. government technical assistance activities in Mexico; and

FY 2011 goals include:

- Identify international arenas in which CBP should raise its level of engagement to promote CBP’s objectives;
- Promote CBP’s strategies for post-event security (e.g., Business Resumption/Trade Recovery initiatives); and
- Strengthen relationships with DHS components, Other Government Agencies (OGAs), and non-government stakeholders with regard to international initiatives.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
C-TPAT
Program Performance Justification
(Dollars in Thousands)**

PPA: C-TPAT

	Perm. Pos	FTE	Amount
2009 Actuals	207	207	52,420
2010 Enacted	207	207	62,612
2011 Adjustments-to-Base	-	-	524
2011 Current Services	207	207	63,136
2011 Program Change	-	-	(12,000)
2011 Total Request	207	207	51,136
Total Change 2010 to 2011	-	-	(11,476)

The President’s Budget requests \$51.1 million for C-TPAT. This is a decrease of \$11.5 million from the FY 2010 Enacted Budget. The request includes:

- decrease of \$12.000 million in program changes for C-TPAT, which will result in reduced contractor support. As C-TPAT moves into a maintenance mode, less contractors are needed.
- increase of \$169 thousand for FY 2010 pay annualization
- increase of \$355 thousand for FY 2011 pay raise

CURRENT SERVICES PROGRAM DESCRIPTION:

This PPA supports the Office of Field Operations Strategic Plan goal to ensure the efficient flow of legitimate trade and travel across the United States borders. This program, in compliance with the requirements of the Safe Port Act, reviews and certifies security profiles within 90 days of submission and conducts validations within one year of certification and revalidations within three years of the initial validations for supply chain participants.

The C-TPAT program is CBP’s premier trade security program. The purpose of C-TPAT is to partner with the trade community for the purpose of securing the U.S. and international supply chains from possible intrusion by terrorist organizations. C-TPAT requires the trade community participant to document and validate their supply chain security procedures in relation to existing C-TPAT criteria or guidelines as applicable. C-TPAT company participants develop an internal validation process to ensure the

existence of security measures documented in their Supply Chain Security Profile and in any supplemental information provided to CBP. As a part of the C-TPAT process, C-TPAT Supply Chain Security Specialists (SCSS) and the C-TPAT participants jointly conduct a validation of the company's supply chain security procedures. The validation process is essential to verify the company's commitment to C-TPAT.

C-TPAT's Supply Chain Security Specialists conduct C-TPAT validations, identify supply chain security vulnerabilities, and work to monitor company initiatives that address those vulnerabilities. Validations conducted by Supply Chain Security Specialists serve to determine the accuracy and effectiveness of companies' security profiles as applied to their foreign and domestic supply chains.

To better secure and facilitate the flow of goods into the United States, CBP will continue to ensure that existing and new C-TPAT partners fulfill their commitments by verifying that agreed upon security measures have been implemented. CBP will also continue to work with C-TPAT partners to further finalize minimum applicable supply chain security criteria and security best practices. C-TPAT teams travel around the globe to visit partners, their vendors, and vendors' plants to validate that supply chain security meets C-TPAT minimum security criteria. They also ensure that best practices and procedures used are reliable, accurate, effective, and meet the agreed upon security standards. CBP will continue to provide tools and create incentives for the private sector to join C-TPAT, which is a prerequisite for the Free and Secure Trade (FAST) program and other CBP expedited processing programs.

FY 2009 accomplishments include:

- Complied with the requirements of the Safe Port Act, such as reviewing and certifying security profiles within 90 days of submission and conducting validations within one year of certification and revalidations within three years of the initial validation;
- Continued to expand and strengthen the C-TPAT program and ensure that certified member companies are securing their goods moving across the international supply chain to the United States;
- Completed an additional mutual recognition arrangement with Japan; and
- Created a new enrollment sector for Third Party Logistics Providers (3PL) involved in the international movement of cargo and began accepting and processing applications for companies eligible to participate in the program under this new sector.

FY 2010 goals include:

- Maintaining 90 percent or higher compliance rates for C-TPAT members in terms of the ratio of suspensions/removals to overall number of certified/validated partners;
- Completing an additional mutual recognition arrangement with a foreign Customs counterpart;
- Implementing an international strategy that will focus on encouraging the formation of industry partnership programs overseas; and

- Creating a more robust information collection and analytical process to improve information sharing.

FY 2011 goals include:

- Establishing an evaluation branch to effectively assess the program's internal policies and procedures, which will ensure C-TPAT members are improving the security of their supply chains in accordance with the security criteria;
- Expanding the analytical capabilities of the program as resources permit to identify trends and specific high risk areas, which need to be validated;
- Conducting revisits of validated companies to physically confirm that all security deficiencies that were previously identified have been rectified, as resources permit;
- Completing an additional mutual recognition arrangement with a foreign Customs counterpart; and
- Addressing narcotics breaches involving C-TPAT members along the southwest border by implementing new strategies such as focused outreach sessions to strengthen supply chains originating in Mexico.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Trusted Traveler Programs (TTP)
Program Performance Justification
(Dollars in Thousands)**

PPA: Trusted Traveler Programs (TTP)

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	11,220
2010 Enacted	-	-	11,274
2011 Adjustments-to-Base	-	-	(387)
2011 Current Services	-	-	10,887
2011 Total Request	-	-	10,887
Total Change 2010 to 2011	-	-	(387)

CBP requests \$10.9 million for Trusted Traveler Program (TTP). This request includes a decrease of \$387 thousand for management efficiencies implemented through WHTI technology.

CURRENT SERVICES PROGRAM DESCRIPTION:

This PPA supports the Office of Field Operations Strategic Plan goal to ensure the efficient flow of legitimate trade and travel across the United States borders.

Trusted Traveler Programs (TTPs)

Since the terrorist attacks of September 11th, 2001, CBP has placed great emphasis on developing and expanding TTP for passengers and commercial truck drivers at the land borders with Canada and Mexico and developing similar programs for international air passengers. TTP helps to identify low-risk, vetted travelers by the voluntary submission of an application and subsequent vetting using automated name and fingerprint based checks of law enforcement databases, fingerprint/name checks, and an interview with a uniformed officer. The programs continued to expand, and membership increased by 18% in FY 2009 for a total of 667,000 members. Currently, CBP TTP has four programs – NEXUS, Secure Electronic Network for Travelers Rapid Inspection (SENTRI), Free and Secure Trade (FAST), and Global Entry.

NEXUS Highway and Air

NEXUS is a joint US/Canada enrollment program at the Northern Border land ports of entry and all Canadian preclearance ports that identifies low risk travelers through a

complete biographic check, an interview with a CBP officer, and a fingerprint check. Once an applicant is identified as low-risk they are enrolled in the NEXUS program and given a Radio Frequency Identification (RFID) enabled card that is specific to the traveler. The RFID-enabled card allows the traveler to use specific primary lane(s) at the land border port of entry that are reserved for NEXUS enrollee use. At the Canadian preclearance airports, passengers use kiosks instead of dedicated lanes, and CBP uses iris scans to identify low risk travelers rather than RFID-enabled cards. At the time of enrollment, travelers qualify for trusted traveler status in all modes of travel, e.g. air, sea, and land. The introduction of WHTI lane technology will provide local managers with the flexibility to add and subtract dedicated lanes to fit traffic demand. In 2009, CBP had approximately 350,000 NEXUS members. This is 37,000 more members than previously predicted. In FY 2010, CBP projects to have 460,000 members in the NEXUS program.

Secure Electronic Network for Traveler's Rapid Inspection (SENTRI)

SENTRI is an enrollment program at the Southern Border land ports of entry that is similar to NEXUS except the program is run by CBP exclusively and vehicle information is also vetted through law enforcement databases and is searched prior to enrollment. SENTRI is only a land border program. The SENTRI program is located at nine Southern Border locations - Nogales, Arizona (1); Calexico (1) Otay Mesa (1) and San Ysidro (1), California; and Brownsville (1), Hidalgo (1), Laredo (1) and El Paso (2), Texas. The future WHTI lane expansions will have NEXUS and SENTRI RFID capabilities. In FY 2009, CBP has 203,000 SENTRI members, a slight increase over previous projections, and in FY 2010, projects to have 235,000 members in this program.

Free and Secure Trade (FAST)

FAST is the cargo equivalent of the SENTRI and NEXUS facilitative programs in the passenger environment. Through FAST, importers, commercial carriers, truck drivers, and manufacturers who enroll in the program and meet agreed upon security criteria, including participation in the Customs-Trade Partnership Against Terrorism program, are entitled to expedited clearance at the port of entry. Using electronic data transmission and transponder technology, CBP expedites clearance of approved trade participants. The FAST program fosters more secure supply chains and enables CBP to focus security efforts and inspections where they are needed most – high-risk commerce. In FY 2009, CBP has 93,000 FAST members and plans to have 100,000 members in this program in FY 2010.

Global Entry (GE)

GE is a program operated by CBP to allow for the expedited clearance of pre-approved low-risk air travelers into the United States. Through the use of automated kiosks placed in the Federal Inspection Services (FIS) area of each identified airport, a vetted, enrolled traveler is able to conduct the Passport Control Inspection without having to see a CBP officer. This program is of great benefit especially for those frequent travelers who travel internationally.

Currently, GE is available at Atlanta, Boston, Dallas/Ft. Worth, Dulles, Chicago, Detroit, Ft. Lauderdale, Honolulu, Houston, Las Vegas, Los Angeles, Miami, Newark, Chicago, New York (JFK), Orlando, Philadelphia, Sanford (FL), San Juan, San Francisco, and Seattle. Since April 2009, CBP has operated a joint pilot with the Government of the Netherlands that allows qualified U.S. citizens to join Privium, the Dutch equivalent to GE, and allow Dutch citizens to join GE. Participants in this pilot must pass each nation's security vetting requirements. CBP had 21,833 members in FY 2009, a higher amount than previously projected. CBP projects 40,000 program members in FY 2010. CBP is submitting a separate Fee Congressional Justification in FY 2011.

Global Enrollment System (GES)

CBP has developed GES for all CBP TTP to be operational on the CBP national network. GES has integrated the independent CBP enrollment and validation processes into a single solution, and provides a more efficient platform to share data and perform real-time watch list and lookout checks.

GES also reduces the redundancy of maintaining several application processes, and allows for a quicker and more accurate applications process. CBP has developed a single online, paperless application process to support the GES and will allow a traveler to apply to multiple programs online. The on-line application Global On-Line Enrollment System (GOES) supports all Trusted Traveler program applications.

Adjustments to Base

Trusted Traveler Program Non-RFID Stickers

CBP will begin purchasing a non- Radio Frequency Identification (RFID) sticker to save approximately \$387,000 in lieu of using the current Radio Frequency Identification (RFID) technology sticker for Secure Electronic Network. The current RFID sticker is no longer required because the Western Hemisphere Travel Initiative (WHTI) Vehicle Primary Client (VPC) reads license plates and compares with data in Global Enrollment System (GES) in lieu of the windshield stickers.

FY 2009 accomplishments include:

- Distributed over 600,000 upgraded trusted traveler cards with a minimum of problems. This effort included new artwork design, latest security features, novel manufacturing techniques, and remote user activation;
- Launched Global Entry at 17 additional locations. This involved drafting a Federal Register Notice, issuing policy guidance, training CBP staff, meeting with airports/airlines to discuss installation locations, and working with OIT on the procurement and deployments. This also met an important Congressional deadline to complete the expansion in FY 2009;
- Worked with the Office of Regulations and Rulings and Counsel on drafting the Notice of Proposed Rule Making (NPRM) to establish regulations making Global Entry a permanent program. The NPRM has been approved by DHS and submitted to the Office of Management and Budget;
- Added two new FAST enrollment centers in Skagway and Alcan, Alaska; and

- Installed RFID readers for FAST GEN 2 cards at Otay Mesa, Calexico, Tecate, Port Huron, Peace Bridge, and Lewiston.

FY 2010 goals include:

- Fully integrating FAST and the Automated Commercial Environment (ACE);
- Implementing bi-lateral international air trusted traveler programs with additional countries;
- Increasing the number of kiosks that can process Global Entry members;
- Ensuring Global Entry perform ESTA clearances where appropriate; and
- Expanding bi-lateral agreements with foreign governments to allow reciprocal expedited travel for pre-qualified low-risk travelers.

FY 2011 goals include:

- Implementing bi-lateral international air trusted traveler programs with additional countries;
- Increasing membership in Trusted Traveler memberships;
- Achieving unified fees for all Trusted Traveler programs; and
- Introducing a secondary biometric check for both identification and exit control.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Inspection and Detection Technology
Program Performance Justification**
(Dollars in Thousands)

PPA: Inspection and Detection Technology

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	137,446
2010 Enacted	-	-	153,563
2011 Adjustments-to-Base	-	-	2,000
2011 Current Services	-	-	155,563
2011 Program Change	-	-	(410)
2011 Total Request	-	-	155,153
Total Change 2010 to 2011	-	-	1,590

The President’s Budget requests \$155.2 million for Inspection and Detection Technology. This is an increase of \$1.6 million over the FY 2010 Enacted Budget. The request includes:

- increase of \$12.000 million for the annualization of NII equipment purchased with ARRA funds
- decrease of \$10.000 million for non-recurring costs related to NII equipment at locations along the southwest border
- decrease of \$410 thousand in program changes for eliminating the explosive detector dogs program.

CURRENT SERVICES PROGRAM DESCRIPTION

This PPA supports the Office of Field Operations Strategic Plan goal to secure our Nation’s borders to protect America from entry of dangerous people and goods and prevent unlawful trade and travel.

CBP’s reliance on Non-Intrusive Inspection (NII) technology to secure our borders has become more and more critical. In conjunction with CBP’s many other initiatives (24-Hour and Trade Act rules, Automated Targeting System (ATS), Container Security Initiative (CSI), Customs-Trade Partnership Against Terrorism (C-TPAT) etc.), NII is part of a multi-layered approach which allows CBP to work smarter and faster in recognizing potential terrorist threats and other contraband. These complementary layers enhance security and protect our nation.

CBP has long recognized that an adversary can defeat any single system or device. For this reason, CBP cannot rely on any single technology or inspection process. Instead, CBP uses various technologies in different combinations to substantially increase the likelihood that a nuclear or radiological weapon, weapons grade material, illegal aliens or other contraband being smuggled across the United States borders will be detected. NII technologies are viewed as force multipliers that enable CBP officers to screen or examine a larger portion of the stream of commercial traffic while maintaining the flow of legitimate trade, cargo, and travelers.

Since 9/11, NII technology has been the cornerstone of the CBP multi-layered enforcement strategy. Technologies currently deployed to our nation's land, sea, and air ports of entry include large-scale X-ray and gamma-ray imaging systems, as well as a variety of portable and handheld technologies, including radiation detection technology.

This PPA provides funds for Operations and Maintenance (O&M) of: (a) the 230 large scale NII systems, (b) 5,816 small scale NII units, 1,515 Radiation Isotope Identifier Devices (RIIDs), and 19,365 Personal Radiation Detectors (PRDs) and, (c) 1,351 Radiation Portal Monitors (RPM).

The (O&M) funds requested will ensure that deployed NII technologies meet the expected operational requirements of CBP as well as the requirements surrounding the Federal Information Systems Management Act (FISMA; P.L. 107-347). Additionally, these funds will ensure mandated security and vendor upgrades are installed while providing CBP with the means to dispose of obsolete NII systems as mandated by federal regulations. Lastly, these funds will provide maintenance support at approximately 600 locations throughout the U.S. and its territories.

FY 2009 accomplishments include:

- Tested and deployed 28 remaining new (additional) and replacement large-scale NII systems purchased in FY 2007;
- Purchased, tested, and deployed approximately 96 baggage X-ray units, 20 tool trucks, 20 X-ray vans, 150 busters, 200 laser range finders, and 200 fiberscopes to replace outdated technologies; and
- Continued operating and maintaining NII technologies at 327 U.S. ports of entry, all 16 of the U.S. mail facilities that process international mail, and all 75 of the international airports; and
- Deployed 224 additional Radiation Portal Monitors (RPM) nationwide.

FY 2010 goals include:

- Continuing the test and evaluation (T&E) efforts for assessing and analyzing new technology to determine its suitability for use in day-to-day CBP operations. This level of T&E has provided CBP with specific data to support their acquisition decisions and sustain any third party inquiries. CBP also recognizes the need to increase the rigor of the testing process to evaluate new and emerging technologies;

- Continuing to conduct thorough testing and evaluation in accordance with ANSI 42.46-2008 of all NII Commercial systems that are acquired before they are accepted and deployed for CBP operations. CBP has been conducting this level of testing on all NII systems to ensure that the vendor's product conforms to contractual requirements;
- Continuing to develop strategies and radiation detection systems for General Aviation;
- Purchasing 4 new large scale NII systems; and deploying 6 large scale systems purchased in FY 2007; 3 high energy replacement systems and 24 low energy systems purchased in FY 2009;
- Developing a rail scanning strategy by the end of FY 2010; and
- Utilizing Explosive Detector Dog resources from TSA, State and local agencies.

FY 2011 goals include:

- Continuing the test and evaluation (T&E) efforts for assessing and analyzing new technology to determine its suitability for use in day-to-day CBP operations. This level of T&E has provided CBP with specific data to support their acquisition decisions and sustain any third party inquiries;
- Continuing to conduct thorough testing and evaluation in accordance with ANSI 42.46-2008 of all NII Commercial systems that are acquired before they are accepted and deployed for CBP operations. CBP has been conducting this level of testing on all NII systems to ensure that the vendor's product conforms to contractual requirements;
- Deploying 3 high energy replacement systems, 5 additional high energy systems for new/enhanced ports, 2 low energy portal systems for the northern border, 2 low energy mobile systems for commercial airports, and 1 high energy rail system purchased in FY09;
- Continuing to work toward 100 percent scanning for radiation of all sea cargo containers at designated POEs by the end of CY 2012 and 100 percent scanning for radiation of all air cargo at designated airports by the end of CY 2015; and
- Continuing to utilize Explosive Detector Dog resources from TSA, state and local agencies.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Systems for Targeting
Program Performance Justification
(Dollars in Thousands)**

PPA: Systems for Targeting

	Perm. Pos	FTE	Amount
2009 Actuals	8	8	32,507
2010 Enacted	8	8	32,560
2011 Adjustments-to-Base	-	-	5
2011 Current Services	8	8	32,565
2011 Total Request	8	8	32,565
Total Change 2010 to 2011	-	-	5

The President’s Budget requests \$32.6 million for Systems for Targeting. This is an increase of \$5 thousand above the FY 2010 Enacted Budget. The request includes:

- increase of \$2 thousand for FY 2010 pay annualization
- increase of \$3 thousand for FY 2011 pay raise

CURRENT SERVICES PROGRAM DESCRIPTION:

At the core of CBP’s ability to achieve its critical border security objectives and maintain the flow of lawful commerce is the ability to identify high-risk travelers and goods for inspection while allowing law-abiding travelers and commerce to move without unnecessary delay. Legislation and regulatory action, such as the Trade Act of 2002 (P.L. 107-210), the 24-hour rule, the Aviation and Transportation Security Act of 2001 (P.L. 107-71), the Enhanced Border Security and Visa Entry Reform Act of 2002 (P.L. 107-173), the Intelligence Reform and Terrorism Prevention Act of 2004 (P.L. 109-458), and the SAFE Port Act (P.L. 109-347), have made it mandatory to provide advance information about conveyances, travelers and goods arriving in the United States. CBP uses computer technology and rule-based software to analyze the data provided on conveyances, travelers, and shipments arriving in the United States. CBP applies its targeting methods against the data to determine which conveyances, travelers or shipments need to be segregated for a closer look and possible intensive inspection.

The main platform used to perform this analysis is the Automated Targeting System (ATS). ATS allows CBP officers including those stationed overseas, to cross-check the passenger, crew and cargo manifests against subject lookouts, including those contained

in the Terrorist Identities Datamart Environment (TIDE), TECS, and the National Crime Information Center (NCIC), using databases such as the Automated Commercial System (ACS), the Advance Passenger Information System (APIS), the Border Crossing Information System (BCIS), the Non-Immigrant Information System (NIIS), the Arrival and Departure Information System (ADIS) that provide advance notice of conveyances, travelers and goods arriving at U.S. ports of entry. The ATS Passenger module also uses Passenger Name Record (PNR) data from commercial airlines on arriving and departing passengers to identify high-risk travelers and to facilitate persons posing little to no risk.

Currently, ATS consists of six modules that focus on exports, imports, passengers and crews, private vehicles crossing at land borders, and import trends over time. The six modules are: ATS-Inbound, which serves as the primary decision support tool for inbound targeting of cargo; ATS-Outbound, which is used for targeting outbound cargo and assists in identifying exports which pose a high risk of containing goods requiring specific export licenses, narcotics, or other contraband; ATS-Passenger (ATS-P), which is used at all U.S. airports and seaports receiving international flights and voyages to evaluate passengers and crewmembers prior to arrival or departure; ATS-Land (ATS-L) provides analysis and rules-based risk assessment of private passenger vehicles crossing the nation's borders; ATS-Trend Analysis and Analytical Selectivity improves CBP's ability to examine, locate, and target for action violators of United States laws, treaties, quotas, and policies regarding international trade; and ATS-International provides foreign custom authorities with automated cargo targeting capabilities and provides a systematic medium for exchanging best practices and developing and testing targeting concepts.

Future targeting system enhancements will focus on increasing data collection from internal and external sources and improving geographical unit interface display capabilities.

FY 2009 accomplishments included:

- Developed new targeting methodologies and efforts in support of the Western Hemisphere Travel Initiative;
- Developed targeting rules in ATS-P to counter threats posed by drug trafficking organizations (DTOs) and currency smugglers; and
- Implemented Vessel Summary page and Stow Plan viewer in ATS-N Ocean mode and displaying Security Filing Data and Container Status Messages; and

FY 2010 goals include:

- Deploy the Intelligence & Operations Framework System (IOFS) at all CBP targeting units in the field locations and expand the encounter management, analytical and reporting capabilities of the IOFS;
- Develop ATS-L targeting specific rules to interdict terrorist suspects, weapons of mass effect, contraband, human smuggling, agriculture, and currency violations; and
- Analyze and develop new maritime weight sets and rules in ATS-N via National Security weight set that will target ISF data transmissions and methodology.

FY 2011 goals include:

- Incorporate all local and national trade criteria into ATS User Defined Rule functionality;
- Support the development, maintenance, and enhancement of ATS targeting for vehicles and risk assessments for passengers in the land environment; and
- Deploy the IOFS to all intelligence coordination teams (ICT) at field locations as well as U.S. Embassies overseas.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
National Targeting Center
Program Performance Justification
(Dollars in Thousands)**

PPA: National Targeting Center

	Perm. Pos	FTE	Amount
2009 Actuals	131	129	24,419
2010 Enacted	153	142	26,355
2011 Adjustments-to-Base	65	76	10,110
2011 Current Services	218	218	36,465
2011 Total Request	218	218	36,465
Total Change 2010 to 2011	65	76	10,110

The President’s Budget requests \$36.5 million for the NTC. This is an increase of 10.1 million from the FY 2010 Enacted Budget. The request includes:

- increase of \$9.447 million to realign 65 positions and the related salaries and benefits costs from the Inspections, Trade, and Travel Facilitation at the POEs PPA to the National Targeting Center PPA
- increase of \$394 thousand for prior pay annualization (analyze and employ intelligence & information at the NTC)
- increase of \$87 thousand for FY 2010 pay annualization
- increase of \$182 thousand for FY 2011 pay raise.

CURRENT SERVICES PROGRAM DESCRIPTION:

This PPA supports the Office of Field Operations Strategic Plan goal to ensure the legitimate trade and travel across the United States borders.

The NTC consists of two separate centers, one to address passenger screening, the National Targeting Center – Passenger (NTC-P), and the other address cargo screening, the National Targeting Center – Cargo (NTC-C). They provide around-the-clock tactical targeting and analytical research support for CBP antiterrorism efforts. CBP officers, border patrol agents, and import specialists, who are experts in passenger and cargo targeting for air, sea, and land operations in the inbound and outbound environments primarily, staff both NTC facilities. In addition to using existing databases and information to identify potential targets, the NTC also develops tactical targets from raw intelligence in support of CBP’s mission to detect and prevent terrorists and terrorist

weapons from entering the United States. While the vast majority of travelers and goods are legitimate, both NTC facilities are designed to carefully examine the small minority of shipments and/or travelers that may be connected to terrorism or other transnational crimes such as money laundering or narcotics smuggling.

The NTC-P continues to use Terrorist Identities Datamart Environment (TIDE) in researching all possible TECS lookouts encountered at POEs. Through the TIDE/Visa Revocation Unit (TVR), the NTC-P consults with both the Terrorist Screening Center (TSC) and the Terrorist Screening Operations Unit (TSOU) in determining identity and a course of action, thus providing guidance to the POE.

The NTC-C provides cargo research and analysis on positive TIDE passengers, responds to research requests from CBP domestic and Container Security Initiative (CSI) ports, and conducts cargo research for NTC-P and NTC-C liaisons. Additionally, the NTC-C conducts national cargo sweeps in the Automated Targeting System, supports Intelligence Driven Special Operations (IDSOs), and conducts Weapons of Mass Destruction/Weapons of Mass Effect (WMD/WME), agro-terrorism, and bio-terrorism rules development. The NTC-C will continue to provide support to CBP's CSI and the Secure Freight Initiative (SFI). The NTC-C has dedicated staff to support and coordinate the International Container Security (ICS) component of SFI. The program utilizes remote technology to facilitate near real time scanning and monitoring of cargo/containers destined to the United States from select foreign ports. Targeting decisions are made based on container images, radiation alarm profiles, and cargo descriptions provided from overseas.

Adjustments to Base

National Targeting Center Realignment

The Office of Field Operations will realign 65 positions and \$9.447 million for salaries and benefits costs from the Inspections, Trade, and Travel Facilitation at the Ports of Entry PPA to the National Targeting Center (NTC) PPA. This realignment will correct an error in how the positions were originally annualized.

Through the FY 2007 War Supplemental, OFO received 227 positions for targeting and screening US bound cargo. Of the 227 positions, 162 CBPOs were for increased enforcement and inspection activities at high-priority northern border ports of entry. 65 CBPOs were assigned to the NTC-Cargo to screen and target inbound cargo. When the 65 NTC positions were annualized in FY 2009, they were incorrectly annualized in the Inspections at POEs PPA, along with the 162 other CBPOs, instead of in the NTC PPA. The 65 NTC positions should have been annualized in the NTC PPA. The annualization costs for the new NTC positions were calculated prior to CBPOs receiving enhanced retirement benefits. The original annualized funding level for the 65 positions does not capture their true full costs. Given these factors, OFO continues to experience a shortfall in the NTC PPA. The funding realignment corrects the error and has no programmatic impact.

FY 2009 accomplishments include:

- Enhanced NTC-P's automated systems in an effort to identify passengers with possible ties to terrorist activities;
- Expanded the NTC-C support and coordination of the ICS component of SFI by increasing the number of ports in which NTC-C utilizes remote location technology to facilitate near real time scanning and monitoring of cargo/containers destined for the U. S. from selected foreign ports; and
- Enhanced research efficiency of positive TIDE matches to identify possible links between terrorist related passenger events.

FY 2010 goals include:

- Continuing to foster relationships with the intelligence community both internal and external to DHS to ensure current trends and threats are addressed by NTC-P targeting;
- NTC-P's TVR Unit will continue to maintain a close working relationship with members of the TIDE community including the National Counter Terrorism Center (NCTC), the TSC, and the TSOU in an effort to prevent terrorist threats to our national security. In addition, the TIDE Unit in a joint effort with the TIDE community will review policies and procedures to streamline the WATCHLIST vetting process;
- Continuing to expand outbound targeting of shipments of weapons and bulk cash destined and in-transit within the western hemisphere; and
- Continuing to expand in transit cargo with ICE Counter-Proliferations Investigations for weapons-related and dual-use items regardless of destination.

FY 2011 goals include:

- Developing a national Counter Terrorism Response Team (CTR) in an effort to standardize policies, coordination, and reporting requirements for field officers;
- Developing a CTR field position designated solely for processing individuals of interest to national security and establish a mandatory national CTR training program;
- Integrating the use of biometric data within United States Visitor and Immigrant Indicator Technology (US-VISIT) and the Integrated Automated Fingerprint Identification System (IAFIS), for vetting against the WATCHLIST and providing verification in other databases such as the State Department's Consular Consolidated Database;
- Performing targeting for the Port of Karachi;
- Identifying drug trends that transnational criminal organizations use in all modes, and conducting tactical post seizure analysis to target those involved and use this information to disseminate intelligence products and improve targeting; and

- Continuing to expand the emphasis on targeting of shipments of narcotics and precursor chemicals transiting the western hemisphere.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Training at the Ports of Entry
Program Performance Justification**
(Dollars in Thousands)

PPA: Training at the Ports of Entry

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	28,099
2010 Enacted	-	-	24,778
2011 Adjustments-to-Base	-	-	(500)
2011 Current Services	-	-	24,278
2011 Program Change	-	-	(2,650)
2011 Total Request	-	-	21,628
Total Change 2010 to 2011	-	-	(3,150)

The President’s Budget requests \$21.6 million for At the Ports Training. There is a decrease of \$3.2 million from the FY 2010 Enacted Budget. The request includes:

- decrease of \$2.650 million in program changes for service contracts to support the training facilities
- decrease of \$500 thousand for management efficiencies (efficiency savings in travel, supplies and equipment)

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of Training and Development (OTD), through the National Training Plan (NTP), provides CBP with a comprehensive and accurate needs assessment of all standard, core, and recurring training. The NTP provides CBP’s headquarters and field managers an opportunity to advance the Secure Border Initiative by bringing the workforce together to train. The NTP also emphasizes CBP’s anti-terrorism mission as a strategic imperative, providing a robust menu of anti-terrorism related courses of every level of sophistication and covering a wide range of specialization. The NTP will continue to modernize and streamline the training and development infrastructure and ensure support of pivotal training such as firearms and tactical training, leadership, and advanced training programs. CBP will continue to utilize the NTP to successfully plan and execute training resources to effectively meet the ever expanding and evolving mission.

CBP Field Operations Academy

The CBP Field Operations Academy is located at the Federal Law Enforcement Training Center in Glynco, Georgia. The Academy is responsible for the development and delivery of basic, mid, and advanced-level training programs for mission critical occupations (e.g., CBP officers, Agriculture Specialists, Import Specialists, and Entry Specialists). This training represents key components of the goal to combat terrorism, improve border security, improve inspection and control, and facilitate trade.

OTD/Use of Force Policy (UFPD)

The OTD/Use of Force Policy Division is responsible for the development, articulation and implementation of CBP use of force policy and related equipment. The OTD/UFPD seeks to research, evaluate, and procure the best possible equipment while providing comprehensive asset and resource management for tactical equipment and body armor. The OTD/UFPD has developed appropriate controls, standards, training, best practices and policies in order to enhance the safety and performance of approximately 18,000 Customs and Border Protection (CBP) officers.

OTD/Leadership and Organization Development (OTD/LODD)

The OTD/Leadership and Organization Development Division designs, develops, delivers, and evaluates training and development activities for CBP supervisors, managers, and executives. The OTD/LODD provides core and advanced leadership/supervisory/management courses to meet organization, occupation, and individual needs.

OTD/Border Enforcement Training (OTD/BETD)

The OTD/Border Enforcement Training Division primarily engages in anticipating, identifying, initiating, and analyzing occupation specific training needs of CBP's over 40,000 uniformed workforce, and producing customer focused training portfolios that facilitate border enforcement readiness.

The fight against terrorism remains the top priority for CBP. In support of that primary mission, OTD will continue to oversee the anti-terrorism training program ensuring employee preparedness and skill development to confront the threat of terrorist incidents or infiltration along our borders.

OTD/Workforce Development (OTD/WFDD)

The OTD/Workforce Development Division partners with CBP offices to identify, articulate, and address the training needs of CBP's non-uniformed personnel. WFDD works to provide a comprehensive suite of training programs in support of CBP customer office priorities through the development and maintenance of detailed customer profiles including information on training projects and funding, active courses, and workforce demographics.

Focus areas of training include trade training (training for Import Specialists, Entry Specialists, Drawback Specialists, Regulatory Auditors, International Trade Specialists, other revenue positions, and attorneys), information technology, intelligence and

operations coordination training, training for international assignments, cross-occupational training, project/program management certification, and CBP Tuition Assistance Program (TAP).

OTD/HQ Other Training

OTD/Headquarters sponsors other basic and specialized training programs for various occupations within CBP. These training programs, including Canine Office of Field Operations training, are funded through the NTP but are often coordinated with other NTP Training Leads, CBP organizations, and program managers for scheduling, facilities, instructors, etc.

Adjustments to the Base

Operation Reduction – Travel, Supplies, Equipment

The Office of Training and Development (OTD) will reduce funding by \$500 thousand primarily in the area of basic training. The number of personnel attending basic training is projected to decrease compared to previous years which will generate a savings in the area of TDY for instructors and supplies needed for students entering the academy.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Border Security and Control
Program Performance Justification**
(Dollars in Thousands)

PPA: Border Security and Control

	Perm. Pos	FTE	Amount
2009 Actuals	23,325	21,135	3,447,627
2010 Enacted	22,923	22,836	3,535,286
2011 Adjustments-to-Base	-	87	105,845
2011 Current Services	22,923	22,923	3,641,131
2011 Program Change	(78)	(39)	(102,923)
2011 Total Request	22,845	22,884	3,538,208
Total Change 2010 to 2011	(78)	48	2,922

The President's Budget requests \$3.5 billion for this activity. This is an increase of \$2.9 million over the FY 2010 Enacted Budget. The request includes:

- increase of \$128.588 million to adjust salaries to fund increasing Border Patrol agents to a journeyman level of GS-12.
- increase of \$14.996 million in pay annualization
- increase of \$31.490 million for FY 2011 pay raise
- increase of \$43.049 million for annualization of FY 2009 Border Patrol staffing initiative (\$42.934) and for annualization of FY 2010 Combating Southbound Firearms and Currency Smuggling initiative (\$115 thousand)
- increase of \$10.000 million for additional Intelligence Analysts staffing
- decrease of \$74.400 million in funding for the contractor workforce supporting the Office of Information and Technology
- decrease for transfer of \$70.000 million to address payroll shortfalls for CBPOs.
- decrease of \$19.478 million to non-recur FY 2010 Congressional add-on for Border Patrol agents
- decrease of \$15.523 million for Border Patrol staffing reductions
- decrease of \$15.000 million in premium pay, which reflects a proposed change to management of premium pay policy on working shifts
- decrease of \$12.000 million for management efficiencies in the areas of travel, supplies and equipment
- decrease of \$10.000 million to non-recur the FY 2010 Congressional add-on for NII equipment

- decrease of \$8.000 million in the National Training Program to reflect current training schedules
- decrease of \$800 thousand to non-recur the FY 2010 Congressional add-on for solar-powered batteries.

CURRENT SERVICES PROGRAM DESCRIPTION:

The National Border Patrol Strategy articulates one clear, strategic mission for the Border Patrol: To establish and maintain control of the border of the U.S. between the ports of entry. The strategic goal includes interdicting illegal aliens, smugglers, narcotics and other contraband entering the U.S. Since the terrorist attacks of September 11, 2001, preventing terrorists and terrorist weapons from entering the U.S. was added to the Border Patrol's strategic goal.

The Border Patrol developed five objectives to support the national strategy. Each objective further identifies the intended mission outcome and focus of the Border Patrol's operational planning and execution. The objectives are: (1) Establish a substantial probability of apprehending terrorists and their weapons as they attempt to enter illegally between the ports of entry; (2) Deter illegal entries through improved enforcement; (3) Detect, apprehend, and deter smugglers of humans, drugs and other contraband; (4) Leverage Smart Border Technology to multiply the effect of enforcement personnel; and (5) Reduce crime in border communities and consequently improve the quality of life and economic vitality of targeted areas.

The National Border Patrol Strategy ensures that the Border Patrol deploys the appropriate mix of resources and employs appropriate tactics with the end state objective of consistently being able to detect, identify and classify, respond, and resolve all illegal entries.

The Border Patrol's national strategy is based on deploying the appropriate mix of resources – personnel, tactical infrastructure and technology – to gain control of the border. The Border Patrol reached a staffing level of 20,163 Border Patrol agents in 2009. The Border Patrol will hire an additional 44 Border Patrol agents in FY 2010 as part of the Secretary's initiative to combat southbound firearms and currency smuggling. In addition to the 44 agents, another 100 new agents will be deployed to the southern border to enhance southwest border operations. CBP also plans to continue to add to its inventory of permanent tactical infrastructure and technology deployments on the border in FY 2010. In addition, CBP will continue to deploy resources developed through CBP's *SBI*net program. The new resources will include technology solutions, such as sensors and cameras, to increase the Border Patrol's ability to detect illegal entries and to provide greater situational awareness. In addition, *SBI*net will provide new tactical infrastructure, such as fences and vehicle barriers, to further enhance the Border Patrol's ability to secure the border.

The Border Patrol establishes and maintains effective partnerships, formal and informal, with other federal, state and local law enforcement agencies, as well as other federal

agencies that have an interest in the border regions. Further, the Border Patrol maintains international partnerships to enhance border security primarily with agencies of the governments of Mexico and Canada. A number of these partnerships are described below.

Operation Arizona Denial

Operation Arizona Denial, 2008, known previously as Arizona Border Control Initiative, was developed in response to the continued high level of illicit cross-border and ancillary illegal activity in Arizona. Since the late 1990s, illicit cross border activity through the Border Patrol's Tucson Sector represented almost half of all that seen throughout the entire nation. The chaotic environment created by this high level of activity negatively impacted border security.

The goal of Operation Arizona Denial, 2008, in direct support of the Border Patrol National Strategy, was to incrementally bring operational control to the border within the Tucson Sector area of operations. The general strategy consisted of a four faceted approach:

- Operational Coordination
- Intelligence Fusion
- Breaking the Smuggling Cycle
- Focused Enhanced Enforcement Operations

A core component of Operation Arizona Denial, 2008, was a number of removal programs designed both to separate aliens from smugglers as well as provide a consequence to illegal entry. These programs included the Arizona Denial Prosecution Initiative, Alien Transfer Exit Program, Mexican Interior Repatriation Program, and Operation Against Smugglers Initiative on Safety and Security.

A principal concept of Operation Arizona Denial, 2008, was the focus of resources in prioritized geographical areas. Tucson Sector field managers prioritized border areas of focus as well as major routes of egress. The prioritized areas were based on vulnerabilities identified throughout the sector and a detailed, documented methodology was used to determine priority order.

The initial area of focus was the Priority 1 area, 40 miles of border around Sasabe. On July 27, 2008, operations expanded 91 miles west to the Priority 2 area.

Operation Arizona Denial, 2009, has built on the success of the 2008 operation but it also incorporated several new initiatives and programs. These included:

- *Peace Officer Cross-Designation for Selected Agents* – The Sector has coordinated with the Cochise County Sheriff to cross-designate a number of Sector Intelligence Agents and canine handlers as state Peace Officers. This allowed the agents to pursue state prosecution in cases where Federal prosecution

is not possible. Peace Officer designation to canine handlers allow them to issue civil citations to those they identify during the course of their duties possessing small amounts of illegal drugs.

- *Expanded the Alien Transfer Exit Program* – The ATEP was expanded to increase daily removals in Arizona and included removals through Ports of Entry in the Marfa Sector of Texas.
- *Co-Location with ICE* – ICE co-located Special Agents with the Sector Disrupt Unit and the Disrupt Unit at the Nogales Station. These assignments, as well as the current assignment of BPAs to ICE BEST teams ensured a proper transition from interdiction to investigation and facilitated an improved level of information sharing and operational coordination with ICE.
- *Expanded Quick Court* – Quick Court was expanded from 30 to 100 daily removal proceedings.
- *Expand the Arizona Denial Prosecution Initiative* – The ADPI was expanded to 100 daily prosecutions.
- *Coordination with Yuma Sector* – The Yuma Sector was included in 2009 to support Operation Arizona Denial, 2009, through:
 - Increased staffing of Camp Grip to allow agents based from that location to flex east to Tucson Sector Zones 1 and 2.
 - Operation of the SR-85 traffic checkpoint.
 - Flexing of Air Operations support east to allow support to Tucson Sector Zones 1 and 2.
- *Use of Wackenhut to Provide Hospital Security* – Wackenhut Contract Transportation Services received an increase in resources during FY 2009. In addition to more efficient transportation of detainees, this allowed use of Wackenhut resources for hospital guard duties, relieving as many as a dozen agents per day of this requirement.
- *Coordination with Joint Counter Narcotics Task Force (JCNTF)* – National Guard JCNTF has recently expressed an increased willingness to conduct support missions. These will likely include air support, FLIR or scope missions, and LP/OP support.

Operation Streamline

Operation Streamline is a zero-tolerance, prosecution-based deterrence initiative that attaches a penalty to the act of illegally entering the U.S. Operation Streamline was envisioned to address three components: arrest, prosecution, and removal. Under the concept of the Operation, the sector's Chief Patrol Agent designates a specific geographic

area as a zero-tolerance zone and focuses his resources to ensure a high probability of apprehension and criminal prosecution.

With the cooperation of the U.S. Attorney's Office and the U.S. Marshals Service, virtually all undocumented aliens apprehended within the designated geographic location are criminally prosecuted for their illegal entry under 8 USC 1325. The deterrent effect of this program has had pronounced results on the number of aliens attempting illegal entry/re-entry. By reducing the volume of illegal entries, the Border Patrol has greater flexibility to focus resources on apprehending terrorists, terrorist weapons, and smugglers of humans, drugs, and other contraband illegally entering the U.S.

Operation Streamline has proven to be beneficial and is a key component to achieving significant ground and effective control of the border. Operation Streamline has been showcased to both federal and state Senators and Representatives, along with the public, as a best practice and effective utilization of existing resources.

Special Operations Group (SOG)

SOG is under the direction of the Border Patrol's Special Operations Command (SOC), and has two component units: Border Patrol Tactical Unit (BORTAC) and the Border Patrol Search, Trauma and Rescue Unit (BORSTAR) – each responsible for a different skill set, but often working in close coordination with each other to adequately address an all threats mission profile, both nationally and internationally.

In 2007, the Border Patrol established, and continues to build upon, the SOG Headquarters element with full deployment capability on Biggs Army Airfield (AAF), El Paso, Texas. Agents assigned to this office are routinely deployed throughout the U.S. in support of the Border Patrol National Strategy and are at the ready to address Emergency Support Functions (ESFs) for national level incidents, as outlined in the National Response Framework. The SOG facility has classrooms, a new rappel tower, an obstacle course, and a live fire multi-building training complex located at McGregor Range, New Mexico.

BORTAC remains CBP's premier tactical response team. BORTAC is summoned for difficult and high-risk missions. BORTAC trained its active personnel on their Mission Essential Tasks List and hosted numerous advanced skills training sessions. BORTAC has preformed joint SOG missions and worked in conjunction with multiple local, state and federal law enforcement agencies in both training and operational environments. In the future, BORTAC will continue to train its members to improve its readiness for response to threats of national security.

BORSTAR is comprised of Border Patrol agents with specialized and advanced skills and training for the tactical medical and search and rescue environments. In addition to proficiently conducting the primary duties of a Border Patrol agent, BORSTAR agents have additional training in search and rescue, emergency medical treatment, rope rescue, water rescue, incident command management, communications, and tactical medical

interventions. BORSTAR provides rapid response to search, rescue, and medical response to acts of terrorism, potential terrorism, and natural disasters throughout the U.S. These duties are often in conjunction with local, county, state, and federal entities.

OBP/SOG, in coordination with the Office of Intelligence and Operations Coordination, has established Law Enforcement Technical Collection Centers (LETCs) to improve intelligence collection and dissemination capabilities among the 20 sectors that comprise the field headquarters element. By establishing best practices, the methodologies used to collect, analyze, and disseminate actionable intelligence will be streamlined and standardized.

The possibility of widespread bio-terrorism and other pandemic perils remains a paramount concern for CBP and other federal, state, and municipal entities. Border Patrol is a major participant/facilitator in the CBP Continuity of Operations Plan (COOP) and will continue to build on established partnerships in an effort to rapidly respond and mitigate the impact of a catastrophic incident, be it an act of terrorism or a natural disaster.

Traffic Checkpoints

The Border Patrol is tasked with securing the Nation's borders between the ports of entry using a multi-tiered enforcement strategy. A major component of this strategy includes the strategic placement of checkpoints in tactical locations that contributes significantly to gaining effective control of the Nation's borders.

Traffic checkpoints are critical components of the U.S. Border Patrol's enforcement-in-depth border security strategy. This strategy was developed to maximize resources and to increase the certainty of arrest of anyone posing a threat to the United States. Border Patrol checkpoints are strategically located on routes of egress leading away from the border, thus, greatly increasing the Border Patrol's detection and interdiction capabilities.

A complete border security model that includes enforcement-in-depth creates an environment that denies, degrades and disrupts the criminal elements ability to exploit the infrastructure needed to conduct operations.

The primary function of checkpoints is to deny routes of egress to the criminal element and to disrupt and degrade their ability to operate. The checkpoints' impact forces the criminal element to take risks that would otherwise not exist, thus raising their cost of doing business.

In locations where checkpoint operations have been established, criminal organizations cannot engage in illegal activity in the border areas and then freely egress to their destination. They must utilize other tactics, such as using secondary staging areas and circumvention routes, which disrupt and degrade their operations and give the Border Patrol additional time and distance to detect, deter, and interdict them.

The Interstate 19 (I-19) corridor is the major route of egress from the Nogales, Arizona area. As a result, the majority of illegal cross border activity that takes place in the Nogales area seeks to make its way to the corridor in an effort to exit the border area. The strategic value of a permanent checkpoint on I-19 cannot be overstated. A continuous checkpoint operation on Interstate 19 (I-19) creates an enforcement profile that denies, degrades, disrupts, and deters the criminal element from utilizing I-19 as a route of egress. This inability to exploit I-19 as a route of egress forces the criminal element to utilize secondary, less traveled routes of egress. These routes are often remote and infrequently traveled making them more identifiable to law enforcement agents thus further disrupting and degrading the criminal element's ability to operate.

The overall effect of enforcement-in-depth, to include checkpoints, deters illegal activity and reduces cross-border traffic and the crime associated with it. Sustained checkpoint operations have shown to not only reduce crime in adjacent communities, but contribute significantly to an overall reduction in cross-border criminal activity in the areas south of the checkpoints.

Safe, efficient, and effective enforcement operations along the border and routes of egress, to include effective checkpoint operations, are essential to a complete enforcement strategy which will lead to increased border security and an improved quality of life in border communities.

Border Patrol International Liaison Unit (ILU)

The ILU creates and maintains positive working relationships and to foster alliances with foreign counterparts in order to increase border security. The alliances established will maintain open communications and mutual respect with and between foreign and domestic law enforcement counterparts. The ILU builds partnerships and enhances border security awareness in support of the National Border Patrol Strategy.

The ILU also paved the way to programs like the Operation Against Smugglers Initiative on Safety and Security (OASISS). In March 2005, the U.S. and Mexico agreed to establish a bilateral, standardized prosecution program. The product of that agreement was OASISS. The OASISS program was developed to address the increasing amount of alien smugglers across the southwest border. The program allows for alien smugglers apprehended in the U.S. to be prosecuted by the Government of Mexico. This program is very effective in areas along the southwest border that are affected by guidelines that make it difficult to prosecute certain alien smuggling cases. OASISS has proven to be an invaluable tool to the Border Patrol. It also rewards the efforts of the agents by giving them another tool to be able to put criminals behind bars.

The liaison efforts with Mexican authorities that have occurred and continue to take place along the southwest border have essentially bridged the communication gap between the U.S. and Mexico. This is an extraordinary accomplishment when one considers the economic vitality of the region and the political sensitivities between the two countries. In light of the newly established policy and standard operating procedures guiding the

ILU program, it is expected that the program will flourish as it strengthens relationships with foreign governments.

Forward Operating Bases (FOBs)

Use of FOBs began to address remote crossing points that have historically been very difficult for agents to patrol due to the vast distances and the time involved to access these areas. FOBs have proven to be very beneficial to the detection and deterrence of illegal entries in the areas in which they have been deployed and are now utilized in areas wherever the Border Patrol has a need to extend its reach.

The use of FOBs directly supports the Border Patrol's mission of gaining, maintaining, and expanding effective control of the Nation's borders. As the Border Patrol continues to gain control of the border, illegal migration activities and smuggler tactics shift in an attempt to identify and exploit vulnerabilities in border security measures, particularly in the more remote areas of the border. Strategically placed FOBs afford a distinct advantage in that they provide a cost effective, secure staging facility that allows agents to be forward deployed in close proximity to the border – thereby improving Border Patrol's capability to rapidly respond to and counter these shifts in illicit cross-border traffic.

Surge Operations

The Border Patrol authorizes the implementation of surge operations to maintain or gain effective control of the border through improved enforcement. The Border Patrol's strategy for implementing surge operations across the southwest border is based on threats, risks, vulnerabilities, and the resources of partner agencies. These operations increase the probability of apprehending terrorists who are attempting to illegally enter the U.S. between the ports of entry, as well as their weapons. They also assist in the reduction of crime in border communities. Surge operations are implemented to proactively address intelligence, seasonal migration, and smuggling trends.

Border Patrol National Native American Program

The mission of the Border Patrol National Native American Program is to facilitate new partnerships, improve relationships, and increase trust throughout the Native American Indian tribes that have a nexus to the U.S. border. The program champions partnerships between tribal law enforcement, various Native American organizations, and the Border Patrol to support the national strategy. The Border Patrol National Native American Program is operational in twelve of the Border Patrol sectors. The program acts as a conduit between the Border Patrol and tribal, local, state and federal law enforcement agencies, as well as tribal councils located along both the Southwest and northern borders.

The program was designed to support ongoing enforcement operations within the respective agencies, while enhancing the liaison between them. As the relationship

solidified, contact and responses to illicit activity along the borders has increased, allowing for joint law enforcement support for both Border Patrol and Tribal Law enforcement. Routine communication and liaison between some sectors and Tribal Council officials has led to enhancing the security and safety of the agents who are working in dangerous areas along the border. Through the Border Patrol National Native American Program, information-sharing efforts have allowed the Border Patrol sectors to conduct All-Terrain Vehicle training, search and rescue training, advanced four-wheel-drive training, and vehicle stops.

The Border Patrol National Native American Program is working to standardize policies and procedures and is proactively developing performance measures for the program to evaluate and measure the effectiveness of its initiatives.

Borderlands Management Task Forces (BMTF)

These task forces were created to facilitate an intergovernmental forum for cooperative problem-solving on common issues related to the international border. The primary mission is to address border security, human safety, and natural and cultural resource protection through shared resources, information, communication, problem-solving, standardization, and training. The goals of the BMTF are the following:

- Create a positive, intergovernmental working relationship and foster support among agencies charged with border responsibilities;
- Create mutually beneficial solutions to resource management issues within the border area;
- Provide expertise, experience and information to address common border issues; and
- Educate our agencies and interested parties about border issues and recommendations for the implementation of possible solutions.

An integral part of the BMTF is the participation of the Sector Public Lands Liaison Agents (PLLA).

The PLLA works to foster better communication, increase the interagency understanding of respective mission objectives and priorities, and serve as a central point of contact within the Border Patrol to facilitate the successful resolution of environmental issues at the local level.

Adjustments to Base

Journeyman Increase

CBP requests an increase of \$128.6 million to fund the increased salary and benefit requirements associated with the implementation of raising the journeyman grade level for the frontline CBP officers (CBPOs), Border Patrol agents (BPAs) and CBP agricultural specialists (CBPAS') within CBP from the GS-11 level to the GS-12 level.

The Office of Personnel Management has issued a revised GS-1800 Inspections, Investigation, Enforcement and Compliance Standard. The new standard covers the Customs and Border Protection officer series as well as the Border Patrol agent series and provides factor level descriptions and illustrations, which represent current information as to the occupations within its coverage, based upon the audits and interviews that the OPM position classifiers learned from on-site visits to field locations, as well as input from the agencies human resources and operational staffs.

CBP has also conducted a rigorous review of the nature of the work performed by the core of the frontline border patrol agents and CBP officers. The work responsibilities and expectations have continuously increased since CBP became the principal border control agency when DHS was created. The outcomes and consequences of front-line work have never been greater.

CBPOs, BPAs and CBPAS' daily work is exemplar of individuals working at the GS-12 level; and the agency needs to provide these dedicated employees with the appropriate level of compensation.

The work performed by most frontline officers, agents, and specialists equates to the GS-12 level based on the pending job duties description that we are now finalizing. The factors of their work that merit the increase include:

- Job complexity in the wide variety of laws that are enforced;
- The broadening of mission and responsibilities to include focus on terrorist activities;
- Shift to an intelligence-driven organization that makes work more proactive in nature;
- Deployment of sophisticated technology and infrastructure;
- Increased violence at the borders; and
- Increased work with other law enforcement agencies, and enforcement-related activities.

CBP is required to effect the change in pay shortly after the duties of the position are established. CBP will soon be finalizing the new position descriptions that outline the duties and responsibilities of these critical frontline positions.

Realignment to support maintaining CBPO FTE levels

CBP proposes to realign funds in FY 2011 between PPAs within the Salaries & Expenses Appropriation. CBP proposes realigning \$70 million from the Border Security and Control to address the Office of Field Operations projected payroll shortfall in FY 2011. Without these funds CBP would have to reduce a significant number of CBPO FTE, increasing wait times and diminishing the security at the ports of entry. The realignment of funds from the Border Security and Control Between POEs PPA into the Inspections, Trade, and Travel Facilitation at the POEs PPA will not impact CBP's ability to achieve

its current mission and goals. Based on CBP's current analysis and protections, Border Patrol will be able to maintain its current population of Border Patrol agents.

Office of Border Patrol Efficiency

The Office of Border Patrol will reduce its budget by \$12.0 million in the following areas:

- Employee travel and the number of Temporary On-Duty (TDY) personnel detailed to headquarters to support current programs,
- Government travel by headquarters personnel to attend meetings and conferences held by stakeholders,
- Supplies, and
- Equipment

Conclusion

In FY 2011, the Border Patrol will continue to further its mission by using a variety of programs and initiatives to support strategic objectives. The Border Patrol will continue to plan for an appropriate mix of additional resources to achieve its strategic goal. A major future objective of the Border Patrol is to ensure that its workforce is highly mobile so that it can rapidly adjust to changes in the border security environment. The Border Patrol will continue to reevaluate its existing programs and planned initiatives as the threats and vulnerabilities to border security change in response to newly deployed border enforcement resources.

The Border Patrol is committed to addressing southbound land border enforcement efforts to combat the smuggling of firearms and currency to Mexico. The accomplishments of this commitment are being reported in the Inspections, Travel and Trade Facilitation at the Ports PPA by the Office of Field Operations which has the lead for reporting on southbound operations.

FY 2009 accomplishments include:

- Hired an additional 2,200 agents; and
- Brought an additional 182 miles of border under control, for a total of 939 miles of border under control.

FY 2010 goals include:

- Maintaining effective control of 939 miles of border;
- Implementing the new journeyman policy;
- Hiring 2,000 Border Patrol agents to backfill attrition;
- Hiring 44 new Border Patrol agents for southbound operations to combat firearms and currency smuggling, which will increase the agent staffing level to 20,163; and
- Adding 367 Border Patrol agents to the northern border in order to achieve the goal of 2,212 agent strength by the end of FY 2010.

FY 2011 goals include:

- Maintaining effective control of 939 miles of border; and
- Maintaining a force of 20,000 Border Patrol agents.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Training Between the Ports of Entry
Program Performance Justification**
(Dollars in Thousands)

PPA: Training Between the Ports of Entry

	Perm. Pos	FTE	Amount
2009 Actuals	133	128	74,797
2010 Enacted	130	130	51,751
2011 Adjustments-to-Base	-	-	(1,164)
2011 Current Services	130	130	50,587
2011 Program Change	(50)	(25)	(13,378)
2011 Total Request	80	105	37,209
Total Change 2010 to 2011	(50)	(25)	(14,542)

The President’s Budget requests \$37.2 million for Between the Ports Training. This is a decrease of \$14.5 million from the FY 2010 Enacted Budget. The request includes:

- increase of \$124 thousand for FY 2010 pay annualization
- increase of \$262 thousand for FY 2011 pay raise
- decrease of \$13.378 million in program changes for the national training plan (\$9.559 million), staffing reductions (\$2.819 million), and service contracts (\$1.000 million)
- decrease of \$1.550 million in management efficiency for travel, supplies and equipment

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of Training and Development (OTD), through the National Training Plan (NTP), provides CBP’s national leadership with a comprehensive and accurate needs assessment of all standard, core, and recurring training. The NTP provides CBP’s headquarters and field managers an opportunity to advance the Secure Border Initiative by bringing the workforce together to train. The NTP emphasizes CBP’s anti-terrorism mission as a strategic imperative, providing a robust menu of anti-terrorism related courses of every level of sophistication and covering a wide range of specialization. The NTP will continue to modernize and streamline the training and development infrastructure and ensure support of pivotal training, such as firearms and tactical training, leadership, and advanced training programs. CBP will continue to utilize the

NTP to successfully plan and execute training resources to effectively meet the ever expanding and evolving mission.

Border Patrol Academy

The Border Patrol Academy identifies and provides core operational training for Border Patrol agents to accomplish their mission of protecting the boundaries of the U.S. The Border Patrol Academy is currently located in Artesia, New Mexico where they conduct basic training. Advanced-level training and instructor training is held at Charleston and is also conducted in field locations.

OTD/Use of Force Policy Division (UFPD)

OTD/UFPD is responsible for the development, articulation, and implementation of CBP use of force policy and the related equipment. OTD/UFPD seeks to research, evaluate and procure the best possible equipment while providing comprehensive asset and resource management for tactical equipment and body armor. OTD/UFPD has developed appropriate controls, standards, training, best practices and policies in order to enhance the safety and performance of over 20,000 Border Patrol agents.

OTD/Leadership and Organization Development Division (OTD/LODD)

OTD/LODD designs, develops, delivers, and evaluates training and development activities for CBP supervisors, managers, and executives. OTD/LODD provides core and advanced leadership/supervisory/management courses to meet organization, occupation, and individual needs.

OTD/Border Enforcement Training Division (OTD/BETD)

OTD/BETD primarily engages in anticipating, identifying, initiating, and analyzing occupation specific training needs of CBP's over 40,000 uniformed workforce, and producing customer focused training portfolios that facilitate border enforcement readiness.

The fight against terrorism remains the top priority for CBP. In support of that primary mission, OTD will continue to oversee the anti-terrorism training program ensuring employee preparedness and skill development to confront the threat of terrorist incidents or infiltration along the Nation's borders.

Border Patrol Agent Training

Training courses focus on technical, intelligence, or specialized training for Border Patrol agents. Training courses include: Border Patrol Technical Course for Supervisors; Border Patrol Agent-In-Charge (PAIC) Intel Course; Emergency Medical Technician Certification; BORSTAR training; and Canine training.

Other Training

OTD/Headquarters sponsors other basic and specialized training programs for various occupations offered CBP-wide. These training programs are funded through the NTP but are often coordinated with other NTP Training Leads, CBP organizations, and program managers for scheduling, facilities, instructors, etc.

Adjustments to the Base

Efficiency Reduction – Travel, Supplies, Equipment

The Office of Training and Development (OTD) will reduce funding by \$1.6 million primarily in the area of basic training. The number of personnel attending basic training is projected to decrease as compared to previous years which will generate a savings in the area of TDY for instructors and supplies needed for students entering the academy.

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Air and Marine Operations, Personnel Compensation and Benefits
Program Performance Justification
(Dollars in Thousands)

PPA: Air and Marine Operations, Personnel Compensation and Benefits

	Perm. Pos	FTE	Amount
2009 Actuals	1,844	1,710	266,348
2010 Enacted	2,015	1,943	309,628
2011 Adjustments-to-Base	-	72	6,883
2011 Current Services	2,015	2,015	316,512
2011 Program Change	(120)	(120)	(18,182)
2011 Total Request	1,895	1,895	298,330
Total Change 2010 to 2011	(120)	(48)	(11,298)

The President’s Budget requests \$298.3 million for this activity. This is a decrease of \$11.3 million from FY 2010 enacted. This request includes:

- decrease of \$18.182 million in not-sustaining the FY 2010 program enhancement which will reduce Air and Marine staffing by 120 positions
- increase of \$3.007 million in prior year annualization for the national strategic plan
- increase of \$2.625 million in FY 2011 pay raise
- increase of \$1.251 million in annualization of FY 2010 pay raise

CURRENT SERVICES PROGRAM DESCRIPTION:

CBP Office of Air and Marine (OAM) secures the borders against terrorists, acts of terrorism, drug smuggling, and other illegal activity by operating air and marine branches at strategic locations along the borders. Multi-mission aircraft with advanced sensors and communications equipment provide powerful interdiction and mobility capabilities directly in support of detecting, identifying and interdicting suspect conveyances, and apprehending suspect terrorists and smugglers. CBP OAM maximizes the capabilities of air and marine assets through a cohesive joint air operations model for centralized command and control and a responsive and integrated control system for decentralized execution.

CBP OAM partners with numerous stakeholders in performing its missions throughout the continental United States and the Western Hemisphere. This includes domestic operations

at the borders, source, transit and arrival zone operations, interior law enforcement support, and support to other agencies. In fulfilling the priority mission of CBP to protect the borders, CBP OAM's three main geographical mission Areas of Responsibilities (AOR) are: the southwest, northern, and southeast/coastal borders (to include Caribbean corridors).

FY 2009 accomplishments include:

- Hiring 115 marine interdiction agents to fully staff the 11 new marine branches funded in FY 2008 to minimize gaps in maritime law enforcement coverage and better secure our waterways and borders; and
- To support the Border Patrol agents on ground hiring, 24 additional Unmanned Aircraft Systems (UAS) pilots for the Sierra Vista branch and Grand Forks, ND branch to expand CBP's UAS capabilities across the southwest and northern border regions.

FY 2010 goals include:

- Hiring an additional 24 positions which will be used to primarily provide key headquarters leadership with special skill and technical support to programs and field locations as CBP expands support for border security operations.

FY 2011 goals include:

- Continue to ensure that key headquarters leadership has the skill and technical staffing support for its programs and field offices.

SAVE Award - Establish Pre-employment Fitness Standards

Funding Decrease: \$1.5 million

FTE Decrease: 0

Description: CBP has established pre-employment fitness standards for its officers and agents that help to secure the nation's borders at and between the ports of entry. This proposal will examine potential benefits that would result from adding a 1.5 mile run to the Pre-employment Fitness Test. Specifically, it may help avoid costs associated with those new employees who fail the run at the end of the 12 week academy course. The estimated funding decrease or cost avoidance is based on student travel, FLETC tuition, shipping, supplies, and equipment from FY 2010. Any projected savings from this initiative will help CBP operate within the FY 2011 President's budget request and does not represent additional savings beyond the requested level.

IV. Program Justification Changes

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Rent
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Border Patrol Staffing - Rent
PPA: Rent
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-1218.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	408,203
Program Decrease							-	-	(1,218)
Total Request	-	-	-	-	-	402,263	-	-	406,985

Description of Item:

A reduction of \$1.218 million in rent associated with the reduction of Border Patrol staffing.

Justification:

See the Border Patrol Premium Pay and Staff reduction Program Change.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Rent
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 1: Human Resource Reductions - Rent
PPA: Rent
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-34.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	408,203
Program Decrease							-	-	(34)
Total Request	-	-	-	-	-	402,263	-	-	408,169

Description of Item:

A reduction of \$0.034 million in rent associated with the reduction of the Human Resources program.

Justification:

See Human Resources reduction Program Change.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Rent
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 1: Not Sustaining FY 2010 Initiatives - A&M Rent
 PPA: Rent
 Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-1505.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	408,203
Program Decrease							-	-	(1,505)
Total Request	-	-	-	-	-	402,263	-	-	406,698

Description of Item:

A reduction of \$1.505 million in rent associated with the reduction of Air and Marine Personnel salaries.

Justification:

See Air and Marine Personnel salaries reduction Program Change.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Rent
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Office of Administration Reduction - Rent
PPA: Rent
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-177.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	408,203
Program Decrease							-	-	(177)
Total Request	-	-	-	-	-	402,263	-	-	408,026

Description of Item:

A reduction of \$0.177 million in rent associated with the reduction to the Office of Administration.

Justification:

See the Office of Administration Program Change.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Rent
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 1: Terminating USPS Leases
PPA: Rent
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-4400.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	4,400
Program Decrease							-	-	(4,400)
Total Request	-	-	-	-	-	-	-	-	-

Description of Item

The President’s Budget requests a reduction of \$4.4 million to terminate the lease space at U.S. Postal Service (USPS) buildings to ensure our highest priority capabilities are fully funded to achieve our core missions.

Justification

CBP currently leases space in USPS or General Services Administration (GSA) contracted facilities to enable Customs and Border Protection officers (CBPOs) to inspect and make entry on international mail shipments. The reduction may have an impact on mail inspections and entries since multiple cargo locations will now be used to process mail, but CBP expects this impact can be significantly mitigated by shifting to an automated versus manual cargo clearance environment that will also facilitate more effective targeting.

The USPS is continually making changes to its processing locations - most recently in Los Angeles, Seattle, Dallas, and Chicago – and CBP is expected to relocate as the USPS dictates. CBP expects the leases could be terminated by the end of FY 2010, which would mean an immediate costs savings of the leases and the equipment located within the facilities.

CBP operations could be pushed upstream in line with other cargo operations and it would help achieve advanced electronic manifesting and create a more level playing field with express and air cargo operators as provided for in the Postal Accountability and

Enhancement Act (PAEA; P.L. 109-435). The PAEA instructs CBP to offer similar customs treatment for so-called “competitive” mail shipments services and underscores the provisions of the Trade Act of 2002 (P.L. 107-210) regarding the submission of advanced electronic information on all goods arriving in the United States. The express and cargo industry are clamoring for equivalent customs treatment and ironically, the USPS has approached CBP about offering cargo or express treatment for some of its services. CBP’s presence in USPS buildings, at CBP expense, gives the impression of favorable treatment to postal shipments.

Operationally, the main impact will be that mail arriving via commercial flights will need to be cleared at various locations at CBP ports versus at a single USPS facility. If the level of information available electronically in advance on individual items increases as expected, the impact will be minimal. (CBP can already access basic manifest data at the receptacle level provided by carriers.) There will be a transition period of physical handling and entry processing, radiation screening, outbound physical examinations, etc. which will need to be identified and resolved prior to moving. The USPS may be impacted from a mail receipt, accounting, and service standpoint but, as mentioned, mail is moving into an electronic environment and the USPS is seeking alternative arrangements for customs processing.

Below is a general five step plan that describes the most practical and logical steps involved in terminating the lease spaces at the USPS facilities or GSA contracted facilities. This will help achieve several CBP goals for international mail, such as pushing processing upstream in line with other cargo operations, requiring advance electronic manifesting (to meet Trade Act requirements), utilizing personnel more efficiently, and precluding dependence on USPS operational decisions. It will also create a more level playing field with express and air cargo operators as required by PAEA.

Step 1

After internal meetings, CBP will meet with USPS counterparts to inform them of CBP’s intentions for all international mail facilities locations; invite them to participate in the process; and ask them for a list of all air and sea carriers that transport mail to and from the United States. This could also be an opportunity to emphasize the need for advance electronic data for incoming international mail shipments.

Step 2

Detailed plans for vacating USPS facilities or GSA contracted facilities, including timelines, will be developed for each location. These plans will provide specifics about how the transition will take place and will address issues such as: lease terminations, physical move plans, redeployment of personnel and equipment, new process flows, enforcement plans, seizure processing, entry, other agency coordination, radiation and non-intrusive inspection screening, etc.

Step 3

CBP will consult with internal offices concerning the workability of the site specific plans for vacating to either adopt the plans as proposed or with modifications.

Step 4

A meeting will be convened with the International Air Transport Association and Air Transport Association to discuss the impact of this initiative on air carrier operations, and with the World Shipping Council to discuss the impact on sea carriers. A meeting may also be needed with the Military Postal Service Administration regarding Army Post Office/Fleet Post Office mail.

Step 5

Depending on the aforementioned plans, local circumstances and USPS actions, CBP will begin severing leases and moving operations. It is expected that this will be complete by the end of FY 2010.

Impact on Performance (Relationship of Decrease to Strategic Goals)

DHS Goal 1: Preventing Terrorism and Enhancing Security

CBP Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

CBP Objective 1.2: Using a risk-based approach, deploy and employ the most effective inspection and scanning technology available at designated land border ports, airports, seaports, permanent Border Patrol traffic checkpoints, and international areas in which CBP operates to detect and prevent the entry of hazardous materials, goods, and instruments of terror into the United States.

CBP Strategic Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders.

All affected field offices will be surveyed and be instructed to prepare an operational plan for the USPS facilities or GSA contracted facilities within their area of responsibility. Mail will be processed along with regular air cargo (there is one office in New Jersey that receives some mail by sea) and, at a minimum, PRDs will be used to screen for radiation. ATS will be used to identify receptacles and – in coming years - individual packages for further examination and NII will be deployed if needed.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Rent
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Training and Development Reduction - Rent
PPA: Rent
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-296.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	408,203
Program Decrease							-	-	(296)
Total Request	-	-	-	-	-	402,263	-	-	407,907

Description of Item:

A reduction of \$0.296 million in rent associated with the reduction of the Training and Development program.

Justification:

See Training and Development Program Change.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Inspections, Trade, and Travel Facilitation
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 1: Foreign Language Award Program (FLAP)
PPA: Inspections, Trade, and Travel Facilitation
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-19948.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	19,948
Program Decrease							-	-	(19,948)
Total Request	-	-	14,800	-	-	16,800	-	-	-

* FLAP benefits are funded from the collection of COBRA fees. Funding freed up from the elimination of FLAP will be used to fund salary cost, decreasing the appropriated funding.

Description of Item

The President’s Budget requests a reduction of \$19.9 million in the Foreign Language Awards Program (FLAP) to ensure CBP’s highest priority capabilities are fully funded to achieve our core missions.

Justification

FLAP was established in 1985 to pay cash awards to U.S. Customs and Border Protection (CBP) officers and CBP agriculture specialists in the Office of Field Operations (OFO) who are proficient in, and utilize, a foreign language in the performance of their official duties. The funding reduction will be taken against the Inspections, Trade and Travel Facilitation at POEs PPA. FLAP funding is currently paid for through the COBRA User Fees.

CBP’s plan of action to suspend the FLAP program would begin with notifying the National Treasury Employees Union (NTEU) that CBP intends to suspend the FLAP program. A memorandum would then be issued notifying the affected workforce of our suspension of the FLAP program. Since the proficiency rating periods are split into the two six-month increments (October 1 – March 31 and April 1 – September 30) and employees are compensated based on the six-month increments for which they are certified, the elimination of FLAP would take effect April 1 due to the work already

having been performed. Lastly, the below testing companies would be notified to terminate the interagency agreements:

- Ordinate/Versant
- Foreign Service Institute
- Language Testing International
- Federal Bureau of Investigation

FLAP was originally implemented as an incentive for CBP officers and Agriculture Specialists to learn foreign languages to compliment duties at the ports of entry. However, since the initiation of FLAP there have been significant changes to benefits available to CBP officers and agriculture specialists. Most notably, these personnel now receive enhanced retirement benefits similar to other law enforcement officers. In addition, DHS is requesting that these officers become eligible for a journey level increase to address the heightened responsibility due to the post-9/11 increased scope and complexity of these core positions. Other CBP personnel (for example Border Patrol agents) have a language requirement for employment and do not receive special compensation. Section 5.4.1 of the FLAP directive indicates that all FLAP awards are subject to the availability of funds.

Impact on Performance (Relationship of Decrease to Strategic Goals)

DHS Strategic Goal: Preventing Terrorism and Enhancing Security
Securing and Managing Our Borders

CBP Goal 1: Secure the Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

CBP Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of appropriate mix of infrastructure, technology and personnel.

All DHS/CBP Goals can be attained without the payment of FLAP awards. CBP's foreign language capabilities within its workforce will continue to be present and utilized with or without FLAP.

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Inspections, Trade, and Travel Facilitation
Justification of Program Changes
(Dollars in Thousands)

Program Increase 1: Intellectual Property Rights Enforcement
PPA: Inspections, Trade, and Travel Facilitation
Program Increase: Positions 0.0, FTE 0.0, Dollars \$25000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	25,000
Total Request	-	-	-	-	-	-	-	-	25,000

The President’s Budget request \$25.0 million to begin implementation of CBP’s long-term strategy for improving Intellectual Property Rights (IPR) enforcement. The IPR enforcement strategy is an ambitious, ground-breaking plan which takes into account the changes in trade, technology, and IPR infringement that have occurred since many laws and regulations were written, and the resulting enforcement procedures put into place. Successful implementation of the strategy will require legal reform, technological changes, and process redesigns as well as cooperative efforts between CBP and all of its stakeholders. The requested resources will be allocated as follows:

Total FY 2011 Resources	<input type="checkbox"/> Human capital investment	\$ 14,100,000
	<input type="checkbox"/> Technology procurement	\$ 5,500,000
	<input type="checkbox"/> Travel/temporary duty assignments	\$ 3,100,000
	<input type="checkbox"/> Training	\$ 800,000
	<input type="checkbox"/> Administrative overhead	<u>\$ 1,500,000</u>
	Total	\$ 25,000,000

Justification

CBP envisions an effective IPR enforcement process in which legitimate cargo is released without delay, infringing goods are intercepted, violations are prevented, and violators are deterred or put out of business. CBP needs modernized laws, regulations, processes, and technologies to ensure compliance, facilitate trade, and enable CBP to respond to violations as quickly and effectively as possible. Partnerships between CBP,

the trade community, other federal agencies, and foreign governments, which would enhance the flow of information and support IPR enforcement and the facilitation of legitimate trade, are also necessary for an effective IPR enforcement process.

To create a more effective IPR enforcement process, CBP will work to remove or reduce the encumbrances that are detrimental to the effective enforcement. CBP has developed a multilayered strategy that takes into account the trade landscape and focuses work in three areas of the international trade process: pre-entry, entry, and post-entry.

I. Pre-entry Strategy

In the pre-entry environment, CBP’s IPR strategy seeks to build partnerships with the trade community that will provide advance information to improve targeting effectiveness and prevent the importation of goods that infringe on IPR. CBP’s objective is to increase the segment of trusted importers, allowing CBP to focus its targeting and enforcement efforts on known IPR violators and on less trusted imports for which it lacks advance information.

<p>I.1 Create IPR Component In Importer Self Assessment (ISA) Program</p>	<ul style="list-style-type: none"> • Develop an IPR component in the Importer Self Assessment (ISA) program with input from the trade community, including certification requirements and program benefits • Open enrollment into the IPR component of ISA • Focus initial marketing of the program to significant non-rights holders who import goods at high risk for IPR infringement
<p>I.2 Explore Development Of A Distribution Chain Management Program</p>	<ul style="list-style-type: none"> • Seek input from stakeholders and explore possible approaches for implementing a distribution chain management protocol in which right holders provide information to CBP to enable CBP to determine whether shipments are legitimate without examining the goods • Assess options for implementing a distribution chain management protocol, including necessary technological, legal and operational changes and costs

II. Entry Strategy

In the entry environment, CBP will continue to target, seize, and forfeit counterfeit and pirated goods, and enforce ITC exclusion orders, but will undertake a number of actions to improve its efforts. This includes improving the efficiency of targeting models; expanding training for enforcement personnel to better equip them to enforce IPR; improving infringement determination tools, and processes to expedite the release of legitimate goods and avoid the release of infringing goods; encouraging the trade community to assist enforcement by providing information on IPR violations that they discover; stopping counterfeit and pirated goods before they arrive at U.S. borders; and improving interdiction of goods that do reach U.S. borders through cooperation with other federal agencies and foreign governments.

<p>II.1 Improve The Efficiency Of Targeting Models</p>	<ul style="list-style-type: none"> • Complete development of an enhanced predictive risk model targeting ocean shipments at high risk for IPR violations • Implement a pilot program at select seaports, and depending on the results, implement at all seaports • Evaluate and adjust ocean shipment risk model • Use ocean model as a basis for creation of additional IPR risk models for other modes of transportation
<p>II.2 Expand Training For All Enforcement Personnel</p>	<ul style="list-style-type: none"> • Develop a curriculum for a live instructor-led course for enforcement personnel and begin delivery to ports • Develop and deliver classroom and online training for post-entry IPR audit personnel • Increase information sharing capabilities between Headquarters and field locations on IPR issues • Explore the use of alternative delivery systems for IPR training for enforcement personnel • Define best practices for IPR enforcement and disseminate to all field locations • Seek input from rights holders to enhance product specific IPR training
<p>II.3 Improve infringement determination tools and process</p>	<ul style="list-style-type: none"> • Explore ways to enhance CBP’s ability to make infringement determinations, including possibly sharing additional information with rights holders • Initiate work with rights holders, authentication technology providers, and standards setting organizations to improve the tools and technology used in authentication of goods and encourage standardization • Implement or continue as necessary to explore options to enhance CBP’s ability to make infringement determinations • Continue to work with rights holders, authentication technology providers, and standards setting organizations to improve the efficiency of authentication tools and technology and encourage standardization
<p>II.4 Encourage And Enable Importers And Other Non-Rights Holders To Assist CBP’s IPR Enforcement</p>	<ul style="list-style-type: none"> • Complete evaluation of the Commercial Operations Advisory Committee (COAC) recommendation that CBP establish a program that would allow the trade community to voluntarily disclose information to CBP on IPR violations in a manner similar to the prior disclosure clause under 19 U.S.C. § 1592 for other violations • Implement a pilot program if appropriate based on the outcome of assessment of the legal and operational impact of the COAC’s recommendation
<p>II.5 Stop</p>	<ul style="list-style-type: none"> • Strengthen bilateral and multilateral engagement and

<p>Counterfeit And Pirated Goods Before They Arrive At U.S. Borders, And Improve Interdiction Of Goods That Do Reach U.S. Borders</p>	<p>pursue cooperative efforts with foreign customs authorities, including:</p> <ul style="list-style-type: none"> • sharing enforcement practices • exchanging information on IPR violations • conducting joint customs IPR enforcement operations • Pursue cooperative efforts with other Federal agencies, including: <ul style="list-style-type: none"> • Assisting the United States Trade Representative (USTR) with negotiation of ACTA • assisting USTR with the annual Special 301 Report • providing IPR training for foreign officials • collaborating with the Intellectual Property Enforcement Coordinator (IPEC) and participating in interagency IPR working groups
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III. Post-entry Strategy

In the post-entry environment, CBP’s objectives are to strengthen the deterrent effect of fines and penalties by appropriately levying them and increasing collections, expanding IPR audits, increasing the effectiveness of audits in depriving counterfeiters and pirates of their illicit profits, and combating criminal counterfeiting and piracy by collaborating with ICE and supporting the National IPR Coordination Center (IPR Center).

<p>III.1 Strengthen the Deterrent Effect of Fines and Penalties</p>	<ul style="list-style-type: none"> • Work with the Department of Justice (DOJ) to identify and implement ways to enhance the efficacy of IPR fines and penalties cases, including possibly detailing CBP attorney to U.S. attorney offices • Examine the appropriateness of assessments of fines and penalties to make them more effective, and implement changes • Provide additional guidance and oversight to ensure consistency and uniformity nationwide with respect to actions
<p>III.2 Expand Post-entry Audits and Increase Their Effectiveness</p>	<ul style="list-style-type: none"> • Increase from 20 to 30 the number of IPR audits focusing on repeat offenders and major importers with high potential for IPR violations • Explore changes to laws, regulations, or policies to: • give CBP clear authority to seize IPR infringing goods discovered during an audit • allow ICE agents to better assist CBP in enforcement and audits • allow CBP auditors to conduct more effective audits of known IPR violators • Pursue appropriate changes to increase the effectiveness of the IPR audit program

III.3 Combat Criminal Counterfeiting and Piracy	<ul style="list-style-type: none"> • Increase referrals of investigatory leads to ICE and to other agencies through participation in the IPR Center • Provide staffing to the IPR Center, including a deputy director, analyst, and uniformed officer • Commit additional resources for audit assistance in ICE investigations
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Impact on Performance (Relationship of Increase of Strategic Goals)

The additional \$25 million in funds to support CBP’s IPR enforcement efforts is aligned to CBP Strategic Goal 4: Facilitating Legitimate Trade and Travel; and Objective 4.4: Through the implementation of a multilayered 5-year strategy that takes into account the trade landscape and focuses work in three areas of the international trade process: pre-entry, entry, and post-entry.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Inspections, Trade, and Travel Facilitation
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 1: Not Sustaining FY 2010 Initiatives - API/PNR
PPA: Inspections, Trade, and Travel Facilitation
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-3000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	3,000
Program Decrease							-	-	(3,000)
Total Request	-	-	1,727	-	-	3,000	-	-	-

Description of Item:

A reduction of \$3.0 million in enhancements to the Advance Passenger Information (API)/Passenger Name Record (PNR) system which were provided in FY 2010 will not be sustained in order to ensure our highest priority capabilities are fully funded to achieve our core missions.

Justification:

With the \$3 million reduction to API/PNR, CBP will focus its capabilities on the core missions of securing the border, and trade and travel facilitation. In order to maintain these capabilities at the highest possible level, CBP will reduce capacity on programs that do not provide acceptable returns on the investment or not focused explicitly on our primary responsibilities on the U.S. border. CBP remains interested in implementing a global strategy for the use of API/PNR through partnership with select foreign governments to enhance national security and facilitate legitimate travel. Within the current strained fiscal climate, CBP must focus on its primary mission to protect America's physical border from dangerous people and dangerous goods. The program was a part of DHS and CBP's in-depth layered defense approach to security that would extend our conceptual border and substantially reduce the risk of successful terrorism events impacting U.S. interests. CBP continues to identify, and track down suspected terrorists, potential threats to national security through the successful domestic APIS system.

Impact on Performance (Relationship of Decrease to Strategic Goals):

CBP objective 1.2 will be impacted because of the reduction to API/PNR which will reduce CBP's presence in international areas. However, CBP will continue to focus on its primary mission to collect and use data sets to track dangerous people and goods from entering within our borders through domestic APIS.

CBP objective 1.3 will be impacted because API/PNR allowed receipt of foreign government data in near real-time, allowing for timely analysis of high-risk travelers and data to be collected in an automated system to enable standardization for possible further dissemination to other government partners.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Inspections, Trade, and Travel Facilitation
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 1: Western Hemisphere Traveler Initiative (WHTI)
PPA: Inspections, Trade, and Travel Facilitation
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-24500.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							294	294	147,997
Program Decrease							-	-	(24,500)
Total Request	294	250	139,973	294	250	144,936	294	294	123,497

Description of Item

The President's Budget requests a reduction of \$24.5 million in the Western Hemisphere Traveler Initiative (WHTI) Program to ensure CBP's highest priority capabilities are fully funded to achieve our core missions. The reduction will be achieved by eliminating one half of funds recurred in FY 2011 for new acquisitions in FY 2010 (\$10.5 million) and reducing FY 2011 base funding by \$14.0 million.

Justification

In FY 2011, the WHTI program will largely be a steady state investment, supporting approximately 500 inbound lanes with radio frequency identification (RFID) technology. The legislative mandate to implement WHTI was met in June 2009; work planned in the outyears goes beyond the legislative mandate.

Impact on Performance (Relationship of Decrease to Strategic Goals)

DHS Strategic Goal: Preventing Terrorism and Enhancing Security
Securing and Managing Our Borders

CBP Goal 1: Secure the Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

CBP Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of appropriate mix of infrastructure, technology and personnel.

This reduction will have a moderate impact on the WHTI program's operation. Potential impacts and their corresponding reduction amounts are highlighted below:

- Vehicle Primary Client (VPC; -\$2.0 million): This reduction will cause VPC enhancements to be delayed and may result in decreased response times on data inquiries and analysis.
- Enterprise Data Management & Engineering / Enterprise Networks & Technology Support (ENTS/EDME; -\$4.2 million): Funding for the National Data Center and the Stennis backup site will be reduced. This reduction will impact customer response times at the Trusted Traveler Program (TTP) Help Desk. Support would be reduced by cutting available hours for assistance or removing live support by going to email support only.
- Enhanced Drivers Licenses (EDLs), Enhanced Tribal Cards (ETCs) & Passport Cards (-\$1.5 million): Oversight of State and Tribal EDL production methods and coordination with program partners and stakeholders may be affected.
- Global Enrollment System (GES) (-\$3.3 million): This reduction will decrease the personnel and operational hours in support of TTP enrollment centers, potentially affecting customer service.
- Deployed Technology Operations & Maintenance (-\$3 million): With recent equipment procurements, WHTI's O&M requirements have continued to increase, so deferring O&M will have an impact on WHTI operations. The reduction may result in LPR/RFID read rate performance being impaired. It will also delay routine lane equipment maintenance and may prevent CBP from making timely repairs to damaged lane infrastructure. CBP's ability to support the Central Image Archive for users including Internal Affairs, Data Integrity Monitors, the Intelligence Community, and Field Offices will be deferred or scaled back.
- FY 2010 Initiatives (-\$10.5 million): CBP will delay or eliminate program enhancements including Pedestrian Re-engineering, Land Border Model Port development, Outlying Area Reporting System, the Remote Port of Entry Project, Small Boats Program, and stacked booth infrastructure.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
International Cargo Screening
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Container Security Initiative (CSI)
PPA: International Cargo Screening (Container Security Initiative)
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-50749.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							189	189	151,773
Program Decrease							-	-	(50,749)
Total Request	189	187	148,880	189	189	162,000	189	189	101,024

Description of Item

The President’s Budget requests a reduction of \$50.7 million in the Container Security Initiative (CSI) Program to ensure our highest priority capabilities are fully funded to achieve our core missions.

Justification

CBP’s capabilities are focused on the core missions of securing the border, and trade and travel facilitation. In order to maintain these capabilities at the highest possible level, CBP will reduce capacity on programs that do not provide acceptable returns on the investment and are not focused explicitly on our primary responsibilities on the U.S. border. While activities like CSI are supportive of activities at the border by adding additional layers in CBP’s layered approach to securing the border, they are not essential to CBP’s core missions, which can be accomplished at the border.

As the CSI program matures, CBP will shift from placing U.S. personnel overseas (part of the initial CSI operating protocols) to a more technological approach, relying on remote targeting from the National Targeting Center – Cargo and remote examinations and image analysis, and greater reciprocal examination relationships with host governments. As CSI activities transition to a more virtual environment, personnel and mission support resources stationed overseas will be relocated to U.S. domestic ports. This will allow the program to become more efficient and less costly.

Below is a general three step plan of action that describes the most practical and logical steps involved in moving to a more virtual environment for the CSI program.

Step 1

Coordination with other U.S. Government Agencies – DHS and CBP would also need to notify other government entities e.g., mainly Department of Energy (DOE) and Immigration and Customs Enforcement (ICE), that most CBP personnel will be removed from their foreign assignments. CSI is an integral part of DOE Megaport program, with CSI personnel mitigating radiation alarms through CBP’s Laboratory and Science Services. Additionally, the Memorandum of Understanding (MOU) between ICE and CBP allows ICE to utilize the services of CBP personnel to provide research to further investigations in support of international terrorism. ICE overseas investigations and the 22 ICE agents currently assigned or scheduled to be deployed to foreign locations would be impacted if CSI funding is reduced. The notification process to DOE and ICE should begin as soon as a final decision is reached to begin this transition.

Step 2

Coordination with Foreign Partners - Prior to transitioning to a more virtual CSI operation, DHS, CBP, and the Department of State (DOS) would need to engage the 32 countries in order to obtain their concurrence to perform examinations on behalf of CBP, since CBP personnel will no longer be present.

Step 3

Virtual Operations and Staffing - Upon completion of Steps I and II, CSI will begin technological assessments with the CBP Office of Information technology to establish data transmissions systems and processes, which will allow the host government to submit NII images and radiation spectra to the NTC-C.

CBP anticipates that assessments and establishing communication protocols will take most of FY 2011 to accomplish. As the CSI program transitions to a more virtual operation through FY 2011 and FY 2012, the personnel and mission support resources associated with the CSI program will be relocated domestically and realigned to another PPA.

Impact on Performance (Relationship of Decrease to Strategic Goals)

DHS Strategic Goal: Preventing Terrorism and Enhancing Security

CBP Goal 1: Secure the Nation’s borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

CBP Objective 1.2: Using a risk-based approach, deploy and employ the most effective inspection and scanning technology available at designated land border ports, airports, seaports, permanent Border Patrol traffic checkpoints, and international areas in which CBP operates to detect and prevent the entry of hazardous materials, goods, and instruments of terror into the United States.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
International Cargo Screening
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Secure Freight Initiative
PPA: International Cargo Screening (Container Security Initiative)
Program Decrease: Positions -8.0, FTE -4.0, Dollars \$-16579.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							17	17	19,866
Program Decrease							(8)	(4)	(16,579)
Total Request	17	17	7,787	17	17	19,866	9	13	3,287

Description of Item

The President’s Budget requests a reduction of \$16.6 million in the Secure Freight Initiative (SFI) Program to ensure our highest priority capabilities are fully funded to achieve our core missions.

Justification

Through partnerships with foreign governments, terminal operators, and carriers, SFI enhances DHS’s capability to assess the security of U.S.-bound maritime containers by scanning them for special nuclear and other radioactive materials before they are laden on vessels bound for the United States. An integrated scanning system, consisting of an Radiation Portal Monitor (RPM) provided by the U. S. Department of Energy (DOE) and non-intrusive inspection (NII) equipment provided by DHS, collects and aggregates container data. This data is analyzed by CBP officers to determine if the container should be referred to the host nation for secondary examination prior to lading.

CBP’s capabilities are focused on the core missions of securing the border and trade and travel facilitation. In order to maintain these capabilities at the highest possible level CBP will reduce capacity on programs that provide lower returns on the investment. The data provided by the SFI program is useful to CBP operations, but at the same time the operational costs of SFI are significant, as are the ongoing challenges facing SFI. These challenges include obtaining the necessary support and “buy in” of host governments and the industrial community, equipment downtime, operational issues such as port infrastructure constraints, and health and safety concerns regarding the operation of

imaging equipment. In light of the costs and challenges facing SFI, CBP will limit the program while testing new technology and working to find solutions to these complex challenges.

The Secure Freight Initiative will close three of the five existing ports (Honduras; Southampton, United Kingdom (UK); and South Korea). Personnel assigned to the three ports will be relocated domestically. The personnel reassignments may not occur until FY 2012, depending on how quickly the timeline for phasing out SFI moves forward. The remaining \$3.3 million in available funds will support existing operations.

Below is a general four step plan of action that describes the most practical and logical steps involved in ceasing SFI operations in Honduras, Southampton, and South Korea:

Step 1

Legal Actions - The Implementing Recommendations of the 9/11 Commission Act (P.L. 110-53; 9/11 Act) mandates 100% scanning in foreign ports. In order to begin the process of discontinuing the requirements to scan 100% as mandated in the 9/11 Act, the proposal to amend the law would need to be presented to Congress in February 2010.

Step 2

Coordination with other U.S. Government Agencies – CBP will notify U.S. Government partners of changes in current and planned joint scanning operations: Department of State (overseas coordination), Department of Energy (partnership in equipment deployment), and Department of Defense (planned retrograde joint effort). Memoranda of Understanding (MOU) will need to be amended to reflect CBP's withdrawal from these partnerships.

Step 3

Coordination with Foreign Partners/SFI Operations Shutdown - CBP will meet with overseas partners to inform them of required changes in existing agreements resulting from ceasing SFI scanning operations at their ports. Honduras, Southampton, and South Korea will cease as SFI participants. In Southampton, the equipment may be gifted to the UK Border Agency (UKBA) or to the Southampton Container Terminal (SCT) operator. If UKBA or SCT do not accept the equipment, costs associated with de-commissioning will have to be considered. The TDY staff due to return to the U.S. in June will not be replaced, and the current plan to hire Foreign Service Nationals will be halted. In South Korea, the equipment will be decommissioned and returned to the U.S., and the deployed staff could be reassigned to other CBP programs. In Honduras, the deployed staff could be reassigned to other CBP programs. Transmission of scan data back to the U.S. (NTC/SFI interface) will be discontinued at these ports by the end of FY 2010.

Step 4

Limited Operations and Staffing - All contractor support for IT development for SFI will cease by FY 2011. Limited staff will remain associated with the SFI program to manage SFI operations at Qasim, Pakistan and Salalah, Oman. The field personnel at domestic ports will have to be notified that operations have ceased. This will involve changing the

targeting process at domestic ports that received containers from these SFI locations by reverting to pre-SFI protocols.

In FY 2012, or a point in time when the SFI ports have reverted to CSI protocols, the personnel and mission support resources associated with the SFI program will be relocated domestically and assigned to another Program, Project, and Activity (PPA).

Impact on Performance (Relationship of Decrease to Strategic Goals)

DHS Strategic Goal: Preventing Terrorism and Enhancing Security

CBP Goal 1: Secure the Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

CBP Objective 1.2: Using a risk-based approach, deploy and employ the most effective inspection and scanning technology available at designated land border ports, airports, seaports, permanent Border Patrol traffic checkpoints, and international areas in which CBP operates to detect and prevent the entry of hazardous materials, goods, and instruments of terror into the United States.

The SFI Program is a helpful but not essential part of CBP's layered risk-based approach to detect and prevent the entry of hazardous materials, goods, and instruments of terror into the United States. DHS will continue to use and, when appropriate, strengthen other means to achieve the same goals of SFI, such as the 24 hour rule, the Importer Security Filing and Additional Carrier Requirements Rule (10+2), and the Customs-Trade Partnership Against Terrorism (C-TPAT) program.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
C-TPAT
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 1: Customs-Trade Partnership Against Terrorism
PPA: C-TPAT
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-12000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							207	207	63,136
Program Decrease							-	-	(12,000)
Total Request	207	207	52,420	207	207	62,612	207	207	51,136

Description of Item

The President’s Budget requests a reduction of \$12.0 million in the Customs-Trade Partnership Against Terrorism program (C-TPAT) to ensure our highest priority capabilities are fully funded to achieve our core missions.

Justification

The current funding profile for the C-TPAT program was developed during the start up and expansion phase. The program is now mature, and \$12 million can be eliminated from its budget with no impact on operations. Based on projected workload, as well as on program efficiencies, the operational capability cut will not impact CBP’s supply chain security mission. The program has aggressively worked to identify and successfully implement travel and validation procedures aimed at maximizing program resources.

C-TPAT will reduce the number of contractors (software programmers and testers) assigned to the Office of Information Technology to develop the program’s Automated Web-Based Portal System from 8 to 2 programmers in equal increments from FY 2010 – FY 2012. The Portal is the primary interface with the C-TPAT trade members and has approximately 20,000 designated users. It warehouses information pertinent to the validation process and is critical to effective and efficient administration of the program. A phased down approach will give the program the opportunity to make needed functional enhancements over an extended time period.

Impact on Performance (Relationship of Decrease to Strategic Goals)

DHS Strategic Goal: Preventing Terrorism and Enhancing Security

CBP Goal 1: Secure the Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

CBP Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of the appropriate mix of infrastructure, technology, and personnel.

The reduction to funds supporting the Automated Web-Based Portal System will have minimal impacts because CBP will use a phased approach in which necessary enhancements will still be made, over an extended time period. The reduction to support funds, including equipment, services and supplies, will not impact the program's ability to meet current mission goals. The C-TPAT program will meet all timelines as mandated by the Security and Accountability for Every Port Act of 2006 (P. L. 109-347).

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Inspection and Detection Technology
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: CBP Explosive Detector Dog Program
PPA: Inspection and Detection Technology
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-410.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	410
Program Decrease							-	-	(410)
Total Request	-	-	-	-	-	-	-	-	-

Description of Item

The President’s Budget requests a reduction of \$0.41 million to Customs and Border Protection’s Explosive Detector Dog Program to ensure our highest priority capabilities are fully funded to achieve our core missions.

Justification

Since September 11, 2001, many state and local law enforcement agencies have increased the number of explosive dogs in their departments. With the overlapping number of state and local explosive detector dog teams deployed at airports and mass transit areas, CBP will be able to utilize state and local teams in emergency situations.

Currently, there are 20 CBP Explosive Detector Dog Teams. The annual cost of maintaining the explosive program is approximately \$410,000. Training material costs account for \$50,000, travel \$120,000 and hazard duty pay \$240,000.

Impact on Performance (Relationship of Decrease to Strategic Goals)

DHS Strategic Goal: Preventing Terrorism and Enhancing Security

CBP Goal 1: Secure the Nation’s borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

CBP Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of the appropriate mix of infrastructure, technology, and personnel.

The impact on performance will be minimal since CBP will be able to utilize state and local teams in emergency situations.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Training at the Ports of Entry
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Training and Development Reduction
PPA: Training at the Ports of Entry
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-2650.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	24,278
Program Decrease							-	-	(2,650)
Total Request	-	-	28,099	-	-	24,778	-	-	21,628

Description of Item

CBP requests a reduction of \$24.3 million in training and development programs to ensure our highest priority capabilities are fully funded to achieve our core missions

Justification

The Office of Training and Development (OTD) identified three major areas that can be reduced by FY 2011 for a total savings of \$24.3 million:

OTD plans to reduce 50 positions total through attrition and not filling current vacancies. This reduction will target positions at headquarters and the Academies. The Academy position reduction will target both mission support and instructor positions. OTD first plans to look at consolidating the mission support functions at the Academies with the goal of minimizing the impact to instructor positions. At the headquarters level, OTD plans to reduce positions based on the realignment of positions and functions. These reductions take into consideration the goal of transitioning the course design/development function to permanent FTE employees.

The CBP's National Training Plan (NTP) will be reduced by \$17.464 million in FY 2011 as a result of identified savings and a projected decrease in training requirements for basic students. This reduction is based on three areas of savings: (1) \$7 million reduction in TDY instructors; (2) \$2.5 million in new development costs as this function is brought in-house; and (3) \$7.964 million in savings for student travel based on past spending trends. The NTP funds new development through a combination of in-house

design/development and contractors. OTD is currently in the process of adding permanent FTE to provide additional in-house capability in an effort to reduce the need for contractor development. By FY 2011, OTD anticipates that a savings could be realized as more of this function is brought in-house.

OTD projects that \$3.65 million can be reduced from its contract budget by FY 2011 through the reduction/elimination of these contracts. These reductions are based on the elimination of contract positions and services that are no longer required for operations. Some contract positions will be converted to permanent FTEs. One major contract that will be significantly reduced is the Primescape contract which currently funds 18 positions in support of Headquarter operations. The other major contracts identified are the Info-Zen and Challenge Contracts at the Field Operations Academy (FOA) which provided support in the area of training scheduling/registration. OTD has identified several other smaller service contracts that can be eliminated as services are no longer necessary for operations.

Impact on Performance (Relationship of Decrease to Strategic Goals)

Border Security Inspections and Trade Facilitation at POE's Long Term Performance Goal – Improve the targeting, screening, and apprehension of high-risk international cargo and travelers while providing processes to facilitate the flow of safe and legitimate trade and travel.

Goal 1 – Continue to Protect Our Nation From Dangerous People

Objective 1.1 – Achieve Effective Control of Our Borders

Border Security and Control Between POE's Long Term Performance Goal – To gain effective control in areas deemed as high priority for terrorist threat potential or other national security objectives through the establishment of the Operational Requirements-Based Budgeting Program.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Border Security and Control
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Border Patrol Staffing and Premium Pay Reduction
PPA: Border Security and Control
Program Decrease: Positions -181.0, FTE -91.0, Dollars \$-30523.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							22,800	22,800	3,641,131
Program Decrease							(181)	(91)	(30,523)
Total Request	22,787	21,135	3,447,627	22,923	22,836	3,535,286	22,619	22,709	3,610,608

Description of Item

Resources to fund OBP's premium pay and agent staffing have been reduced to ensure our highest priority capabilities are fully funded to achieve our core missions.

Justification

A \$15.0 million reduction reflects a proposed change to management of premium pay policy on working shifts which currently results in higher premium pay costs. The proposed policy changes would require restrictions on weekend work schedules that currently result in the payment of Sunday differentials, staffing adjustments during holiday periods and overtime changes related to Fair Labor Standards Act (P.L. 75-718, as amended) overtime paid at the end of a workday shift.

A \$15.523 million reduction request to Border Patrol agent staffing translates to a reduction of 181 Border Patrol agents in FY 2011 while maintaining a level of approximately 20 thousand Border Patrol agents.

Impact on Performance (Relationship of Decrease to Strategic Goals)

The change in premium pay policies is not anticipated to have a major impact on border operations or the effectiveness of the agent workforce. These pay policy changes are required to ensure that there are not further staffing reductions taken in the agent workforce that could have a negative impact on border enforcement capabilities.

The 181 agent reduction in FY 2011 will result in a total agent force of 20,000. The Border Patrol is committed to maintaining the current level of effective control that has been achieved through the strategic deployment of additional agents, technology and infrastructure.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Border Security and Control
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: Intelligence and Operations Coordination Staffing
PPA: Border Security and Control
Program Increase: Positions 103.0, FTE 52.0, Dollars \$10000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							200	200	58,009
Program Increase							103	52	10,000
Total Request	200	200	58,009	200	200	58,009	303	252	68,009

Description of Item

The President's Budget requests \$10.0 million in FY 2011 salary and benefits funding for 103 positions which consists of 52 additional FTEs to reach the staffing authorization of 303 positions. The Office of Intelligence and Operations Coordination (OIOC) has a unique mission and as a result has a very specialized workforce. The office is comprised of Intelligence Officers, Operators and support personnel that provide subject matter expertise responsible for targeting and analysis functions, coordination of national incident response and intelligence driven special operations that require collaboration between CBP offices. Requested funds allow for:

- 24/7 RRB Intelligence Watch Staffing and Intelligence Officers
- Appropriate staffing levels for Agency Incident Management, Operations Coordination, Continuity of Operations (COOP) and Business Recovery missions

Justification

The OIOC is responsible for developing a predictive intelligence and analysis capability for CBP, improving situational awareness for CBP Headquarters and field decision makers, and improving coordination of CBP-wide operations. OIOC is responsible for the entire intelligence cycle including planning, collection, processing, analysis, production and dissemination of all-source information and intelligence which includes subject matter expertise in diverse categories; coordination of joint operations in support of CBP's mission; overseeing the establishment of integrated intelligence teams in the field and management of the CBP incident management program. OIOC ensures the

flow of valuable information to and from field intelligence assets, providing frontline officers and agents with a greater ability to protect our nation's border.

The requested increase will provide an authorized staffing level of 303 positions. Additional funding will afford the opportunity for OIOC recruitment of individuals to support current ongoing OIOC projects and programs. An example, is hiring additional Intelligence Officers who will analyze and evaluate intelligence data collected; process, review and evaluate large volumes of information from a wide range of sources to identify trends, patterns, profiles, estimates and studies; research, analyze, assimilate and evaluate available information; review new incoming material selecting and isolating pertinent materials from files and prepare finished studies of factual data in support of the CBP frontline and as it relates to the CBP mission of safeguarding the American homeland at and beyond the borders.

Impact on Performance (Relationship of Increase to Strategic Goals)

DHS Strategic Goal:

- Preventing and Protecting Against Terrorism
- Securing and Managing Our Borders
- Enforcing and Administering Our Immigration Laws
- Safeguarding and Securing Cyberspace
- Ensuring Resilience to Disaster

CBP Goals:

- Secure our nations border to protect America from the entry of dangerous or illegal people or goods
- Ensure the efficient flow of lawful people and goods across U.S. borders

CBP Objectives:

- Establishes an integrated framework to enhance CBP's Intelligence capability
- Maintain and enhance effective coordination of multi-component and inter/intra-agency operations
- Promote an environment that values open communication and information sharing
- Cultivate and maintain a workforce that is aligned, trained, and staffed to meet OIOC's mission

Without this funding CBP will not be able to adequately staff, expand and/or improve the following subset of key agency mission areas:

- Commissioner's Situation Room – War Room Program
- Incident Management
- Operational Analysis/BorderStat/EMIS
- Operations Coordination
- IOCCs/ICTs
- RRB Intelligence Watch - 24/7 Operation

- Targeting
- El Paso Intelligence Center
- Requirements and Collection Management
- Tasking Production Exploitation and Dissemination (Air Marine Operation Center)
- Law Enforcement Technical Collection
- COOP and Business Resumption
- Tunnels Program

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Border Security and Control
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: OIT Reduce Contractor Support
PPA: Border Security and Control
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-74400.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Decrease							-	-	(74,400)
Total Request	-	-	-	-	-	-	-	-	(74,400)

Description of Item

Resources to fund \$74.4 million in capability have been reduced to ensure our highest priority capabilities are fully funded to achieve our core missions.

The \$74.4 million reduction will reduce the amount of funding available for contract support in a number of areas within the Office of Information and Technology (OIT). The reductions will result in less direct support to the field and more centralized IT Help Desk support. OIT plans to mitigate the impacts by standardizing desktops, servers and storage; consolidate and centralize management of desktops; virtualize services/workstations and circuit/bandwidth optimization.

Justification

The \$74.4 million reduction will be achieved through reducing the contractor workforce support Office of Information and Technology. In order to absorb this decrease in resources, OIT is developing plans that include revising strategies for delivering support to field locations and evaluating technology solutions that will reduce the amount of manpower required for desktop support. This reduction will be carefully managed to minimize impact on mission critical systems and of federal, state, local, and international government agencies nationwide.

Impact on Performance (Relationship of Decrease to Strategic Goals)

The \$74.4 million reduction to OIT contract support resources supports the goal of Strengthen and Unify DHS Operations and Management. Although this initiative will initially have some impact on the level of service provided to the field, the long-term effort to revise our service delivery model and take advantage of automated tools will result in improved service, better business practices and significant savings that can be reinvested in other mission critical programs.

Measures are in place to minimize the impact of the reduction on mission critical operations, including:

- Improved project prioritization through use of business requirements/governance. Assistant Commissioners will approve customer requests for system development/enhancements to ensure that they represent priority business-owner requirements
- Creation of the Chief Information Officer Governance Board to validate efficiency impacts on CBP operations
- Increased automation, monitoring and availability of desktops and support systems
- Increased systems availability
- Improved hardware availability
- Immediate response to requests for assistance through web-based Remedy:
 - Knowledge Base to walk users through most common issues for quicker resolution
 - User password reset capabilities
- Increased web-based training services
 - Enables supervisors to schedule staff training with more flexibility
- Centralized Field Support management
 - Leverages enhanced automation tools for remote support
- Consolidation of project deployments through initiation of a geographic deployment strategy

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Border Security and Control
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 1: Training and Development Reduction
PPA: Border Security and Control
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-8000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							22,923	22,923	3,641,131
Program Decrease							-	-	(8,000)
Total Request	22,787	21,135	3,447,627	22,923	22,836	3,535,286	22,923	22,923	3,633,131

Description of Item:

A reduction of \$8.0 million in rent associated with the Training and Development program.

Justification:

See the Training and Development at the Ports Program Change.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Training Between the Ports of Entry
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Training and Development Reduction
PPA: Training Between the Ports of Entry
Program Decrease: Positions -50.0, FTE -25.0, Dollars \$-13378.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							130	130	50,587
Program Decrease							(50)	(25)	(13,378)
Total Request	130	130	74,797	130	130	51,751	80	105	37,209

Description of Item:

A reduction of \$13.4 million in rent associated with the Training and Development program.

Justification:

See the Training and Development at the Ports Program Change.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Air and Marine Operations, Personnel Compensation and Benefits
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 1: Not Sustaining FY 2010 Initiatives - Air & Marine
PPA: Air and Marine Operations, Personnel Compensation and Benefits
Program Decrease: Positions -120.0, FTE -120.0, Dollars \$-18182.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							2,015	2,015	316,512
Program Decrease							(120)	(120)	(18,182)
Total Request	1,801	1,710	266,348	2,015	1,943	309,629	1,895	1,895	298,330

Description of Item:

A reduction of \$18.182 million in enhancements which were provided in FY 2010 will not be sustained in order to ensure our highest priority capabilities are fully funded to achieve our core missions.

Justification:

The Office of Air and Marine (OAM) reduction of \$18.182 million will forgo an approximate 120 position enhancement received in FY 2010. OAM maximizes the capabilities of air and marine assets through a cohesive joint air operations model for centralized command and control and a responsive and integrated control system for decentralized execution. OAM partners with numerous stakeholders in performing its missions throughout the continental United States and the Western Hemisphere. This includes domestic operations at the borders, source, transit and arrival zone operations, interior law enforcement support, and support to other agencies.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: Data Center Migration
PPA: Salaries and expenses:
Program Increase: Positions 0.0, FTE 0.0, Dollars \$26600.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	7,770
Program Increase							-	-	26,600
Total Request	-	-	-	-	-	-	-	-	34,370

The President’s Budget requests \$26.6 million for data center migration (development) funding that will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2011.

Resources for the Data Center Migration will establish and transition the following services to EDS:

Project	FY2011*
Passenger Systems	\$ 6,650,000
Cargo Systems	\$ 6,650,000
Targeting Systems	\$ 6,650,000
Border Enforcement Systems	\$ 6,650,000
Total	\$26,600,000

*Estimate is based off of the execution of the FY2010 system migration. The FY2011 plan will be refined depending on the progress made during FY2010.

Justification

The Data Center consolidation efforts will standardize IT resource acquisitions across Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

FY 2011 data center development funding, to be managed through the DHS Working Capital Fund (WCF), will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2011. The data center migration includes:

- Discovery, migration planning, and scheduling activities specifically related to systems/applications that will transition to the DHS Data Centers in FY 2010
- Purchase of new equipment for placement in the DHS Data Centers as part of migration/transition efforts
- Installation of equipment racks at the DHS Data Centers
- Migration-related build-out of DHS Data Center infrastructure
- Transition of disaster recovery/backup/Continuity of Operations (COOP) capability to DHS Data Centers
- Installation of infrastructure support as part of system migrations at the DHS Data Centers
- Migration of USCIS hardware, systems/applications to occupy rack space at the DHS Data Centers.

Impact on Performance (Relationship of Increase to Strategic Goals)

DHS Goal 3: Protect Critical Infrastructure

Objective 3.1: Protect and Strengthen the Resilience of the Nation's Critical Infrastructure and Key Resources

Objective 3.3: Improve Cyber Security

CBP Strategic Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel;

Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of the appropriate mix of infrastructure, technology, and personnel; and

Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders;

Objective 2.1: Through the use of accurate advance information and modernized systems for cargo processing, expedite the processing of people, products, and conveyances at land border ports, airports, and seaports.

If funding is not provided, CBP will not have the additional capability to operate critical systems in multiple geographic locations during times of peace and national crisis, replicate and perform maintenance without impacting the mission, reduce our dependency on legacy architectures, or make our data more readily available to DHS and our intelligence partners.

Migration of CBP production systems in FY2011 to the DHS Stennis and EDS Data Centers will enable DHS to fulfill its mission, strategic goals and business objectives to create "One Network, One Infrastructure, and One DHS." Lack of migration will inflict a negative impact on CBP's ability to address DHS OIG findings related to CBP's disaster recovery posture, as outlined in *Disaster Recovery Planning for DHS Information Systems Needs Improvement*, OIG-IT-04-003, dated February 2005.

In alignment with DHS departmental goals to consolidate all component Data Centers into the Stennis and EDS Data Centers, CBP plans to continue our transition leadership role to migrate all systems in FY11. This will help us to modernize and advance existing services, thus improving data and information sharing, as well as interoperability.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Human Resource Reductions
PPA: Salaries and expenses:
Program Decrease: Positions -6.0, FTE -3.0, Dollars \$-4160.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							3,854	3,854	1,005,735
Program Increase							(6)	(3)	(4,160)
Total Request	3,822	3,733	1,313,558	3,854	3,840	1,016,000	3,848	3,851	1,001,575

Description of Item

The Human Resources (HR) staff funding will be reduced to ensure our highest priority capabilities are fully funded to achieve our core missions.

Justification

The reduction to the Human Resources Division will be achieved in the following areas;

- Reducing \$56,000 needed to address equipment associated with replacement and telework
- \$3,416,000 Services: Contractors and other services; support of recruitment, hiring, retirement processing and systems
- They will reduce staffing by 6 positions associated with non-mission critical needs
- Trimming HR management (HRM) contractors staff by 7%
- Reduces training for new field Labor Employee Relations personnel and HQ subject matter experts
- Downgrades hiring centers' ability to support CBP operational and mission support stakeholders
- Limits update data systems/software (through reduced contractor support) and replacement of obsolete equipment
- Providing limited support to recruitment events

Some travel reductions could be mitigated through increased use of video-teleconferencing and web seminars, other field consultations and training that require an

on-site presence of HRM personnel cannot be mitigated. There is no method to mitigate the impact of reducing supply and equipment purchases other than continued use of some obsolete computer hardware/software (e.g., extending personal computer replacement cycle from three years to five).

Impact on Performance (Relationship of Decrease to Strategic Goals)

The decrease in human resources will be mitigated by decreasing on-site support and reduced travel. In addition, the decrease will cause delays in pre-employment processing and recruitment and diminish capabilities to evaluate recruitment and assessment programs; eliminating the capability to provide training and processing in retirement programs and benefits/worklife.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Not Sustaining FY 2010 Initiatives - CyberSecurity
PPA: Salaries and expenses:
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-5000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	5,000
Program Increase							-	-	(5,000)
Total Request	-	-	-	-	-	5,000	-	-	-

Description of Item:

A reduction of \$5.0 million in Cyberspace enhancements which were provided in FY 2010 will not be sustained in order to ensure our highest priority capabilities are fully funded to achieve our core missions.

Justification:

The \$5 million reduction for Cyber Security will not impact CBP's ability to provide Top Secret/Sensitive Compartmented Information (TS/SCI). CBP will continue to insure that CBP and DHS networks remain secure and not vulnerable to attack, have minimum loss of availability, and are not compromised. Existing capabilities within the Security Operations Center (SOC) will allow for the continuation of classified processing capabilities. Existing resources will allow for some visibility into monitoring, incident response and processing of classified threat information. SOC will forgo the expansion of capabilities and increased cyber security visibility.

Impact on Performance (Relationship of Decrease to Strategic Goals):

DHS Strategic Goal: Safeguarding and Security Cyberspace

CBP objective 2.1 will be impacted because of the reduction to Cyber Security. However, CBP will continue to make sure that classified processing capabilities will allow for continuous TS/SCI and collateral classified access via an onsite Sensitive Compartmented Information Facility with Joint Worldwide Intelligence Communications System and Homeland Secure Data Network terminals.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Office of Administration Reduction
PPA: Salaries and expenses:
Program Decrease: Positions -30.0, FTE -15.0, Dollars \$-7833.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							3,854	3,854	1,005,735
Program Increase							(30)	(15)	(7,833)
Total Request	3,822	3,733	1,313,558	3,854	3,840	1,016,000	3,824	3,839	997,902

Description of Item

The President's Budget requests a reduction of \$8.01 million (including rent) reduction to the Office of Administration (OA) to ensure our highest priority capabilities are fully funded to achieve our core missions

Justification

The reduction would be taken across OA's directorates and there would be impacts in areas such as acquisition management, systems development and deployment, facilities and real property management, as well as asset and personal property management. Decreased funding will reduce FTE's by 3% and contractor support by 11%.

OA would delay some of its annual property inventory activities. Further development and deployment of Fedtraveler, Facilities Project Management and Property Management systems would be deferred for at least one to two years. There will be delays in facilities and construction projects.

Much of OA's work involves mandatory, time-sensitive activities such as collecting revenue, preparing budgets, paying bills, awarding contracts, etc. that cannot be reduced or delayed without financial consequences. To avoid missing legislative deadlines, having to pay penalties for late payments and lapsing of annual funds due to delays in contract awards, OA will need to direct its reductions to areas not directly related to these requirements.

Impact on Performance (Relationship of Decrease to Strategic Goals)

The reductions in the Office of Administration will result in less contractor support in core areas such as acquisition management, systems development and deployment, facilities and real property management, as well as asset and personal property management. OA will rely more on federal employees to absorb work previously completed by contractors.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

For necessary expenses for enforcement of laws relating to border security, immigration, customs, and agricultural inspections and regulatory activities related to plant and animal imports; purchase and lease of up to 8,000[4,500] (~~7,000~~ [4,000] for replacement only) police-type vehicles; and contracting with individuals for personal services abroad; [\$7,623,068,000]\$8,207,986,000, of which [\$3,226,000]\$3,274,000 shall be derived from the Harbor Maintenance Trust Fund for administrative expenses related to the collection of the Harbor Maintenance Fee pursuant to section 9505(c)(3) of the Internal Revenue Code of 1986 (26 U.S.C. 9505(c)(3)) and notwithstanding section 1511(e)(1) of the Homeland Security Act of 2002 (6 U.S.C. 551(e)(1)); of which not to exceed \$45,000 shall be for official reception and representation expenses; of which not less than [\$309,629,000]\$298,330,000 shall be for Air and Marine Operations; of which such sums as become available in the Customs User Fee Account, except sums subject to section 13031(f)(3) of the Consolidated Omnibus Budget Reconciliation Act of 1985 (19 U.S.C. 58c(f)(3)), shall be derived from that account; of which not to exceed \$150,000 shall be available for payment for rental space in connection with preclearance operations; of which not to exceed \$1,000,000 shall be for awards of compensation to informants, to be accounted for solely under the certificate of the Secretary of Homeland Security [; and of which not more than \$800,000 shall be for procurement of portable solar charging rechargeable battery systems]: Provided, That for fiscal year [2010]2011, the overtime limitation prescribed in section 5(c)(1) of the Act of February 13, 1911 (19 U.S.C. 267(c)(1)) shall be \$35,000; and notwithstanding any other provision of law, none of the funds appropriated by this Act may be available to compensate any employee of U.S. Customs and Border Protection for overtime, from whatever source, in an amount that exceeds such limitation, except in individual cases determined by the Secretary of Homeland Security, or the designee of the Secretary, to be necessary for national security purposes, to prevent excessive costs, or in cases of immigration emergencies[: Provided further, That of the total amount provided, \$1,700,000 shall remain available until September 30, 2011, for the Global Advanced Passenger Information/Passenger Name Record Program]. (Department of Homeland Security Appropriations Act, 2010.)

B. FY 2010 to 2011 Budget Change

Department of Homeland Security U.S. Customs and Border Protection Salaries and expenses: FY2010 to FY2011 Budget Change (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2009 Actuals	49,061	44,955	8,112,960
FY 2010 Enacted	48,585	48,276	8,064,713
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Realign Positions to NTC	65	65	9,447
Realignment from Facilities Management	-	-	630
Transfer from Border Patrol	-	-	70,000
Total Transfers	65	65	80,077
Increases	-	-	-
ARRA Annualization	-	10	29,564
Annual Pay	-	-	59,158
Annual Pay 4th Quarter	-	-	28,173
Annualizations	-	299	72,522
Management Efficiencies	950	475	-
Restoration of CBPO staffing	389	195	46,858
Journeyman	-	-	310,403
Total Increases	1,339	979	546,678
Decreases	-	-	-
Management Efficiencies	-	-	(70,164)
Realign Positions to NTC	(65)	(65)	(9,447)
Termination of One Time Costs	-	-	(96,529)
Transfer from Border Patrol	-	-	(70,000)
Total Decreases	(65)	(65)	(246,140)
Total, Adjustments-to-Base	1,339	979	380,615
FY 2011 Current Services	49,924	49,255	8,445,328
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Border Patrol Staffing - Rent	-	-	(1,218)
Border Patrol Staffing and Premium Pay Reduction	(181)	(91)	(30,523)
CBP Explosive Detector Dog Program	-	-	(410)
Container Security Initiative (CSI)	-	-	(50,749)
Customs-Trade Partnership Against Terrorism	-	-	(12,000)
Data Center Migration	-	-	26,600
Foreign Language Award Program (FLAP)	-	-	(19,948)
Human Resource Reductions	(6)	(3)	(4,160)
Human Resource Reductions - Rent	-	-	(34)
Intellectual Property Rights Enforcement	-	-	25,000
Intelligence and Operations Coordination Staffing	103	52	10,000
Not Sustaining FY 2010 Initiatives - A&M Rent	-	-	(1,505)
Not Sustaining FY 2010 Initiatives - API/PNR	-	-	(3,000)
Not Sustaining FY 2010 Initiatives - CyberSecurity	-	-	(5,000)
OIT Reduce Contractor Support	-	-	(74,400)
Office of Administration Reduction	(30)	(15)	(7,833)
Office of Administration Reduction - Rent	-	-	(177)
Secure Freight Initiative	-	-	(16,579)
Terminating USPS Leases	-	-	(4,400)
Training and Development Reduction	(50)	(25)	(24,028)
Training and Development Reduction - Rent	-	-	(296)

Western Hemisphere Traveler Initiative (WHTI)	-	-	(24,500)
Not Sustaining FY 2010 Initiatives - Air & Marine	(120)	(120)	(18,182)
Total, Program Changes	(284)	(202)	(237,342)
FY 2011 Request	49,640	49,053	8,207,986
FY 2010 to FY 2011 Total Change	1,055	777	143,273

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	49,061	44,955	8,112,960
FY 2010 Enacted	48,585	48,276	8,064,713
Transfers	-	-	-
Total, Transfers	-	-	630
Adjustments-to-Base	-	-	-
Transfers	65	65	80,077
Increases	1,339	979	546,678
Decreases	-	-	(166,693)
Total, Adjustments-to-Base	1,404	1,044	460,062
FY 2011 Current Services	49,989	49,320	8,525,405
Program Changes	-	-	-
Total, Program Changes	(284)	(202)	(237,342)
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	49,640	49,053	8,207,986
Total Change 2010 to 2011	1,055	777	143,273

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Headquarters Management & Administration	3,854	3,840	1,418,264	3,818	3,836	1,415,915	(36)	(4)	(2,349)	(36)	(18)	1,977	-	14	(4,325)
M&A, Border Security Inspections and Trade Facilitation	2,197	2,186	520,575	2,179	2,190	521,141	(18)	4	566	(18)	(10)	4,804	-	14	(4,238)
M&A, Border Security and Control between Ports of Entry	1,657	1,654	495,426	1,639	1,646	494,201	(18)	(8)	(1,225)	(18)	(8)	4,803	-	-	(6,027)
Rent	-	-	402,263	-	-	400,573	-	-	(1,690)	-	-	(7,630)	-	-	5,940
Border Security Inspections and Trade Facilitation	19,663	19,527	2,749,784	21,002	20,333	2,918,324	1,339	806	168,540	-	-	(104,836)	1,339	806	273,376
Inspections, Trade, and Travel Facilitation	19,005	18,880	2,262,235	20,287	19,614	2,511,463	1,282	734	249,228	8	4	(22,448)	1,274	730	271,676
Harbor Maintenance Fee Collection (Trust Fund)	-	-	3,226	-	-	3,274	-	-	48	-	-	-	-	-	48
International Cargo Screening	189	189	162,000	181	185	84,445	(8)	(4)	(77,555)	(8)	(4)	(67,328)	-	-	(10,227)
Other international programs	101	101	11,181	101	101	11,308	-	-	127	-	-	-	-	-	127
C-TPAT	207	207	62,612	207	207	51,136	-	-	(11,476)	-	-	(12,000)	-	-	524
Trusted Traveler Programs (TTP)	-	-	11,274	-	-	10,887	-	-	(387)	-	-	-	-	-	(387)
Inspection and Detection Technology	-	-	153,563	-	-	155,153	-	-	1,590	-	-	(410)	-	-	2,000
Systems for Targeting	8	8	32,560	8	8	32,565	-	-	5	-	-	-	-	-	5
National Targeting Center	153	142	26,355	218	218	36,465	65	76	10,110	-	-	-	65	76	10,110
Training at the Ports of Entry	-	-	24,778	-	-	21,628	-	-	(3,150)	-	-	(2,650)	-	-	(500)
Border Security and Control between Ports of Entry	23,053	22,966	3,587,037	22,925	22,989	3,575,417	(28)	23	(11,620)	(28)	(64)	(116,301)	-	87	104,681
Border Security and Control	22,923	22,836	3,535,286	22,845	22,884	3,538,208	(78)	48	2,922	(78)	(39)	(102,923)	-	87	105,845
Training Between the Ports of Entry	130	130	51,751	80	105	37,209	(50)	(25)	(14,542)	(50)	(25)	(13,378)	-	-	(1,164)
Air and Marine Operations, Personnel Compensation and Benefits	2,015	1,943	309,628	1,895	1,895	298,330	(120)	(48)	(11,298)	(120)	(120)	(18,182)	-	72	6,883
Subtotal, Estimates Program Project Activity	48,585	48,276	8,064,713	49,640	49,053	8,207,986	1,055	777	143,273	(284)	(202)	(237,342)	1,339	979	380,615
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	48,585	48,276	8,064,713	49,640	49,053	8,207,986	1,055	777	143,273	(284)	(202)	(237,342)	1,339	979	380,615

D. Summary of Reimbursable Resources

Department of Homeland Security U.S. Customs and Border Protection Salaries and expenses: Summary of Reimbursable Resources (Dollars in Thousands)

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Department of Agriculture	-	-	432	-	-	432	-	-	432	-	-	-
Department of Defense	-	-	4,041	-	-	4,041	-	-	4,041	-	-	-
Department of Defense, Def. Technology Security Admin.	-	-	183	-	-	183	-	-	183	-	-	-
Department of Health & Human Services, Food and Drug Administration	-	-	588	-	-	588	-	-	588	-	-	-
Department of Justice	-	-	16	-	-	16	-	-	16	-	-	-
Department of Labor, Bureau of Labor Statistics	-	-	10	-	-	10	-	-	10	-	-	-
Department of State	-	-	4,684	-	-	4,684	-	-	4,684	-	-	-
Department of State, USAID	-	-	23	-	-	23	-	-	23	-	-	-
Department of Veterans Affairs	-	-	42	-	-	42	-	-	42	-	-	-
Department of Homeland Security	-	-	60,149	-	-	60,149	-	-	60,149	-	-	-
DHS, HUD, HHS, SSA, FDA	-	-	186	-	-	186	-	-	186	-	-	-
Federal Emergency Management Agency	-	-	590	-	-	590	-	-	590	-	-	-
Immigration and Customs Enforcement	-	-	52,178	-	-	52,178	-	-	52,178	-	-	-
Transportation Security Administration	-	-	1,013	-	-	1,013	-	-	1,013	-	-	-
US Coast Guard	-	-	7,204	-	-	7,204	-	-	7,204	-	-	-
US VISIT	-	-	8,420	-	-	8,420	-	-	8,420	-	-	-
United States Citizenship and Immigration Services	-	-	(259)	-	-	(259)	-	-	(259)	-	-	-
Department of Treasury	-	-	844	-	-	844	-	-	844	-	-	-
Proceeds of Sale	-	-	6,374	-	-	6,374	-	-	6,374	-	-	-
VARIOUS	-	-	70,711	-	-	70,711	-	-	70,711	-	-	-
Total Budgetary Resources	-	-	217,429	-	-	217,429	-	-	217,429	-	-	-

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
Air and Marine Operations, Personnel Compensation and Benefits	-	-	5,665	-	-	5,665	-	-	5,665	-	-	-
Border Security and Control	-	-	379	-	-	379	-	-	379	-	-	-
Harbor Maintenance Fee Collection	-	-	3,154	-	-	3,154	-	-	3,154	-	-	-
Headquarters Management and Administration	-	-	175,504	-	-	175,504	-	-	175,504	-	-	-
Inspections Trade and Travel Facilitation at POEs	-	-	20,834	-	-	20,834	-	-	20,834	-	-	-
National Targeting Center	-	-	666	-	-	666	-	-	666	-	-	-
Other International Programs	-	-	11,131	-	-	11,131	-	-	11,131	-	-	-
Training at the Ports of Entry	-	-	96	-	-	96	-	-	96	-	-	-
Total Obligations	-	-	217,429	-	-	217,429	-	-	217,429	-	-	-

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	3,060,090	3,310,270	3,683,559	373,289
11.3 Other than full-time permanent	16,944	30,157	30,623	466
11.5 Other personnel compensation	701,911	768,109	786,380	18,271
11.8 Special Service Pay	-	1,478	1,796	318
12.1 Benefits	1,586,769	1,532,548	1,571,829	39,281
13.0 Unemployment Compensation	1,933	1,366	1,386	20
21.0 Travel	162,219	139,419	78,910	(60,509)
22.0 Transportation of things	14,808	14,558	14,514	(44)
23.1 GSA rent	313,267	359,242	355,926	(3,316)
23.2 Other rent	17,160	9,378	9,733	355
23.3 Communications, utilities, and misc. charges	130,762	137,680	131,943	(5,737)
24.0 Printing	13,322	13,139	13,159	20
25.1 Advisory and assistance services	41,216	46,902	47,258	356
25.2 Other services	855,928	693,865	545,089	(148,776)
25.3 Purchases from Gov't accts.	129,641	180,460	184,674	4,214
25.4 O&M of facilities	150,228	128,933	128,985	52
25.5 R&D of contracts	256	10,460	3,990	(6,470)
25.6 Medical care	19,916	15,439	16,575	1,136
25.7 Operation and maintenance of equipment	139,917	152,404	156,908	4,504
25.8 Other services	3,875	3,803	3,803	-
26.0 Supplies and materials	181,846	165,656	145,495	(20,161)
31.0 Equipment	565,607	346,375	292,379	(53,996)
32.0 Land & structures	2,058	-	-	-
42.0 Insurance Claims and Indemnity	2,810	2,650	2,649	(1)
91.0 Unvouchered	477	423	423	-
Total, Object Class	8,112,960	8,064,714	8,207,986	143,272
Total, Direct Obligations	8,112,960	8,064,714	8,207,986	143,272

F. Permanent Positions by Grade

Department of Homeland Security U.S. Customs and Border Protection Salaries and expenses: Permanent Positions by Grade

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	105	105	105	-
Total, EX	1	1	1	-
GS-15	711	627	627	-
GS-14	2,533	2,415	2,529	114
GS-13	5,061	4,875	4,719	(156)
GS-12	7,750	7,492	8,386	894
GS-11	23,658	23,003	22,960	(43)
GS-10	467	354	354	-
GS-9	6,736	4,880	4,843	(37)
GS-8	84	64	64	-
GS-7	7,491	10,612	10,895	283
GS-6	211	207	207	-
GS-5	3,427	3,311	3,311	-
GS-4	175	161	161	-
GS-3	97	87	87	-
GS-2	63	54	54	-
Other Graded Positions	31	21	21	-
Fee Funded Positions	(9,540)	(9,684)	(9,684)	-
Total Permanent Positions	49,061	48,585	49,640	1,055
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
Full Time Equivalents	44,955	48,276	49,053	777
Headquarters	3,777	3,873	3,754	(119)
U.S. Field	43,654	43,082	44,264	1,182
Foreign Field	1,630	1,630	1,622	(8)
Total, Location	49,061	48,585	49,640	1,055
Average ES Salary	158,339	161,506	163,767	2,261
Average GS Salary	65,339	66,646	67,579	933
Average Grade	10	10	10	-

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
M&A, Border Security Inspections and Trade Facilitation
Funding Schedule
(Dollars in Thousands)**

PPA: M&A, Border Security Inspections and Trade Facilitation	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	167,738	120,247	122,396	2,149
11.3 Other than full-time permanent	2,883	2,354	2,391	37
11.5 Other personnel compensation	7,274	1,238	1,241	3
11.8 Special Service Pay	-	803	815	12
12.1 Benefits	65,359	71,271	72,450	1,179
13.0 Unemployment Compensation	380	318	323	5
21.0 Travel	12,671	13,692	13,488	(204)
22.0 Transportation of things	1,111	1,823	1,826	3
23.1 GSA rent	112,462	9	-	(9)
23.2 Other rent	862	-	-	-
23.3 Communications, utilities, and misc. charges	15,090	18,236	18,990	754
24.0 Printing	3,382	2,913	2,914	1
25.1 Advisory and assistance services	12,761	14,669	14,669	-
25.2 Other services	120,129	116,978	112,786	(4,192)
25.3 Purchases from Gov't accts.	28,299	41,098	37,548	(3,550)
25.4 O&M of facilities	28,850	24,462	24,462	-
25.5 R&D of contracts	1	247	238	(9)
25.6 Medical care	2,129	-	-	-
25.7 Operation and maintenance of equipment	20,587	19,377	19,389	12
25.8 Other services	6	22	22	-
26.0 Supplies and materials	21,350	15,960	16,057	97
31.0 Equipment	44,231	53,545	57,823	4,278
32.0 Land & structures	740	-	-	-
42.0 Insurance Claims and Indemnity	1,248	1,313	1,313	-
91.0 Unvouchered	4	-	-	-
Total, Object Class	669,547	520,575	521,141	566
Total, M&A, Border Security Inspections and Trade Facilitation	669,547	520,575	521,141	566
Full Time Equivalents	2,119	2,186	2,190	4

PPA Mission Statement

Headquarters Management and Administration provides critical policy and operational direction, mission support, and technical expertise to CBP front-line personnel. This program is essential in carrying out CBP's dual mission of protecting our homeland while facilitating legitimate trade and travel.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	167,738	120,247	122,396	2,149

Salaries and Benefits includes costs for 2,190 FTEs. The FY 2011 Request includes an increase of \$981,000 for pay annualizations, an increase of \$1,372,000 for the ARRA Land Ports of Entry, an increase of \$2,059,000 for the 2011 pay raise, a decrease of \$116,000 for the non recur of FY 2010 Congressional add-on for Internal Affairs positions, a decrease of \$167,000 for the Office of Human Resource Management program reduction, and a decrease of \$744,000 for the Office of Administration program reduction.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	2,883	2,354	2,391	37

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	7,274	1,238	1,241	3

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	803	815	12

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	65,359	71,271	72,450	1,179

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	380	318	323	5

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	12,671	13,692	13,488	(204)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes an increase of \$182,000 for the annualization of ARRA Land Ports of Entry, a decrease of \$46,000 for the non recur of FY 2010 Congressional add-on for Internal Affairs positions, and a decrease of \$340,000 for efficiencies to Human Resource travel.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	1,111	1,823	1,826	3

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 Request includes an increase of \$3,000 for the annualization of ARRA Land Ports of Entry.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	112,462	9	-	(9)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request includes a decrease of \$9,000 for the non recur of FY 2010 Congressional add-on positions for Internal Affairs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	862	-	-	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	15,090	18,236	18,990	754

Communications, utilities, and miscellaneous charges include all payments for rental or lease of

information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes increases of \$700,000 for the annualization of ARRA Tactical Communications, \$30,000 for the annualization of ARRA Land Ports of Entry, and \$50,000 for the realignment from the Facilities Program Oversight and Management PPA and decreases of \$26,000 for the Office of Human Resource Management staff and recruiting and the Office of Administration staff and contracts.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	3,382	2,913	2,914	1

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request includes an increase of \$2,000 for the annualization of ARRA Land Ports of Entry and a decrease of \$1,000 to Office of Administration staff and contracts.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	12,761	14,669	14,669	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	120,129	116,978	112,786	(4,192)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes increases of \$2,867,000 for the annualization of ARRA Tactical Communications, \$83,000 for the annualization of ARRA Land Ports of Entry, \$67,000 for the realignment from Facilities Program and Oversight and Management PPA, and decreases of \$4,000 for the non recur of the FY 2010 Congressional Add-on for Internal Affairs positions, \$2,263,000 to the FY 2010 Cyber Security Initiative, \$1,870,000 to the Office of Human Resource Management staff and recruiting, and \$3,072,000 to the Office of Administration staff and contracts.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	28,299	41,098	37,548	(3,550)

Purchases from Government Accounts include costs for purchases from other Federal Government

agencies or accounts that are not otherwise classified. The FY 2011 Request includes an increase of \$13,300,000 for an enhancement to Data Center Migration, an increase of \$1,000 for annualization of Land Port of Entry Modernization, a decrease of \$16,825,000 for the non recur of the FY 2010 Data Center Migration, \$23,000 to the Office of Administration staff and contracts, and \$3,000 for the non recur of the FY 2010 Congressional Add-on for Internal Affairs positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	28,850	24,462	24,462	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	1	247	238	(9)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2011 Request includes a decrease of \$9,000 for the non recur of the FY 2010 Congressional Add-on for Internal Affairs positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	2,129	-	-	-

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	20,587	19,377	19,389	12

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes an increase of \$15,000 for the annualization of ARRA Land Ports of Entry, and decreased of \$3,000 to the Office of Human Resource Management and the Office of Administration for reductions to staff, recruiting, and contracts.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	6	22	22	-

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	21,350	15,960	16,057	97

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes increases of \$98,000 for the realignment from Facilities Program and Oversight and Management PPA, \$11,000 for the annualization of ARRA Land Ports of Entry, and decreases of \$6,000 for the non recur of the FY 2010 Congressional Add-on for Internal Affairs positions, and \$6,000 to the Office of Human Resource Management and the Office of Administration for staffing, recruiting, and contracts.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	44,231	53,545	57,823	4,278

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes increases of \$4,100,000 for the annualization of Tactical Communications, \$456,000 for the annualization of ARRA Land Ports of Entry, \$100,000 for the realignment from Facilities Program Oversight and Management PPA, and decreases of \$237,000 to the FY 2010 Cyber Security Initiative, \$57,000 for the non recur of the FY 2010 Congressional Add-on for Internal Affairs positions, \$28,000 to the Office of Human Resource Management for equipment, and \$56,000 to the Office of Human Resource Management and Office of Administration for staff, recruiting, and contracts.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	740	-	-	-

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	1,248	1,313	1,313	-

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
91.0 Unvouchered	4	-	-	-

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
M&A, Border Security and Control between Ports of Entry
Funding Schedule
(Dollars in Thousands)**

PPA: M&A, Border Security and Control between Ports of Entry	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	161,160	141,232	142,686	1,454
11.3 Other than full-time permanent	2,770	2,189	2,223	34
11.5 Other personnel compensation	6,989	1,151	1,144	(7)
12.1 Benefits	62,796	75,013	75,907	894
13.0 Unemployment Compensation	365	296	300	4
21.0 Travel	12,174	12,645	12,259	(386)
22.0 Transportation of things	1,068	1,890	1,890	-
23.1 GSA rent	108,052	9	-	(9)
23.2 Other rent	828	-	-	-
23.3 Communications, utilities, and misc. charges	14,498	16,419	17,143	724
24.0 Printing	3,250	3,275	3,274	(1)
25.1 Advisory and assistance services	12,261	15,152	15,152	-
25.2 Other services	115,417	72,786	68,511	(4,275)
25.3 Purchases from Gov't accts.	27,189	43,789	40,238	(3,551)
25.4 O&M of facilities	27,719	25,253	25,253	-
25.5 R&D of contracts	1	124	115	(9)
25.6 Medical care	2,045	-	-	-
25.7 Operation and maintenance of equipment	19,780	15,152	15,149	(3)
25.8 Other services	5	-	-	-
26.0 Supplies and materials	20,513	14,295	14,380	85
31.0 Equipment	42,497	53,419	57,241	3,822
32.0 Land & structures	711	-	-	-
42.0 Insurance Claims and Indemnity	1,200	1,337	1,336	(1)
91.0 Unvouchered	3	-	-	-
Total, Object Class	643,291	495,426	494,201	(1,225)
Total, M&A, Border Security and Control between Ports of Entry	643,291	495,426	494,201	(1,225)
Full Time Equivalents	1,614	1,654	1,646	(8)

PPA Mission Statement

Headquarters Management and Administration provides critical policy and operational direction, mission support, and technical expertise to CBP front-line personnel. This program is essential in carrying out CBP's dual mission of protecting our homeland while facilitating legitimate trade and travel.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	161,160	141,232	142,686	1,454

Salaries and Benefits includes costs for 1,646 FTEs. The FY 2011 Request includes an increase of \$1,099,000 for pay annualization, an increase of \$2,307,000 for pay inflation, a decrease of \$744,000 for the Office of Administration program reduction, a decrease of \$167,000 for the Office of Human Resource Management program reduction, and a decrease of \$116,000 for the non recur of the FY 2010 Congressional Add-on for Internal Affairs positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	2,770	2,189	2,223	34

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	62,796	75,013	75,907	894

See 11.1 above

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	365	296	300	4

See 11.1 above

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	12,174	12,645	12,259	(386)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes decreases of \$340,000 for Office of Human Resource Management travel efficiencies, and \$46,000 for the non recur of the FY 2010 Congressional Add-on for Internal Affairs positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	1,068	1,890	1,890	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	108,052	9	-	(9)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request includes a decrease of \$9,000 for the non recur of the FY 2010 Congressional Add-on for Internal Affairs positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	828	-	-	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	14,498	16,419	17,143	724

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes an increase of \$700,000 for the annualization of ARRA Tactical Communications, an increase of \$50,000 for the realignment from Facilities Program Oversight and Management PPA, a decrease of \$22,000 to the Office of Administration to staff and contracts, and a decrease of \$4,000 to the Office of Human Resource Management to staff and recruiting.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	3,250	3,275	3,274	(1)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request includes a decrease of \$1,000 to the Office of Administration to staff and contracts.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	12,261	15,152	15,152	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	115,417	72,786	68,511	(4,275)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes an increase of \$2,867,000 for the annualization of ARRA Tactical Communications, an increase of \$68,000 for the realignment from Facilities Program Oversight and Management PPA, a decrease of \$3,073,000 to the Office of Administration to staff and contracts, a decrease of \$1,870,000 to the Office of Human Resource Management for reductions to staff and recruiting, a decrease of \$2,263,000 to the FY 2010 Cyber Security Initiative, and a decrease of \$4,000 for the non recur of the FY 2010 Congressional Add-on for Internal Affairs positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	27,189	43,789	40,238	(3,551)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes an increase of \$13,300,000 for an enhancement to Data Center Migration, a decrease of \$16,825,000 to non recur the FY 2010 Data Center Migration enhancement, a decrease of \$23,000 to the Office of Administration for a reduction to staff and contracts, and a decrease of \$3,000 to non recur the FY 2010 Congressional Add-on for Internal Affairs positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	27,719	25,253	25,253	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	1	124	115	(9)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2011 Request includes a decrease of \$9,000 to non recur the FY 2010 Congressional Add-on for Internal Affairs positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	2,045	-	-	-

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	19,780	15,152	15,149	(3)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes decreases of \$1,000 to the Office of Human Resource Management to staff and recruiting and \$2,000 to the Office of Administration to staff and contracts.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	5	-	-	-

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	20,513	14,295	14,380	85

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes an increase of \$97,000 for the realignment from Facilities Program and Oversight and Management PPA, a decrease of \$6,000 for the non recur of the FY 2010 Congressional Add-on for Internal Affairs positions, and a decrease of \$6,000 to the Office of Human Resource Management and the Office of Administration for staffing, recruiting, and contracts.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	42,497	53,419	57,241	3,822

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes an increase of \$4,100,000 for the annualization of ARRA Tactical Communications, an increase of \$100,000 for the realignment from Facilities Program Oversight and Management PPA, a decrease of \$237,000 for the reduction to the FY 2010 Cyber Security Initiative, a decrease of \$57,000 to non recur the FY 2010 Congressional Add-on for Internal Affairs positions, a decrease of \$28,000 to the Office of Human Resource Management to equipment and telework, a decrease of \$47,000 to the Office of Administration to staff and contracts, and a decrease of \$9,000 to the Office of Human Resource Management to staff and recruiting.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	711	-	-	-

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	1,200	1,337	1,336	(1)

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
91.0 Unvouchered	3	-	-	-

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Rent
Funding Schedule
(Dollars in Thousands)**

PPA: Rent	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 GSA rent	-	358,097	355,922	(2,175)
23.2 Other rent	-	9,248	9,733	485
25.2 Other services	-	34,919	34,918	(1)
Total, Object Class	-	402,264	400,573	(1,691)
Total, Rent	-	402,264	400,573	(1,691)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

CBP leases a substantial portion of its real property assets through GSA and also by direct lease delegation to non-federal sources. This PPA includes funds to support the rental of facilities, space, buildings, structures, and land along with rent-related building charges and services, including utilities and services provided by the Federal Protective Service (FPS). The Rent PPA supports the Office of Border Patrol, Office of Field Operations, Office of Air and Marine, and the Mission Support activities.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	-	358,097	355,922	(2,175)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request includes an increase of \$3,934,000 in annualization for prior-year initiatives and Congressionally directed increases, an increase of \$1,931,000 for rent associated with the adjustment to base for CBPO staffing, an increase of \$75,000 for annualization of American Recovery and Reinvestment Act funding for Land Port of Entry Modernization, a decrease of \$1,505,000 for Air & Marine staffing reductions, a decrease of \$1,070,000 for Border Patrol staffing reductions, a decrease of \$633,000 for non-recurring costs for import safety, a decrease of \$296,000 for Training and Development staffing reductions, a decrease of \$177,000 for Office of Administration staffing reductions, a decrease of \$34,000 for Human Resources Management staffing reductions, and a decrease of \$4,400,000 for the U.S. Postal Service leases program reduction.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	-	9,248	9,733	485

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 Request includes an increase of \$548,000 in annualization for prior-year initiatives and Congressionally directed increases, an increase of \$112,000 for rent associated with the adjustment to base for CBPO staffing, a decrease of \$27,000 for non-recurring costs for import safety, and a decrease of \$148,000 for Border Patrol staffing reductions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	34,919	34,918	(1)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes no change.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Inspections, Trade, and Travel Facilitation
Funding Schedule
(Dollars in Thousands)**

PPA: Inspections, Trade, and Travel Facilitation	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,253,243	1,073,417	1,324,166	250,749
11.3 Other than full-time permanent	8,061	11,077	11,248	171
11.5 Other personnel compensation	186,815	348,366	354,631	6,265
11.8 Special Service Pay	-	624	752	128
12.1 Benefits	622,698	413,087	444,956	31,869
13.0 Unemployment Compensation	640	668	678	10
21.0 Travel	28,459	26,124	22,713	(3,411)
22.0 Transportation of things	4,245	3,775	3,875	100
23.1 GSA rent	2,290	369	-	(369)
23.2 Other rent	3,183	45	-	(45)
23.3 Communications, utilities, and misc. charges	53,910	47,729	48,135	406
24.0 Printing	4,507	3,936	3,971	35
25.1 Advisory and assistance services	6,489	5,436	7,106	1,670
25.2 Other services	179,585	193,807	135,727	(58,080)
25.3 Purchases from Gov't accts.	12,008	10,915	35,549	24,634
25.4 O&M of facilities	26,671	22,342	22,342	-
25.5 R&D of contracts	253	2,768	240	(2,528)
25.6 Medical care	3,150	2,639	3,775	1,136
25.7 Operation and maintenance of equipment	12,576	11,597	10,728	(869)
25.8 Other services	721	604	604	-
26.0 Supplies and materials	22,425	18,734	19,328	594
31.0 Equipment	125,463	64,176	60,939	(3,237)
32.0 Land & structures	426	-	-	-
42.0 Insurance Claims and Indemnity	362	-	-	-
91.0 Unvouchered	52	-	-	-
Total, Object Class	2,558,232	2,262,235	2,511,463	249,228
Total, Inspections, Trade, and Travel Facilitation	2,558,232	2,262,235	2,511,463	249,228
Full Time Equivalents	17,618	18,880	19,614	734

PPA Mission Statement

The purpose of Inspections, Trade and Travel Facilitation at Ports of Entry (POEs) is to facilitate the flow of legitimate travel and trade across U.S. borders, while ensuring that threats to the United States are not allowed entry, using technology, intelligence and risk information, targeting, and international cooperation in the screening of entering international cargo and travelers and departing export cargo. This program reduces the potential of terrorists, instruments of terror, and contraband from entering our country, while facilitating the legal flow of people and trade by deploying CBP officers, agricultural specialists, and imports specialists to the ports of entry. The goal of this program is to improve compliance with trade regulations and other mandatory import/export guidance while increasing the security of the United States.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,253,243	1,073,417	1,324,166	250,749

Salaries and Benefits includes costs for 19,614 FTEs. The FY 2011 Request includes an increase of \$9,223,000 in FY 2011 pay annualization, an increase of \$19,368,000 for the January 2011 proposed 1.4 percent increase in personnel compensation, an increase of \$28,429,000 in annualization for prior-year initiatives and Congressionally directed position increases, an increase of \$181,815,000 for the journeyman increase, an increase of \$70,000,000 for the transfer from Border Patrol, an increase of \$17,458,000 for the CBPO staffing adjustment to base, a decrease of \$2,596,000 for non-recurring the FY 2010 Congressionally directed addition of 50 CBPOs, a decrease of \$5,110,000 for non-recurring costs for import safety, a decrease of \$19,948,000 for the Foreign Language Award Program, and a decrease of \$9,447,000 to realign National Targeting Center (NTC) positions to the NTC PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	8,061	11,077	11,248	171

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	186,815	348,366	354,631	6,265

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	624	752	128

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	622,698	413,087	444,956	31,869

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	640	668	678	10

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	28,459	26,124	22,713	(3,411)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes an increase of \$1,476,000 for the CBPO staffing adjustment to base, a decrease of \$80,000 in annualization for prior-year initiatives and Congressionally directed position increases, a decrease of \$200,000 for non-recurring the FY 2010 Congressionally directed addition of 50 CBPOs, a decrease of \$3,647,000 for OFO travel efficiencies, a decrease of \$704,000 for the API/PNR program reduction, and a decrease of \$256,000 for non-recurring costs for import safety.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	4,245	3,775	3,875	100

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 Request includes an increase of \$167,000 for the CBPO staffing adjustment to base, a decrease of \$20,000 in annualization for prior-year initiatives and Congressionally directed position increases, a decrease of \$23,000 for non-recurring costs for import safety, and a decrease of \$24,000 for non-recurring the FY 2010 Congressionally directed addition of 50 CBPOs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	2,290	369	-	(369)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request includes a decrease of \$369,000 non-recurring the FY 2010 Congressionally directed addition of 50 CBPOs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	3,183	45	-	(45)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 Request includes a decrease of \$45,000 non-recurring the FY 2010 Congressionally directed addition of 50 CBPOs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	53,910	47,729	48,135	406

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes an increase of \$581,000 for the CBPO staffing adjustment to base, an increase of \$185,000 in annualization for prior-year initiatives and Congressionally directed position increases, a decrease of \$120,000 for non-recurring the FY 2010 Congressionally directed increase of 50 CBPOs, and a decrease of \$240,000 for non-recurring costs for import safety.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	4,507	3,936	3,971	35

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request includes an increase of \$11,000 in annualization for prior-year initiatives and Congressionally directed position increases, an increase of \$34,000 for the CBPO staffing adjustment to base, a decrease of \$4,000 for non-recurring the FY 2010 Congressionally directed addition of 50 CBPOs, and a decrease of \$6,000 for non-recurring costs for import safety.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	6,489	5,436	7,106	1,670

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 Request includes an increase of \$1,670,000 for the CBPO staffing adjustment to base.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	179,585	193,807	135,727	(58,080)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes an increase of \$7,841,000 for the CBPO staffing adjustment to base, a decrease of \$364,000 in annualization for prior-year initiatives and Congressionally directed position increases, a decrease of \$405,000 for non-recurring the FY 2010 Congressionally directed addition of 50 CBPOs, a decrease of \$52,000 for non-recurring costs for import safety, a decrease of \$40,600,000 in efficiency reductions in the Office of Information Technology, and a decrease of \$24,500,000 for the WHTI program reduction.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	12,008	10,915	35,549	24,634

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes an increase of \$25,000,000 for enhancement to Intellectual Property Rights enforcement, an increase of \$21,000 for the CBPO staffing adjustment to base, a decrease of \$17,000 for annualization for prior-year initiatives and Congressionally directed position increases, a decrease of \$330,000 for non-recurring the FY 2010 Congressionally directed addition of 50 CBPOs, and a decrease of \$40,000 for non-recurring costs for import safety.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	26,671	22,342	22,342	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	253	2,768	240	(2,528)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2011 Request includes a decrease of \$1,077,000 in annualization for prior-year initiatives and Congressionally directed position increases, a decrease of \$1,059,000 for non-recurring the FY 2010 Congressionally directed addition of 50 CBPOs, and a decrease of \$392,000 for non-recurring costs for import safety.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	3,150	2,639	3,775	1,136

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 Request includes an increase of \$1,136,000 for the CBPO staffing adjustment to base.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	12,576	11,597	10,728	(869)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes an increase of \$192,000 for the CBPO staffing adjustment to base and a decrease of \$1,061,000 for the API/PNR program reduction.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	721	604	604	-

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for boarding, lodging, and care of persons, including prisoners. The FY 2011 Request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	22,425	18,734	19,328	594

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes an increase of \$2,269,000 for the CBPO staffing adjustment to base, a decrease of \$1,347,000 in annualization for prior-year initiatives and Congressionally directed position increases, a decrease of \$213,000 for non-recurring the FY 2010 Congressionally directed addition of 50 CBPOs, and a decrease of \$115,000 for non-recurring costs for import safety.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	125,463	64,176	60,939	(3,237)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes an increase of \$11,970,000 for the CBPO staffing adjustment to base, a decrease of \$4,130,000 in annualization for prior-year initiatives and Congressionally directed position increases, a decrease of \$1,660,000 for non-recurring the FY 2010 Congressionally directed addition of 50 CBPOs, a decrease of \$2,053,000 for non-recurring costs for import safety, a decrease of \$5,076,000 for non-recurring equipment costs for License Plate Readers, a decrease of \$1,053,000 for non-recurring equipment costs for import safety, and a decrease of \$1,235,000 for the API/PNR program reduction.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	426	-	-	-

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	362	-	-	-

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
91.0 Unvouchered	52	-	-	-

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Harbor Maintenance Fee Collection (Trust Fund)
Funding Schedule
(Dollars in Thousands)**

PPA: Harbor Maintenance Fee Collection (Trust Fund)	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	2,351	2,390	39
11.3 Other than full-time permanent	-	32	32	-
12.1 Benefits	-	594	603	9
21.0 Travel	-	30	30	-
23.3 Communications, utilities, and misc. charges	-	5	5	-
25.2 Other services	-	165	165	-
25.3 Purchases from Gov't accts.	3,154	-	-	-
26.0 Supplies and materials	-	30	30	-
31.0 Equipment	-	19	19	-
Total, Object Class	3,154	3,226	3,274	48
Total, Harbor Maintenance Fee Collection (Trust Fund)	3,154	3,226	3,274	48
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Harbor Maintenance Fee is an Army Corps of Engineers (COE) fee, which is collected for the operation and maintenance, as well as improvements, of U.S. channels and harbors. CBP is reimbursed for a portion of the costs associated with the collection of the fee for the COE.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	2,351	2,390	39

Salaries and Benefits costs. The FY 2011 Request includes an increase of \$16,000 for pay annualization and \$32,000 for pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	-	32	32	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	-	594	603	9

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	-	30	30	-

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	-	5	5	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	165	165	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	-	30	30	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	-	19	19	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes no increase.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
International Cargo Screening
Funding Schedule
(Dollars in Thousands)**

PPA: International Cargo Screening (Container Security Initiative)	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	32,004	25,034	25,423	389
11.3 Other than full-time permanent	69	65	66	1
11.5 Other personnel compensation	1,777	233	236	3
11.8 Special Service Pay	-	13	13	-
12.1 Benefits	19,803	11,592	11,772	180
21.0 Travel	9,344	11,203	1,005	(10,198)
22.0 Transportation of things	1,684	2,019	2,019	-
23.1 GSA rent	421	-	-	-
23.2 Other rent	395	-	-	-
23.3 Communications, utilities, and misc. charges	13,625	16,336	9,336	(7,000)
24.0 Printing	5	6	6	-
25.1 Advisory and assistance services	165	198	198	-
25.2 Other services	28,478	30,511	6,216	(24,295)
25.3 Purchases from Gov't accts.	18,743	22,473	8,671	(13,802)
25.4 O&M of facilities	7	8	8	-
25.6 Medical care	15	18	18	-
25.7 Operation and maintenance of equipment	7,727	24,765	18,195	(6,570)
26.0 Supplies and materials	1,053	1,263	1,263	-
31.0 Equipment	13,565	16,263	-	(16,263)
Total, Object Class	148,880	162,000	84,445	(77,555)
Total, International Cargo Screening (Container Security Initiative)	148,880	162,000	84,445	(77,555)
Full Time Equivalents	187	189	185	(4)

PPA Mission Statement

International Cargo Screening (ICS), which includes CBP's Container Security Initiative (CSI) and Secure Freight Initiative (SFI), enhance the security of maritime containerized shipping from exploitation by terrorists. ICS's goal is three-fold: (1) to expand operations to new critical international seaports; (2) to secure and improve operations at existing ports; and (3) to encourage global efforts to enhance maritime container security through capacity building. Working with foreign administrations, CSI is designed to achieve a more secure maritime trade environment while ensuring the need for efficiency in global commerce. The three core elements of the program are: (1) establishing security criteria and identify high-risk containers; (2) scanning those containers identified as high-risk prior to arrival at U.S. ports; (3) using technology to quickly scan high-risk containers.

The SFI builds on the operational pillars of the DHS Container Security Initiative (CSI) and the Department of Energy Mega ports initiative to maximize radiological and nuclear screening of U.S. bound maritime containers in foreign ports of departure. It merges data from a next generation risk assessment screening program and an overseas integrated detection network with existing and new information regarding maritime containers transiting through the supply chain in order to create detailed records for CBP's risk management process to target maritime containers that pose a threat.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	32,004	25,034	25,423	389

Salaries and Benefits includes costs for 185 FTEs. The FY 2011 Request includes an increase of \$184,000 for pay annualization and \$389,000 for pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	69	65	66	1

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	1,777	233	236	3

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	13	13	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	19,803	11,592	11,772	180

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	9,344	11,203	1,005	(10,198)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes decreases of \$10,000,000 from Secure Freight Initiative and \$5,000,000 from Container Security Initiative. In addition, there is an object re-alignment increase of \$4,802,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	1,684	2,019	2,019	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 Request includes no increases.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	421	-	-	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	395	-	-	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	13,625	16,336	9,336	(7,000)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes a decrease of \$5,000,000 from the Container Security Initiative and \$2,000,000 decrease in object class realignment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	5	6	6	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request includes an increase of \$26,000 in non-pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	165	198	198	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	28,478	30,511	6,216	(24,295)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes restoration of the \$3,421,000 as well as a decrease of \$10,800,000 for Dunn & Bradstreet of efficiency savings and \$16,916,000 in program decreases from the Container Security Initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	18,743	22,473	8,671	(13,802)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes a decrease of \$11,000,000 for CSI initiative and \$2,802,000 decrease for object class realignment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	7	8	8	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	15	18	18	-

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 Request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	7,727	24,765	18,195	(6,570)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes a decrease of \$6,570,000 in object class realignment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,053	1,263	1,263	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	13,565	16,263	-	(16,263)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes a program decrease of \$10,000,000 for Secure Freight Initiative, a decrease of \$12,833,000 for Container Security Initiative and an increase of \$6,570,000 for object class realignment.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Other international programs
Funding Schedule
(Dollars in Thousands)**

PPA: Other international programs	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	7,185	6,080	6,176	96
11.3 Other than full-time permanent	148	32	32	-
11.5 Other personnel compensation	40	10	10	-
12.1 Benefits	1,721	2,022	2,053	31
21.0 Travel	695	359	359	-
22.0 Transportation of things	62	32	32	-
23.1 GSA rent	1	2	2	-
23.3 Communications, utilities, and misc. charges	208	107	107	-
25.1 Advisory and assistance services	291	149	149	-
25.2 Other services	1,822	941	941	-
25.3 Purchases from Gov't accts.	1,668	862	862	-
25.7 Operation and maintenance of equipment	2	1	1	-
26.0 Supplies and materials	189	98	98	-
31.0 Equipment	941	486	486	-
Total, Object Class	14,973	11,181	11,308	127
Total, Other international programs	14,973	11,181	11,308	127
Full Time Equivalents	100	101	101	-

PPA Mission Statement

The goal of Other International Programs is to extend the U.S. zone of security beyond U.S. Borders by promoting international border security and global standards. In this arena, CBP implements programs and initiatives that support the U.S. Government's objectives in anti-terrorism, border security, non-proliferation, export controls, immigration and capacity building. This program's efforts foster and facilitate legitimate international trade, increase compliance, build alliances to combat trans-national crime, reduce corruption, strengthen border controls, promote the rule of law and enhance economic stability throughout the world. This is accomplished through the development and maintenance of collaborative relations with foreign governments, the development of international strategies, and representation of CBP positions in various international forums, international technical assistance and training, and the negotiation of international agreements.

In FY 2010, CBP will pursue international partnerships to share best practices, exchange information and promote the facilitation of secure travel and trade; actively support implementation of the World Customs Organization framework; and implement initiatives to support an international immigration strategy to identify and interdict high risk travelers.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	7,185	6,080	6,176	96

Salaries and Benefits includes costs for 101 FTEs. The FY 2011 Request includes an increase of \$41,000 for pay annualizations and \$86,000 for pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	148	32	32	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	40	10	10	-

See 11.1 above

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	1,721	2,022	2,053	31

See 11.1 above

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	695	359	359	-

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	62	32	32	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	1	2	2	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request includes increases of \$1,328,000 in non-pay inflation and \$1,948,000 in annualization.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	208	107	107	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	291	149	149	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	1,822	941	941	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	1,668	862	862	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	2	1	1	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	189	98	98	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	941	486	486	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes no increase.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
C-TPAT
Funding Schedule
(Dollars in Thousands)**

PPA: C-TPAT	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	18,963	30,139	30,607	468
11.3 Other than full-time permanent	55	19	19	-
11.5 Other personnel compensation	3,073	41	41	-
12.1 Benefits	7,370	3,659	3,715	56
21.0 Travel	9,426	13,277	9,833	(3,444)
22.0 Transportation of things	48	68	68	-
23.1 GSA rent	3,424	-	-	-
23.2 Other rent	36	-	-	-
23.3 Communications, utilities, and misc. charges	543	765	765	-
24.0 Printing	1	-	-	-
25.2 Other services	5,159	8,556	-	(8,556)
25.3 Purchases from Gov't accts.	530	747	747	-
25.4 O&M of facilities	215	303	303	-
25.7 Operation and maintenance of equipment	2,179	3,069	3,069	-
26.0 Supplies and materials	955	1,345	1,345	-
31.0 Equipment	443	624	624	-
Total, Object Class	52,420	62,612	51,136	(11,476)
Total, C-TPAT	52,420	62,612	51,136	(11,476)
Full Time Equivalents	207	207	207	-

PPA Mission Statement

The Customs-Trade Partnership Against Terrorism (C-TPAT) is a partnership between the Federal government and private industry. It is an effort that CBP has undertaken with the business community to secure the supply chain. The goal of C-TPAT is to develop and maintain a secure supply chain, from factory floor to port of entry, which enables CBP to facilitate trade and ensure safe and secure borders. C-TPAT is designed to use and enhance the security processes and procedures currently employed by the trade community and ensure that international shipments are not compromised or diverted by terrorists or their accomplices.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	18,963	30,139	30,607	468

Salaries and Benefits includes costs for 207 FTEs. The FY 2011 Request includes an increase of \$169,000 for pay annualization and \$355,000 for pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	55	19	19	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	3,073	41	41	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	7,370	3,659	3,715	56

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	9,426	13,277	9,833	(3,444)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes a decrease of \$1,000,000 for the C-TPAT program reduction and a decrease of \$2,444,000 in object class realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	48	68	68	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	3,424	-	-	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	36	-	-	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	543	765	765	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	1	-	-	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	5,159	8,556	-	(8,556)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes an increase of \$2,444,000 for an object class realignment and a decrease of \$11,000,000 for the C-TPAT program reduction.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	530	747	747	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	215	303	303	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	2,179	3,069	3,069	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	955	1,345	1,345	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	443	624	624	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes no increase.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Trusted Traveler Programs (TTP)
Funding Schedule
(Dollars in Thousands)**

PPA: Trusted Traveler Programs (TTP)	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	49	-	-	-
12.1 Benefits	6	-	-	-
21.0 Travel	266	269	269	-
22.0 Transportation of things	25	25	25	-
24.0 Printing	809	817	817	-
25.2 Other services	7,086	7,156	6,769	(387)
25.3 Purchases from Gov't accts.	532	537	537	-
25.4 O&M of facilities	560	565	565	-
25.7 Operation and maintenance of equipment	43	43	43	-
26.0 Supplies and materials	308	311	311	-
31.0 Equipment	1,536	1,551	1,551	-
Total, Object Class	11,220	11,274	10,887	(387)
Total, Trusted Traveler Programs (TTP)	11,220	11,274	10,887	(387)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

CBP's trusted traveler programs enhance the agency's ability to expedite the process and facilitate known, low risk "trusted travelers" arriving into the United States by allowing CBP officers additional time to focus on higher risk, unknown travelers; develop and implement national policies related to trusted traveler programs; provide guidance to the field locations on the operation of trusted traveler programs; strategize the growth of current programs and the development and implementation of new programs; and respond to congressional and industry inquiries of trusted traveler program related matters.

Currently, CBP TTP has four programs – NEXUS, Secure Electronic Network for Travelers Rapid Inspection (SENTRI), Free and Secure Trade (FAST), and Global Entry.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	49	-	-	-

Salaries and Benefits costs. No funding is requested.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	6	-	-	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	266	269	269	-

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	25	25	25	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	809	817	817	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	7,086	7,156	6,769	(387)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes a decrease of \$387,000 for an efficiency reduction.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	532	537	537	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	560	565	565	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	43	43	43	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	308	311	311	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes no increases.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	1,536	1,551	1,551	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes no increases.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Inspection and Detection Technology
Funding Schedule
(Dollars in Thousands)**

PPA: Inspection and Detection Technology	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	8	-	-	-
12.1 Benefits	3	-	-	-
21.0 Travel	883	885	475	(410)
23.1 GSA rent	4	-	-	-
23.3 Communications, utilities, and misc. charges	2,351	2,357	2,357	-
25.1 Advisory and assistance services	122	122	122	-
25.2 Other services	101,725	103,620	103,620	-
25.3 Purchases from Gov't acct.	7,388	7,406	7,406	-
25.4 O&M of facilities	3,373	3,381	3,381	-
25.5 R&D of contracts	1	-	-	-
25.6 Medical care	-	1	1	-
25.7 Operation and maintenance of equipment	904	906	12,906	12,000
26.0 Supplies and materials	844	846	846	-
31.0 Equipment	19,840	34,039	24,039	(10,000)
Total, Object Class	137,446	153,563	155,153	1,590
Total, Inspection and Detection Technology	137,446	153,563	155,153	1,590
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The CBP reliance on Non-Intrusive Inspection (NII) technology to secure the borders has become more and more critical. In conjunction with CBP's many other initiatives (24-Hour and Trade Act rules, Automated Targeting System (ATS), Container Security Initiative (CSI), Customs-Trade Partnership Against Terrorism (C-TPAT) etc.), NII is part of a multi-layered approach which allows CBP to work smarter and faster in recognizing potential terrorist threats. These complementary layers enhance security and protect our nation.

CBP has long recognized that an adversary can defeat any single system or device. For this reason, CBP cannot rely on any single technology or inspection process. Instead, CBP uses various technologies in different combinations to substantially increase the likelihood that a nuclear or radiological weapon, weapons grade material, illegal aliens or other contraband being smuggled across the United States borders will be detected. NII technologies are viewed as force multipliers that enable CBP officers to screen or examine a larger portion of the stream of commercial traffic while maintaining the flow of legitimate trade, cargo and travelers.

Since 9/11, NII technology has been the cornerstone of the CBP multi-layered enforcement strategy. Technologies currently deployed to our nation's land, sea and airports of entry include large-scale X-ray and gamma-ray imaging systems, as well as a variety of portable and handheld technologies, to include radiation detection technology.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	8	-	-	-

Salaries and Benefits costs. No funding is requested.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	3	-	-	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	883	885	475	(410)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes decrease of \$410,000 for the Explosive Detection Canine Program reduction.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	4	-	-	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	2,351	2,357	2,357	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	122	122	122	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	101,725	103,620	103,620	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	7,388	7,406	7,406	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	3,373	3,381	3,381	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	1	-	-	-

Research and Development includes costs for contracts for the conduct of basic and applied research and development.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	-	1	1	-

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	904	906	12,906	12,000

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes an increase of \$12,000,000 for the annualization of NII funding provided in the American Reinvestment and Recovery Act.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	844	846	846	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	19,840	34,039	24,039	(10,000)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes a decrease of \$10,000,000 for non-recurring the FY 2010 Congressional add-on for NII.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Systems for Targeting
Funding Schedule
(Dollars in Thousands)**

PPA: Systems for Targeting	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,071	361	366	5
11.3 Other than full-time permanent	24	-	-	-
11.5 Other personnel compensation	131	-	-	-
12.1 Benefits	363	23	23	-
21.0 Travel	630	656	656	-
23.3 Communications, utilities, and misc. charges	59	61	61	-
25.2 Other services	7,390	7,691	7,691	-
25.4 O&M of facilities	27	28	28	-
25.7 Operation and maintenance of equipment	20,498	21,332	21,332	-
26.0 Supplies and materials	103	107	107	-
31.0 Equipment	2,211	2,301	2,301	-
Total, Object Class	32,507	32,560	32,565	5
Total, Systems for Targeting	32,507	32,560	32,565	5
Full Time Equivalents	8	8	8	-

PPA Mission Statement

At the core of CBP's ability to achieve its critical border security objectives and maintain the flow of lawful commerce is CBP's ability to identify high-risk travelers and goods for inspection while allowing the vast majority of law abiding travelers and commerce to continue to their destination without unnecessary delay. Legislation and regulatory action, such as the Trade Act of 2002 and the Safe Port Act, respectively, have made it mandatory to provide advance information about passengers and goods arriving in the U.S. CBP uses computer technology and rule-based applications to analyze the data provided on passengers and shipments arriving in the U.S. CBP applies its targeting methods against the data to determine which passengers or shipments need to be segregated for a closer look and possibly inspection.

The main platform CBP uses to analyze arriving passenger and shipment data is the Automated Targeting System (ATS). ATS is a web-based enforcement and decision support tool that is the cornerstone for all CBPs targeting efforts. ATS incorporates intelligence information and technologies to target suspect inbound and outbound shipments for examinations and passengers for inspection. In this way, ATS allows CBP officers to focus their efforts on cargo shipments and passengers that most warrant further attention. ATS standardizes names, addresses, ship names, and similar data so these data elements can be more easily associated with other business data to form a more complete picture of a passenger, import, or export in context with previous behavior of the parties involved. Every passenger and shipment processed through ATS is subjected to a real-time risk evaluation. Risk assessment strategies are multi-tiered in their approach and are founded on complex statistical studies, data analysis, and rules based on knowledge engineering.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,071	361	366	5

Salaries and Benefits includes costs for 8 FTEs. The FY 2011 Request includes an increase of \$3,000 in pay inflation and \$2,000 in pay annualization.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	24	-	-	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	131	-	-	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	363	23	23	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	630	656	656	-

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	59	61	61	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	7,390	7,691	7,691	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	27	28	28	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	20,498	21,332	21,332	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	103	107	107	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to

form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	2,211	2,301	2,301	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes no increase.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
National Targeting Center
Funding Schedule
(Dollars in Thousands)**

PPA: National Targeting Center	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	11,572	12,519	20,085	7,566
11.3 Other than full-time permanent	103	-	-	-
11.5 Other personnel compensation	2,645	644	706	62
12.1 Benefits	4,778	4,211	7,721	3,510
21.0 Travel	1,733	3,328	3,273	(55)
22.0 Transportation of things	-	9	1	(8)
23.1 GSA rent	1,362	-	-	-
23.3 Communications, utilities, and misc. charges	117	264	294	30
24.0 Printing	9	19	21	2
25.2 Other services	770	1,649	1,536	(113)
25.3 Purchases from Gov't accts.	685	1,411	1,369	(42)
25.4 O&M of facilities	162	304	304	-
25.5 R&D of contracts	-	397	50	(347)
25.6 Medical care	21	39	39	-
25.7 Operation and maintenance of equipment	13	24	24	-
26.0 Supplies and materials	197	450	419	(31)
31.0 Equipment	252	1,087	623	(464)
Total, Object Class	24,419	26,355	36,465	10,110
Total, National Targeting Center	24,419	26,355	36,465	10,110
Full Time Equivalents	129	142	218	76

PPA Mission Statement

The priority mission of the U.S. Customs and Border Protection's National Targeting Centers is to provide around-the-clock tactical targeting and analytical research support for CBP anti-terrorism efforts. The NTC facilities are primarily staffed by CBP officers, border patrol agents and field analysis specialists who are experts in passenger and cargo targeting for air, sea, and land operations in the inbound and outbound environments. The NTC staff develops tactical targets from raw intelligence in support of the CBP mission to detect and prevent terrorists and terrorist weapons from entering the United States. NTC supports all CBP field elements, including CSI personnel stationed in countries throughout the world, with additional research assets for passenger and cargo examinations.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	11,572	12,519	20,085	7,566

Salaries and Benefits includes costs for 218 FTEs. The FY 2011 Request includes an increase of \$182,000 for FY 2011 pay raise, an increase of \$87,000 in pay annualization, an increase of \$1,422,000 for

annualization of the FY 2010 NTC initiative, and an increase of \$9,447,000 to realign National Targeting Center (NTC) positions from the Border Protection at the POEs PPA to the NTC PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	103	-	-	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	2,645	644	706	62

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	4,778	4,211	7,721	3,510

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	1,733	3,328	3,273	(55)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes a decrease of \$55,000 for annualization of the FY 2010 NTC initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	-	9	1	(8)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 Request includes a decrease of \$8,000 for annualization of the FY 2010 NTC initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	1,362	-	-	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. No funding is requested.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	117	264	294	30

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes an increase of \$30,000 for annualization of the FY 2010 NTC initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	9	19	21	2

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request includes an increase of \$2,000 for annualization of the FY 2010 NTC initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	770	1,649	1,536	(113)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes a decrease of \$113,000 for annualization of the FY 2010 NTC initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	685	1,411	1,369	(42)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes a decrease of \$42,000 for annualization of the FY 2010 NTC initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	162	304	304	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	-	397	50	(347)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2011 Request includes a decrease of \$347,000 for annualization of the FY 2010 NTC initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	21	39	39	-

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 Request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	13	24	24	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	197	450	419	(31)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes a decrease of \$31,000 for annualization of the FY 2010 NTC initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	252	1,087	623	(464)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes a decrease of \$464,000 for annualization of the FY 2010 NTC initiative.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Training at the Ports of Entry
Funding Schedule
(Dollars in Thousands)**

PPA: Training at the Ports of Entry	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,137	-	-	-
11.3 Other than full-time permanent	16	-	-	-
11.5 Other personnel compensation	134	-	-	-
12.1 Benefits	172	-	-	-
21.0 Travel	9,928	8,674	6,674	(2,000)
22.0 Transportation of things	8	-	7	7
23.1 GSA rent	2	-	2	2
23.3 Communications, utilities, and misc. charges	169	140	140	-
25.1 Advisory and assistance services	2	-	2	2
25.2 Other services	8,085	8,530	4,380	(4,150)
25.3 Purchases from Gov't accts.	4,045	-	3,762	3,762
25.4 O&M of facilities	56	-	52	52
25.7 Operation and maintenance of equipment	100	-	93	93
26.0 Supplies and materials	1,934	1,876	1,876	-
31.0 Equipment	2,311	5,558	4,640	(918)
Total, Object Class	28,099	24,778	21,628	(3,150)
Total, Training at the Ports of Entry	28,099	24,778	21,628	(3,150)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Office of Training and Development exists to develop and deliver basic, mid, and advanced level training programs for all CBP employees, especially mission critical occupations (e.g., CBP Officers, Agricultural Specialists, Imports Specialists, and Entry Specialists) at the ports of entry. This training empowers CBP employees with the necessary skill sets to achieve the goal of combating terrorism, improving border security, improving inspection and control, and facilitating trade.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,137	-	-	-

Salaries and Benefits costs. No funding is requested.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	16	-	-	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	134	-	-	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	172	-	-	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	9,928	8,674	6,674	(2,000)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes decreases of \$1,500,000 for object class realignment and \$500,000 associated with the OTD program decrease.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	8	-	7	7

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 Request includes an increase of \$7,000 for object class realignment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	2	-	2	2

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request includes an increase of \$2,000 for object class realignment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	169	140	140	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	2	-	2	2

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	8,085	8,530	4,380	(4,150)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes decreases of \$2,650,000 in program decreases for the National Training Plan and \$1,500,000 for object class realignment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	4,045	-	3,762	3,762

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes an increase of \$3,762,000 for an object class realignment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	56	-	52	52

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes an increase of \$52,000 from object class realignment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	100	-	93	93

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes an increase of \$93,000 for an object class realignment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,934	1,876	1,876	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	2,311	5,558	4,640	(918)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes a decrease of \$918,000 for an object class realignment.

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Border Security and Control
Funding Schedule
(Dollars in Thousands)

PPA: Border Security and Control	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,268,829	1,725,246	1,837,175	111,929
11.3 Other than full-time permanent	2,529	14,326	14,548	222
11.5 Other personnel compensation	459,214	393,670	405,821	12,151
11.8 Special Service Pay	-	38	216	178
12.1 Benefits	732,093	872,511	874,917	2,406
13.0 Unemployment Compensation	88	84	85	1
21.0 Travel	52,060	27,740	336	(27,404)
22.0 Transportation of things	4,902	3,978	3,867	(111)
23.1 GSA rent	79,158	756	-	(756)
23.2 Other rent	11,687	85	-	(85)
23.3 Communications, utilities, and misc. charges	28,821	32,982	32,646	(336)
24.0 Printing	1,313	2,107	2,097	(10)
25.1 Advisory and assistance services	1,366	1,381	1,381	-
25.2 Other services	260,799	99,344	54,701	(44,643)
25.3 Purchases from Gov't accts.	22,919	44,869	44,617	(252)
25.4 O&M of facilities	60,598	50,036	50,036	-
25.5 R&D of contracts	-	6,596	3,347	(3,249)
25.6 Medical care	12,356	12,490	12,490	-
25.7 Operation and maintenance of equipment	55,076	55,671	55,512	(159)
25.8 Other services	3,143	3,177	3,177	-
26.0 Supplies and materials	104,905	101,341	81,825	(19,516)
31.0 Equipment	285,172	86,435	58,991	(27,444)
32.0 Land & structures	181	-	-	-
91.0 Unvouchered	418	423	423	-
Total, Object Class	3,447,627	3,535,286	3,538,208	2,922
Total, Border Security and Control	3,447,627	3,535,286	3,538,208	2,922
Full Time Equivalents	21,135	22,836	22,884	48

PPA Mission Statement

The Office of Border Patrol (OBP) has been delegated with the authority and responsibility to deliver the Executive Branch Program for “Border Security and Control between the Ports of Entry.” The primary purpose of this program is to prevent the entry of terrorists and their instruments of terror, illegal immigrants, and contraband, while facilitating the legitimate flow of people, goods, and services on which the economy depends. The program will be accomplished through the judicious use of resources including personnel, surveillance technology, communications, transportation, facilities, and mission support activities.

Border Patrol agents deter uncontrolled entry into the interior of the U.S. by: the rapid detection, interception, and apprehension of illegal entrants at or near the border; interdicting or deterring illegal aliens, drug smugglers, potential terrorists and criminals from attempting illegal entry between ports-of-entry; and causing persons seeking admission into the U.S. to present themselves at designated ports for inspection.

Strategic issues and challenges evolve around integrating unique and broader enforcement authorities working to uncover systemic vulnerabilities that pose a threat to the Nation and its economy and work to eliminate vulnerabilities as quickly as possible. Through an array of investigative processes in the areas of smuggling, finance and national security, Border Patrol's OI is challenged to identify the people, materials, & funding essential to sustaining terrorist threats and criminal enterprises, and to disrupt and dismantle their operations.

The requested amount will help address Border Patrol's strategic challenges of disrupting terrorist threats and preventing potential terrorists and immigration violators from entering the country. More effective immigration enforcement will contribute to enhanced national security as well as greater deterrence.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,268,829	1,725,246	1,837,175	111,929

Salaries and Benefits includes costs for 22,884 FTEs. The FY 2011 Request includes an increase of \$14,996,000 in pay annualization, an increase of \$31,490,000 in 2011 pay raise, an increase of \$41,519,000 in annualization of FY 2009 Agents & Support, an increase of \$3,543,000 in license plate readers and gun smuggling annualization, an increase of \$128,588,000 for journeymen, an increase of \$10,000,000 for the Intelligence Analyst enhancement, a decrease of \$70,000,000 for the transfer to the Office of Field Operations, a decrease of \$15,000,000 for FY 2011 Premium Pay, a decrease of \$11,547,000 in FY 2011 staff reduction, and a decrease of \$6,702,000 in Congressional Add-on of border patrol agents.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	2,529	14,326	14,548	222

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	459,214	393,670	405,821	12,151

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	38	216	178

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	732,093	872,511	874,917	2,406

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	88	84	85	1

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	52,060	27,740	336	(27,404)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes an increase of \$242,000 in annualization of FY 2009 Agents & Support, an increase of \$2,340,000 for an object class realignment, a decrease of \$139,000 in license plate readers and gun smuggling annualization, a decrease of \$734,000 in Cong. Add-On for border patrol agents, a decrease of \$4,000,000 for FY 2011 efficiencies, a decrease of \$24,800,000 for FY 2011 OIT efficiencies, and a decrease of \$313,000 for Border Patrol staff reductions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	4,902	3,978	3,867	(111)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 Request includes an increase of \$4,000 in annualization of FY 2009 Agents & Support, a decrease of \$22,000 in license plate readers and gun smuggling annualization, a decrease of \$20,000 in FY 2011 staff reduction, and a decrease of \$73,000 in Cong. Add-on for border patrol agents.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	79,158	756	-	(756)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request includes a decrease of \$756,000 in FY 2010 Cong. Add-on for border patrol agents.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	11,687	85	-	(85)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 Request includes a decrease of \$85,000 in Cong. Add-on for border patrol agents.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	28,821	32,982	32,646	(336)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes an increase of \$83,000 in annualization of FY 2009 Agents & Support, an increase of \$66,000 in license plate readers and gun smuggling annualization, a decrease of \$246,000 in FY 2011 staff reduction, and a decrease of \$239,000 in Cong. Add-on of border patrol agents.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	1,313	2,107	2,097	(10)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request includes an increase of \$8,000 in annualization of FY 2009 Agents & Support, an increase of \$4,000 in license plate readers and gun smuggling annualization, a decrease of \$13,000 in FY 2011 staff reduction and a decrease of \$9,000 in Cong. Add-on of Border Patrol agents.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	1,366	1,381	1,381	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. No change in request.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	260,799	99,344	54,701	(44,643)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes an increase of \$23,000 in annualization of FY 2009 Agents & Support, a decrease of \$283,000 in license plate readers and gun smuggling annualization, a decrease of \$35,000,000 for OIT efficiency initiative, a decrease of \$294,000 in FY 2011 staff reduction, a decrease of \$8,000,000 in FY 2011 OTD NTP, a decrease of \$754,000 in Congressional Add-on for border patrol agents, and a decrease of \$335,000 for an object class realignment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	22,919	44,869	44,617	(252)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes an increase of \$200,000 in annualization of FY 2009 Agents & Support, an increase of \$42,000 in license plate readers and gun smuggling annualization, a decrease of \$20,000 in FY11 staff reduction, and a decrease of \$474,000 in Congressional Add-on Border Patrol agents.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	60,598	50,036	50,036	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	-	6,596	3,347	(3,249)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2011 Request includes an increase of \$40,000 in annualization of FY 2009 Agents & Support, an decrease of \$967,000 in license plate readers and gun smuggling annualization, and a decrease of \$2,322,000 in Congressional Add-on Border Patrol agents.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	12,356	12,490	12,490	-

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 Request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	55,076	55,671	55,512	(159)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes a decrease of \$159,000 in FY 2011 staff reduction.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	3,143	3,177	3,177	-

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2011 Request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	104,905	101,341	81,825	(19,516)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one

year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes an increase of \$171,000 in annualization of FY 2009 Agents & Support, a decrease of \$35,000 in license plate readers and gun smuggling annualization, a decrease of \$4,000,000 in reduction for FY 2011 efficiency, a decrease of \$14,600,000 in reduction for FY 2011 OIT efficiency, a decrease of \$441,000 in FY 2011 staff reduction, and a decrease of \$611,000 in Cong. Add-on Border Patrol agents.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	285,172	86,435	58,991	(27,444)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes an increase of \$644,000 in annualization of FY 2009 Agents & Support, a decrease of \$2,094,000 in license plate readers and gun smuggling annualization, a decrease of \$4,000,000 in reduction for FY 2011 efficiency, a decrease of \$2,470,000 in FY 2011 staff reduction, a decrease of \$6,719,000 in Cong. Add-on for Border Patrol agents, a decrease of \$10,000,000 in Cong. Add-on NII border patrol equipment, a decrease of \$800,000 in Cong. Add-on Solar Powered Batteries, and a decrease of \$2,005,000 for an object class realignment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	181	-	-	-

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
91.0 Unvouchered	418	423	423	-

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting. The FY 2011 Request has no change.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Training Between the Ports of Entry
Funding Schedule
(Dollars in Thousands)**

PPA: Training Between the Ports of Entry	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	13,461	12,896	11,302	(1,594)
11.3 Other than full-time permanent	260	-	-	-
11.5 Other personnel compensation	2,510	2,641	2,667	26
12.1 Benefits	8,691	9,391	8,866	(525)
13.0 Unemployment Compensation	130	-	-	-
21.0 Travel	22,224	16,727	5,316	(11,411)
22.0 Transportation of things	746	-	-	-
23.1 GSA rent	964	-	-	-
23.3 Communications, utilities, and misc. charges	176	180	103	(77)
24.0 Printing	10	10	10	-
25.2 Other services	12,043	-	-	-
25.3 Purchases from Gov't accts.	27	28	28	-
25.4 O&M of facilities	1,087	1,111	1,111	-
25.7 Operation and maintenance of equipment	327	334	334	-
26.0 Supplies and materials	1,391	602	302	(300)
31.0 Equipment	10,750	7,831	7,170	(661)
Total, Object Class	74,797	51,751	37,209	(14,542)
Total, Training Between the Ports of Entry	74,797	51,751	37,209	(14,542)
Full Time Equivalents	128	130	105	(25)

PPA Mission Statement

The Office of Training and Development exists to provide core operational training for Border Patrol Agents whose primary responsibility lies between the ports of entry. This training empowers CBP employees with the necessary skill sets to achieve the goal of safeguarding the borders of the United States. This training ensures that CBP is able to rapidly deploy a highly motivated, well-trained workforce, both on a temporary and permanent basis, who can quickly respond to potential terrorist threats, shifts in smuggling patterns and other national security threats.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	13,461	12,896	11,302	(1,594)

Salaries and Benefits includes costs for 105 FTEs. The FY 2011 Request includes increases of \$262,000 in FY 2011 pay raise, \$124,000 in pay annualization and program decreases of \$2,479,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	260	-	-	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	2,510	2,641	2,667	26

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	8,691	9,391	8,866	(525)

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	130	-	-	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	22,224	16,727	5,316	(11,411)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes decreases of \$6,000,000 for the National Training Plan, \$150,000 in program decreases and \$5,261,000 for object class realignment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	746	-	-	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. No funding is requested.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	964	-	-	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. No funding is requested.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	176	180	103	(77)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes program decreases of \$77,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	10	10	10	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	12,043	-	-	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. No funding is requested.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	27	28	28	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	1,087	1,111	1,111	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	327	334	334	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,391	602	302	(300)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes program decreases of \$300,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	10,750	7,831	7,170	(661)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes program decreases of \$661,000.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:
Air and Marine Operations, Personnel Compensation and Benefits
Funding Schedule
(Dollars in Thousands)**

PPA: Air and Marine Operations, Personnel Compensation and Benefits	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	123,670	160,748	160,787	39
11.3 Other than full-time permanent	26	63	64	1
11.5 Other personnel compensation	31,309	20,115	19,883	(232)
12.1 Benefits	60,916	69,174	68,846	(328)
13.0 Unemployment Compensation	330	-	-	-
21.0 Travel	1,726	3,810	2,224	(1,586)
22.0 Transportation of things	909	939	904	(35)
23.1 GSA rent	5,127	-	-	-
23.2 Other rent	169	-	-	-
23.3 Communications, utilities, and misc. charges	1,195	2,099	1,861	(238)
24.0 Printing	36	56	49	(7)
25.1 Advisory and assistance services	7,759	9,795	8,479	(1,316)
25.2 Other services	7,440	7,212	7,128	(84)
25.3 Purchases from Gov't accts.	2,454	6,325	3,340	(2,985)
25.4 O&M of facilities	903	1,140	1,140	-
25.5 R&D of contracts	-	328	-	(328)
25.6 Medical care	200	252	252	-
25.7 Operation and maintenance of equipment	105	133	133	-
26.0 Supplies and materials	5,679	8,398	7,308	(1,090)
31.0 Equipment	16,395	19,041	15,932	(3,109)
Total, Object Class	266,348	309,628	298,330	(11,298)
Total, Air and Marine Operations, Personnel Compensation and Benefits	266,348	309,628	298,330	(11,298)
Full Time Equivalents	1,710	1,943	1,895	(48)

PPA Mission Statement

The purpose of Air and Marine Salaries is to apply the skills and expertise of CBP air and marine personnel to deter, interdict, and prevent acts of terrorism arising from unlawful movement of people and goods across the borders of the United States. Having aircraft and vessels along the borders reduces the quantity of drugs entering the U.S. and minimizes threat levels. The goal of this program is to deny the use of air, land and coastal waters for conducting acts of terrorism and other illegal activities against the United States.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	123,670	160,748	160,787	39

Salaries and Benefits includes costs for 1,895 FTEs. The FY 2011 Request includes an increase of

\$2,625,000 for the proposed January 2011 1.4 percent increase in personnel compensation, an increase of \$1,251,000 in pay annualization, an increase of \$10,793,000 in annualization of 2010 initiative, and a decrease of \$15,189,000 in nonsustaining of 2010 initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	26	63	64	1

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	31,309	20,115	19,883	(232)

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	60,916	69,174	68,846	(328)

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	330	-	-	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	1,726	3,810	2,224	(1,586)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request includes a decrease of \$1,472,000 in annualization of 2010 initiative and a decrease of \$114,000 in nonsustaining of 2010 initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	909	939	904	(35)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 Request includes a decrease of \$28,000 in annualization of 2010 initiative and a decrease of \$7,000 in nonsustaining of 2010 initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	5,127	-	-	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	169	-	-	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	1,195	2,099	1,861	(238)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes an increase of \$257,000 in annualization of 2010 initiative, and a decrease of \$495,000 in nonsustaining of 2010 initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	36	56	49	(7)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request includes an increase of \$11,000 in annualization of 2010 initiative, and a decrease of \$18,000 in nonsustaining of 2010 initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	7,759	9,795	8,479	(1,316)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 Request includes an OC realignment of \$1,316,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	7,440	7,212	7,128	(84)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes an increase of \$492,000 in annualization of 2010 initiative, and a decrease of \$576,000 in nonsustaining of 2010 initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	2,454	6,325	3,340	(2,985)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes a decrease of \$2,699,000 in annualization of 2010 initiative and a decrease of \$286,000 in nonsustaining of 2010 initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	903	1,140	1,140	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	-	328	-	(328)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2011 Request includes an increase of \$1,316,000 for an object class realignment, a decrease of \$1,378,000 in annualization of 2010 initiative, and a decrease of \$266,000 in nonsustaining of 2010 initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	200	252	252	-

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 Request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	105	133	133	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	5,679	8,398	7,308	(1,090)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes a decrease of \$599,000 in annualization of 2010 initiative and a decrease of \$491,000 in nonsustaining of 2010 initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	16,395	19,041	15,932	(3,109)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes a decrease of \$2,370,000 in annualization of 2010 initiative and a decrease of \$740,000 in nonsustaining of 2010 initiative.

I. Changes in Full Time Equivalent

Department of Homeland Security U.S. Customs and Border Protection Salaries and expenses: Changes in Full Time Equivalent

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	37,812	45,649	48,276
INCREASES	-	-	-
Air and Marine Staffing	12	-	-
Annualizations	4,906	-	-
Border Patrol Staffing	1,321	-	-
Conduct and Integrity Oversight	16	-	-
Customs Revenue Staffing	30	-	-
FY 2007 Supplemental	480	-	-
Ground Transportation	1	-	-
Intel Staffing	14	-	-
Marine Enforcement Units	58	-	-
Passenger Screening	117	-	-
RPM Staffing	137	-	-
Regulatory Audit	6	-	-
Western Hemisphere Travel Initiative	45	-	-
Increases	7,143	-	-
ARRA Annualization	-	10	-
Air and Marine Personnel	-	72	-
Analyze and Employ Information and Intelligence	-	11	-
Annualizations	-	2,311	-
Border Patrol Staffing	-	62	-
Conduct and Integrity Oversight	-	2	-
FY 2009 War Supplemental	-	75	-
Technology Oversight	-	6	-
Combating Southbound Firearms and Cur. Smuggling	-	26	-
Import Safety and Trade Enforcement	-	52	-
ARRA Annualization	-	-	10
Annualizations	-	-	299
Intelligence and Operations Coordination Staffing	-	-	52
Management Efficiencies	-	-	475
Realign Positions to NTC	-	-	65
Restoration of CBPO staffing	-	-	195
Secure Freight Initiative	-	-	4
Subtotal, Increases	7,143	2,627	1,100
DECREASES	-	-	-
Border Patrol Staffing and Premium Pay Reduction	-	-	(91)
Human Resource Reductions	-	-	(3)
Office of Administration Reduction	-	-	(15)
Realign Positions to NTC	-	-	(65)
Secure Freight Initiative	-	-	(4)
Training and Development Reduction	-	-	(25)
Not Sustaining FY 2010 Initiatives - Air & Marine	-	-	(120)
Subtotal, Decreases	-	-	(323)

Year End Actual / Estimated FTEs:	44,955	48,276	49,053
Net Change from prior year base to Budget Year Estimate:	7,143	2,627	777

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and expenses:**

**FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Air and Marine Operations	-	1,668	1,635	(33)
Border Security and Control	3,109	22,813	22,403	(410)
Headquarters Management and Administration	48,710	44,514	44,440	(74)
Inspections Trade and Travel Facilitation at POEs	-	18,129	17,776	(353)
Total Working Capital Fund	51,819	87,124	86,254	(870)

Department of Homeland Security

U.S. Customs and Border Protection

Border Security Fencing, Infrastructure, and Technology



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Border Security Fencing, Infrastructure, and Technology:

I. Appropriation Overview

A – Mission Statement for Border Security Fencing, Infrastructure, and Technology:

The DHS border security mission is to prevent people and things from illegally entering the United States, including terrorists and instruments of terror. DHS created the Secure Border Initiative (SBI) to bring clarity of mission, effective coordination of DHS assets, and greater accountability to the work of DHS in securing the Nation's borders. SBI is the United States' most far-reaching effort to gain control of its nearly 6,000 miles of international land border. Customs and Border Protection (CBP) is the lead agency within DHS for the development and deployment of SBI technology (called *SBI_{net}*) and tactical infrastructure to secure America's borders.

This appropriation provides continued funding for the CBP Program Offices tasked with developing and installing technology and tactical infrastructure solutions, enabling a more effective and efficient method for controlling border security. Whereas the initial focus of SBI has been on serious vulnerabilities along the southwest border and between the official ports of entry (POE), attention is also being given to the northern border to address needs and vulnerabilities there. More specifically, this request will be used to respond to the changing threat and operational needs by delivering enhanced border control capabilities and services to the operational user in the following major areas:

- **SBI_{net} Block 1 Deployments to Arizona.** Through *SBI_{net}*, CBP will continue to implement its initial technology solution, called Block 1, in Arizona. The solution consists of surveillance, detection, identification, classification, tracking, communications, and command and control capabilities that allow Border Patrol agents to efficiently detect, identify, classify, track, and resolve illegal incursions. Currently CBP plans to deploy the Block 1 technology system to the Tucson and Yuma sectors by 2013. The first two *SBI_{net}* operational deployments to the Tucson and Ajo stations are currently underway. Following the System Acceptance Test and Operational Test and Evaluation in 2010, a production decision will be requested to acquire and complete the remaining Arizona Border Patrol stations. FY 2011 funds will be used for buying equipment and beginning construction for the remainder of the Tucson sector, which includes Naco, Willcox, and Casa Grande. These deployments, when combined with personnel and tactical infrastructure, will contribute significantly towards the effective operational control across the Arizona border.
- **Other Technology Deployments.** In addition to Block 1 deployments, CBP will continue to address pressing operational needs with other proven technology capabilities, such as Remote Video Surveillance Systems (RVSS), Mobile Surveillance Capabilities (MSC), Unattended Ground Sensors (UGS), or other

available, lower-cost solutions. As part of SBI's evolving acquisition strategy to expand border security solutions for a wider spectrum of CBP operational users, the SBI System Program Office (SPO) is assessing near-term, non-developmental, low-cost technologies that can provide high payoff capabilities for urgent and compelling needs. The Innovative Technology Pilot Program will rapidly and continually expand and improve the technology tools available for border control by piloting readily available capabilities with operators in the field and getting their feedback. To support this expanded portfolio of technologies, SBI is also looking at Open Architecture software implementations that would facilitate future integration of these technologies, and the acquired sensor information, for enhanced border security operations.

- **P-25 Tactical Communications Deployments.** CBP has a critical need to modernize its tactical communications and move from a mixed analog/digital, leased circuit-based architecture to an integrated internet protocol/quality of service-based digital network. FY 2011 funds will be used to procure and deploy additional P-25 systems to the southwest border, which will enable improved operations and agent safety.
- **Northern Border Projects.** As an area of emphasis, through *SBI_{net}*, CBP is in the process of demonstrating technology for addressing the needs and vulnerabilities of the northern border maritime (river/lake), cold weather environment, as well as deploying proven, stand-alone technology that provides immediate operational benefit. FY 2011 funds will be used to continue these demonstrations and deployments with an emphasis on learning how best to integrate various sensors, organizations involved in border security, and mission operations to optimize border security in this challenging environment. Lessons learned will inform the operational and system requirements for a technology solution tailored for follow-on deployments to the northern border.

Effective Control

The primary goal of the Department's strategy to secure our Nation's borders is Effective Control, as described in the National Border Patrol Strategy. Effective Control is achieved when the Office of Border Patrol (OBP) determines that agents deployed in any given area are able to:

- *Detect* an illegal entry into the United States;
- *Identify and classify* the threat level associated with that illegal entry;
- *Respond* to the area of the illegal entry; and
- Bring the situation to a law enforcement *resolution* (e.g. arrest).

SBI Capabilities Enabling Effective Control of the Border

Effective Control is established through the proper mix of technology, personnel, and tactical infrastructure (fencing and roads) that will allow CBP to confront and

appropriately resolve illegal cross-border activity. The mix of these three components will vary depending on the challenges of the focus area:

- Technology is the baseline requirement for any area of operations. It allows us to detect the entries and to identify and classify the threat;
- Personnel provide the response to confront illegal cross border activity; and
- Tactical Infrastructure supports the response by providing access, and also extends response time by deterring or slowing the ability to easily cross the border and escape.

The Department's strategy is to Gain, Maintain, and Expand Effective Control:

- Gain: Deploy resources based on known threats, vulnerability, and risk;
- Maintain: Sustain effective control once gained and seek efficiencies to allow us to hold the area with fewer resources; and
- Expand: As we gain control of any given area, activity will be displaced to other areas of operations. We will adjust deployment of resources to expand effective control to areas where there is new or increased activity.

While additional resources, tactical infrastructure, and technology will continue contributing to enhancing effective control of the Nation's borders, it is important to emphasize that effective control of a specific segment is not necessarily gained through the deployment of just one tool or resource. In most cases, fencing will be complemented with a technology component and enforcement personnel. In some cases, such as pedestrian fencing in urban areas, sensors and cameras will be installed to alert agents to any attempted breaches of the fencing. In more rural areas where vehicle fencing is installed, any range of technologies may be required to detect, monitor and facilitate a response to intrusions by foot.

Once established, border security levels remain dynamic. While the goal is always to increase the level of border security, security in a given sector may decline as a result of many factors. These factors include the effect of enforcement efforts in adjacent sectors, changes in the level or nature of activity and resource availability. Therefore, in order to maintain and expand upon our established border security levels, it is critical to continue the balanced deployment of personnel, technology, and tactical infrastructure.

Each Border Patrol sector has developed operational plans to achieve effective control of the border in their Area of Responsibility (AOR). These plans are updated annually, and provide a baseline assessment of the current level of control throughout their AOR and the resources (e.g., agents, air support, infrastructure, technology) needed to ultimately gain effective control of their AOR.

Based on an analysis of the terrain and operational dynamic, the Office of Border Patrol (OBP) determines the right mix of technology, tactical infrastructure, personnel, and other assets needed to detect, identify and classify, respond, and resolve illegal incursions in that area. OBP "rates" the different components' capabilities. Some of the key components employed today are rated against the following capabilities:

<u>Component(s)</u>	<u>Capabilities</u>
Radars, Aircraft, Sensors	Detection and Tracking
Cameras, Agents	Identification and Classification
Fence	Persistent Impedance/Delay
Agents, Aircraft, Vehicles, Facilities, Roads, Transportation	Response & Resolution

These capability components form the basis of specific system acquisition programs. The acquisition program plans and budgets are developed and approved. Then after appropriate testing, the systems are deployed, operated, and maintained.

B – Budget Activities:

SBI programs must be responsive to the needs and requirements of the mission elements that share responsibility for the security of the Nation’s borders. Within CBP, those mission elements include Office of Border Patrol (OBP), Office of Field Operations (OFO), Office of Air and Marine (OAM), and the Office of Intelligence and Operations Coordination (OIOC). In addition, SBI is charged with integrating and responding to requirements of mission elements outside of CBP – including but not limited to the U.S. Coast Guard (USCG), Immigration and Customs Enforcement (ICE), and the DHS Office of Intelligence and Analysis.

In meeting its responsibilities, SBI performs four broad types of functions: Operational Integration, Technology Demonstration, Commodity Procurement, and System Development. SBI is funded entirely by the Border Security Fencing, Infrastructure and Technology (BSFIT) appropriation that is comprised of three major investment accounts (or Program, Project, and Activities (PPAs)), which support the above functions:

Development and Deployment

Development and Deployment provides for surveillance and detection which consist of sensor systems, such as Unattended Ground Sensors (UGS), radars, and day/night cameras to improve CBP operational forces’ ability to detect, identify, classify, and track illegal entries and items of interest (IOIs) across all border environments. These sensor systems are deployed on fixed and relocatable towers, mobile platforms (wheeled vehicles and aircraft), and on the ground. Examples include newly developed systems, such as SBInet Block 1, and existing systems, such as the Remote Video Surveillance System and Mobile Surveillance System.

Development and Deployment also provides for Command, Control, Communications, and Intelligence (C3I) which includes sensor control and data processing, tracking, identification and classification, friendly (blue) force tracking, enhanced intelligence collection and analysis/dissemination tools, and shared situational awareness, i.e., Common Operating Picture (COP). This integrated network relies on upgraded and interoperable digital field communications, improved Command and Control (C2)

facilities, an enhanced wireless communications network such as P-25 Tactical Communications, and network and security operations.

Development and Deployment funds Tactical Infrastructure (TI), built to create persistent impedance against illicit cross-border activity. TI includes pedestrian and vehicle fencing, roads, bridges, brush removal, and lighting installed in relevant areas to support border enforcement activities.

Finally, Development and Deployment provides for related activities, such as technical support, systems engineering services, prime contractor program management and systems engineering, advanced technology development, Operational Test & Evaluation support, and environmental planning, assessment and mitigation activities associated with fielding technology and tactical infrastructure.

Operations and Maintenance (O&M)

Operations and Maintenance funds provide logistics support – supply, maintenance, and training services – to operate and maintain all *SBI*net deployments and legacy surveillance and communication systems. A combination of government and contractor logistics activities provide maintenance management, system support analysis, call center operations, asset management, critical property, spare parts storage, management and inventory records, field services, and training.

In addition, O&M provides maintenance and repair (M&R) services for all types of TI, both legacy and newly constructed, to include maintenance and repair of fences, gates, roads, bridges, drainage structures, grates, lighting, and electrical systems; vegetation management and control; and debris removal. It also includes the development and implementation of a tracking system to capture and store O&M data so that future maintenance work can be better scoped and planned.

Program Management

Program Management funds provide for the necessary government and support personnel, tools, planning, processes, procedures, and resource matrices in an integrated and effective manner to enable all other program objectives to be successfully implemented, while ensuring alignment across the program.

C – Budget Request Summary:

CBP requests 200 (FTE) full time positions and \$574,173,000 for FY 2011. The total adjustments-to-base is a negative \$67,496,000. The program changes include a total program decrease of \$158,331,000 to:

- Development and Deployment for any new tactical infrastructure and new SBI technology investments. (\$135,107,000)
- Program Management for contractor support and environmental planning. (\$23,224,000)

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology:
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Program Management	183	67,574	200	92,000	200	69,173	-	(22,827)	-	(23,224)	-	397
SBInet Operations and Maintenance	-	112,416	-	200,000	-	169,357	-	(30,643)	-	-	-	(30,643)
SBInet Development and Deployment	-	442,635	-	508,000	-	335,643	-	(172,357)	-	(135,107)	-	(37,250)
Subtotal, Enacted Appropriations and Budget Estimates	183	622,625	200	800,000	200	574,173	-	(225,827)	-	(158,331)	-	(67,496)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	183	622,625	200	800,000	200	574,173	-	(225,827)	-	(158,331)	-	(67,496)

Note: Does not include \$100 million ARRA funding enacted in FY 2009 and to be obligated in FY 2010 and beyond.

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology:
Program Management
Program Performance Justification
(Dollars in Thousands)**

PPA: Program Management

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	200	183	67,574
2010 Enacted	200	200	92,000
2011 Adjustments-to-Base	-	-	397
2011 Current Services	200	200	92,397
2011 Program Change	-	-	(23,224)
2011 Total Request	200	200	69,173
Total Change 2010 to 2011	-	-	(22,827)

CBP requests \$69.2 million for Program Management. This is a decrease of \$22.8 million below FY 2010. The request includes:

- an increase of \$128 thousand for FY 2010 pay annualization
- an increase of \$269 thousand for FY 2011 pay inflation
- a decrease of \$23.224 for contractor support and environmental planning

CURRENT SERVICES PROGRAM DESCRIPTION:

Program Management funds provide for the necessary government and support personnel, tools, planning, processes, procedures, and resource matrices in an integrated and effective manner to enable all other program objectives to be successfully implemented, while ensuring alignment across the program. For FY 2011, Program Management provides for 200 government employees to staff the CBP Program Offices, supplemented by a reduced number of contractor support personnel. Also included are travel, office supplies and equipment, and other expenses necessary to conduct program office operations.

Further, the request includes \$20 million that will be used for ongoing environmental planning (surveys and assessments in deployment areas), environmental impact mitigation projects, as well as program management tools and support from partner agencies.

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology:
SBI net Operations and Maintenance
Program Performance Justification
(Dollars in Thousands)**

PPA: SBI net Operations and Maintenance

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	112,416
2010 Enacted	-	-	200,000
2011 Adjustments-to-Base	-	-	(30,643)
2011 Current Services	-	-	169,357
2011 Total Request	-	-	169,357
Total Change 2010 to 2011	-	-	(30,643)

CBP requests \$169.4 million for Operations and Maintenance. This is a decrease of \$30.6 million from FY 2010. The reduction reflects delays to the Block 1 deployment schedule.

CURRENT SERVICES PROGRAM DESCRIPTION:

Operations and maintenance funds are required to support SBI technologies, surveillance systems (both “legacy” and Block 1), and tactical infrastructure acquired with previous acquisition funding incorporated into the SBI program. Specifically, the BSFIT O&M funding requirements are for:

- Fixed and mobile surveillance and detection systems for improved detection and identification capabilities across all border environments, including radars, cameras, sensors, as well as P-25 tactical communications upgrades;
- Physical infrastructure that has been built, to include maintenance of tactical infrastructure roads, vehicle and pedestrian fences, port of entry barriers, lights, bridges, etc; the towers for technology and surveillance also require regular recurring maintenance, including the maintenance of access roads;
- Command, control, communications and IT systems, to include the COP, case processing, intelligence systems and applications, wireless communications, Network/Security Operations Center; and
- System support analysis, call center operations, asset management, critical property, spare parts storage, management and inventory records, field services, maintenance, overhaul, and training.

The BSFIT O&M budget reduction from FY 2010 to FY 2011 reflects two ongoing concerns, as follows:

- The schedule for Block 1 deployments has been delayed one year from the plans articulated in the FY 2010 budget submission. Emerging technical issues and CBP's commitment to deliberately and comprehensively review the quality and effectiveness to the system has delayed the Block 1 deployment schedule. Therefore, the need to sustain this technology has also been deferred by one year. As Block 1 deployments are completed, future O&M funding requirements will progressively increase.
- CBP is also transitioning its logistics support activities (e.g., Block 1 maintenance, supply operations, security/network operations, etc) from contracted support to CBP full-time government personnel. This transition offers significant overall cost savings for the government, but is dependent on progress with Block 1 deployments. FY 2010 funding will be used to initiate this logistics transition.

Given these concerns, CBP will carryover approximately \$20 million of O&M funding into FY 2011. CBP reduced the FY 2011 O&M request accordingly, thereby showing an adjustment to FY 2011 funding requirements.

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology:
SBI-net Development and Deployment
Program Performance Justification
(Dollars in Thousands)**

PPA: SBI-net Development and Deployment

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	442,635
2010 Enacted	-	-	508,000
2011 Adjustments-to-Base	-	-	(37,250)
2011 Current Services	-	-	470,750
2011 Program Change	-	-	(135,107)
2011 Total Request	-	-	335,643
Total Change 2010 to 2011	-	-	(172,357)

CBP requests \$335.643 million for Development and Deployment. This is a decrease of \$172.3 million below FY 2010. The request includes:

- a decrease of \$16.7 million to non-recur the FY 2010 northern border technology investments
- a decrease of \$20.5 million to fully non-recur the FY 2010 P-25 Tactical Communications modernization initiative
- a decrease of \$135.1 million, which reduces funding for new tactical infrastructure investments, technology, and development

CURRENT SERVICES PROGRAM DESCRIPTION:

In conjunction with CBP agents and officers, Development and Deployment provides technology and tactical infrastructure solutions that help CBP achieve effective control of the U.S. borders. When fully implemented, SBI Technology and Tactical Infrastructure will improve the Border Patrol agents' abilities to rapidly and effectively respond to illegal activities and help DHS and CBP manage, control, and secure the border.

Due to the interdependency of SBI components, each component is vital to the system's overall success. A system with the technology to detect, identify, and classify illegal entries and criminal activity, but without the human capability for a rapid response or interdiction, cannot complete the law enforcement mission. Conversely, law enforcement personnel with inadequate intelligence, physical infrastructure, and technology required

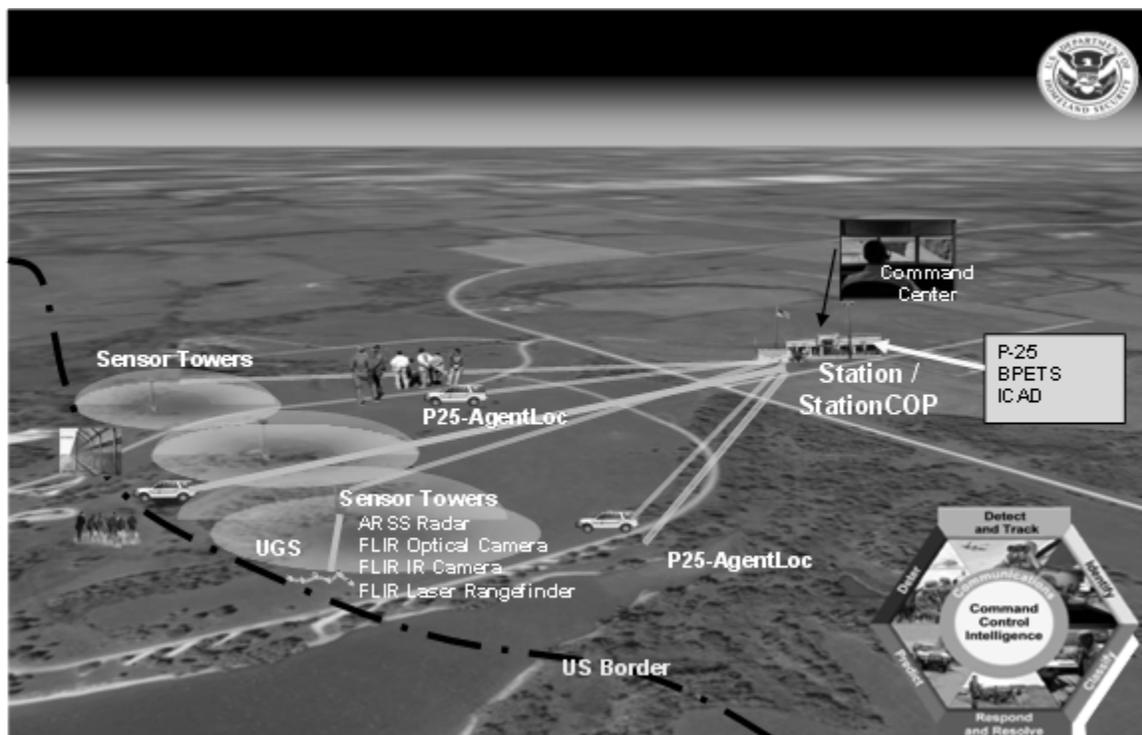
for situational awareness, or equipment necessary to conduct enforcement activities are much less likely to be effective in today's dynamic border enforcement environment.

SBInet Block 1

Efforts thus far have been focused on the design, development, integration, and testing of the first increment of *SBInet* functionality, called Block 1, the deployment laydown design, and the associated environmental and land acquisition activities. Block 1 is applicable to the southwest border desert environment between the ports of entry. The Block 1 system configuration consists of the following initial components:

- Fixed Tower segments (both sensor and communication towers)
- Advanced Radar Surveillance System (ARSS) radar
- Electro-optical Infrared camera
- Unattended Ground Sensors (UGS)
- Laser Range Finder
- Microwave Backhaul Communications
- Command, Control, Communications, and Intelligence (C3I) COP Software Release 0.5

See the figure below, which depicts how the components of *SBInet* Block 1 are used to provide an end-to-end system solution for border security:



Operational View of SBInet Block 1

Based on approval of the DHS Acquisition Review Board (ARB) in January 2009, *SBInet* Block 1 is being deployed initially to two areas within the Tucson Sector of

Arizona, referred to as TUS-1 and AJO-1. Following a System Acceptance Test and Operational Test and Evaluation in late 2010, a production decision will be requested to acquire and complete the remaining Arizona Border Patrol stations. FY 2011 funds will be used for Naco, Willcox, and Casa Grande stations. These deployments, when combined with personnel and tactical infrastructure, will contribute significantly towards the effective operational control across the Arizona border.

Other Technology Deployments

As part of SBI's evolving acquisition strategy to expand its border security solutions across a wider spectrum of CBP operational users, the SBI SPO is assessing near-term, non-developmental, low-cost technologies that can provide high payoff capabilities for urgent and compelling needs. In addition to Block 1 deployments, CBP will continue to address pressing operational needs with other proven technology capabilities, such as Remote Video Surveillance Systems (RVSS), Mobile Surveillance Capabilities (MSC), Unattended Ground Sensors (UGS), or other available, lower-cost solutions. The Innovative Technology Pilot Program will rapidly and continually expand and improve the technology tools available for border control by piloting readily available capabilities with operators in the field and getting their feedback. To support this expanded portfolio of technologies, SBI is also looking at Open Architecture software implementations that would permit future integration of these technologies and sensor information for enhanced border security operations.

P-25 Tactical Communications

CBP has a critical need to modernize its tactical communication assets and move from a mixed analog/digital, leased circuit based architecture to an integrated internet protocol/quality of service-based digital network environment. The P-25 Tactical Communication Project upgrades CBP Land Mobile Radios to P-25 systems and enables the *SBI*net COP to leverage P-25's inherent Global Positioning System (GPS) feature to track "friendly" forces. The P-25 tactical communications modernization provides:

- Initiation and assessment planning for each sector;
- Requirements gathering and radio frequency (RF) site survey analysis;
- System design – system includes subscriber units, civil infrastructure, communications infrastructure (repeaters, controllers) and dispatch equipment—P-25 modernization is dependent on *SBI*net to provide microwave backhaul in a given project area;
- Spectrum planning and site leasing;
- Equipment and infrastructure construction and installation; and
- Acceptance testing, training, and close out.

Prior year funds were used to support P-25 construction and deployment activities for El Paso, Rio Grande Valley, and Laredo Sectors. Subject to operational priorities, FY 2011 funds will be used to continue Rio Grande Valley and Laredo construction and deployment activities.

Northern Border Projects

CBP continues to have significant involvement in the development of a comprehensive DHS Northern Border Strategy, and *SBI_{net}* represents only one piece of a larger CBP investment to the north. *SBI_{net}* is in the process of demonstrating technology for addressing the needs and vulnerabilities of the northern border maritime (river/lake), cold weather environment, as well as deploying proven, stand-alone technology. Prior year BSFIT and Border Patrol funds are being used to deploy existing sensor systems to Detroit, Buffalo, and Swanton Sectors to provide immediate operational capability and also allow evaluation of these systems for their suitability to the northern border environment.

Current Northern Border Projects consists of two main elements: Increment 1 – Northern Border Surveillance Project; and Increment 2 – Northern Border Integration Demonstration. For Increment 1, the Northern Border Surveillance Project, three Mobile Surveillance System (MSS) units, consisting of truck-mounted sensor suites of day and night cameras and a radar, were deployed to Swanton, Detroit, and Buffalo Sectors in mid-2009. In addition, Remote Video Surveillance Systems (RVSSs) – day and night cameras with remote control (pointing) from a Border Patrol station (command center) – are currently being deployed to Buffalo and Detroit Sectors, to be completed by early 2010. Buffalo Sector deployments are along the Niagara River, where five new RVSSs will augment four existing RVSSs in Buffalo to expand coverage. Detroit Sector deployments consist of eleven RVSSs along the St. Clair River. RVSSs are being deployed and operated incrementally as construction is completed.

Increment 2, the Northern Border Integration Demonstration, supports and enhances border security in the Detroit Area of Operations. The threats of concern in the Detroit area are similar to those that U.S. Border Security agencies and their mission partners must contend with along the southern border. The threats of interest include, but are not limited to, terrorist activity, drug smuggling, contraband smuggling, human smuggling, and mala fide travelers. These threats represent significant challenges to border security in the northern border areas where sightlines can be significantly shorter, urban and wilderness environments can limit access, and natural barriers are not as great a hindrance. Increment 2 will provide U.S. Border Security agencies and their mission partners improved means of meeting these challenges through enhancing operational integration between agencies, more effective resource deployment, and by providing new technical tools to support the planning and execution of operations.

Increment 2 implementation is underway with operation set to begin in mid-2010. The goals of the project are to provide operational integration of border security efforts in the Detroit area, improve detection capabilities in the vicinity of the St. Clair River area, and enhance the situational awareness for the CBP and their mission partners in the region. Operational integration will be improved by developing and sustaining an Operational Integration Center (OIC) at Selfridge Air National Guard Base. This OIC will provide a collaborative work area and communications capabilities for representatives of all

components of Customs and Border Protection, United States Coast Guard and other DHS organizations, Federal Law Enforcement agencies, state and local law enforcement, and Canadian officials. The OIC will provide surge capabilities to support collaboration among more than 40 personnel from different agencies. This includes law enforcement intelligence coordination.

The detection capabilities will be improved, through the addition of sensors, consolidation and display of video feeds from multiple sources, and by providing downlink of video for Office of Air and Marine assets. The situational awareness capabilities will be enhanced through the integration of multiple information feeds at the OIC. These information feeds include selectable radar and camera feeds, FAA and DoD radar information, blue force location, database query, enhanced communications, chat capabilities, remote sensors inputs, and many other information services. This system will provide customizable views at each of the OIC workstations, allowing partners to gather and consolidate the information required to plan and perform their mission in the operational environment.

CBP is also launching Increment 3 with FY 2010 enacted funding of \$40 million. The objective of Increment 3 is to make balanced investments in filling capability gaps against priority threats in high threat areas across the northern border. The planned use of FY 2010 funding for Increment 3 is to pursue improvements in Air and Maritime surveillance, such as:

- Planning and preparing for the development and deployment of an initial capability for providing Low Flying Aircraft Surveillance;
- Beginning technology investigations, improvements, and integration with Maritime Radar systems, a P-3 Airborne Early Warning Pilot Program, and an Aircraft Video Data Link;
- Continuing development and deployment of Law Enforcement Technical Collection (LETC) systems and technologies; and
- Continuing integrated sensor evaluation, integrated mission planning and operations through the Detroit (Selfridge ANG Base) Operational Integration Center.

Included within the FY 2011 request is \$40 million to be used to continue and enhance previous demonstrations and deployments throughout priority locations along the northern border- Increment 4.

Tactical Infrastructure

Tactical Infrastructure (TI) is one of the layers of the systematic law enforcement approach necessary to gain effective control of identified border areas. Pedestrian and vehicle fences provide persistent impedence so that agents and officers can gain a tactical advantage. The added physical barrier affords agents additional cover making physical assaults more difficult to carry out. Some examples of the types of TI are pictured below:



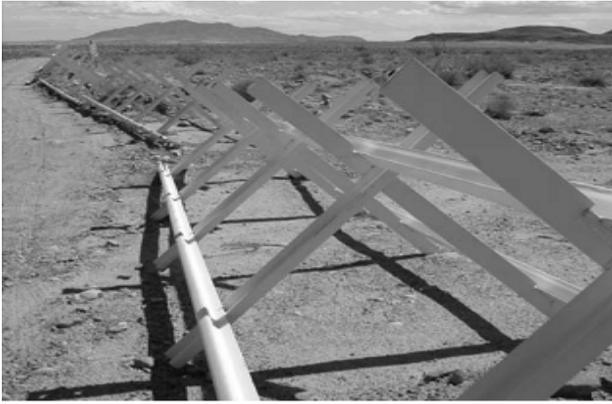
Bollard Pedestrian Fence with Steel Sheath Extension



Bollard Pedestrian Fence with Fence Caps



Post-on-Rail Vehicle Fence



Normandy Vehicle Fence

As of January 1, 2010, through TI, CBP has constructed fencing totaling 642.8 miles along the southwest border (344.3 miles of pedestrian and 298.5 miles of vehicle fence). The few remaining segments are anticipated to be complete by December 2010.

For FY 2010, the current OBP operational requirements for the nine southwest border sectors also call for:

- the completion of gates in the Rio Grande Valley Sector required to complete the Pedestrian Fence 225 (PF 225) program; and
- the construction of additional primary pedestrian fencing the Rio Grande Valley Sector, pending approval from the Secretary of Homeland Security.

Additional funding in FY 2010 will also be used to fund the remaining real estate costs associated with adverse condemnations for the PF 225 program.

Completion of these requirements will contribute to the ability of OBP to obtain effective control of the southwest border. Note that as tactical infrastructure is constructed, shifts in illegal cross-border traffic may necessitate re-evaluating and adjusting operational requirements and priorities to address new vulnerabilities and/or officer safety.

For FY 2011, CBP is requesting \$25 million for new TI projects. CBP operators have identified priority projects, which include the completion of primary pedestrian fence in the El Paso Sector, tunnel gates in the Tucson Sector and replacement of the surf fence in the San Diego Sector.

IV. Program Justification Changes

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology:
Program Management
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Reduction to Contractor Support and Environmental
PPA: Program Management
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-23224.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Decrease							-	-	(23,224)
Total Request	-	-	-	-	-	-	-	-	(23,224)

Description of Item

The funding reduction of \$23.2 million will decrease the FY 2011 funding request for BSFIT Program Management (PM) to \$69.2 million.

- (\$8.2 million) Reduction to the SBI program office contractor support personnel – The SBI program office recently concluded a major consolidation of contractor support requirements and billets through a competitive contract award. The new contract should be in place during 2010, and therefore the program is planning on reduced funding needs to maintain future contractor support personnel.
- (\$15.0 million) Reduction to planned Environmental Planning activities for BSFIT-related projects. Congress earmarked funds in the PM PPA for environmental planning, assessments, and mitigation projects (\$50 million in FY 2009, \$40 million in FY 2010) in support of the Tactical Infrastructure and SBI*net* Block 1 deployments in the southwest border area. In FY 2011, new Tactical Infrastructure is reduced, and accordingly there will be less environmental planning and mitigation required for future BSFIT projects.

Justification

For BSFIT program management, SBI is striving to establish a program office consisting of a majority of government personnel with requisite engineering, business, contracting, and acquisition/program management qualifications and experience. As SBI is successful in increasing the government ranks, SBI is decreasing the numbers of contractor support personnel needed. By FY 2011, SBI projects a significantly lower number of contractor support personnel needed to augment the projected government staff.

For environmental planning, SBI and other CBP partners believe the need for detailed environmental planning and assessments will decrease considerably as new Tactical Infrastructure projects are reduced given the decline in new TI investment. The remaining funds will be adequate to (1) maintain detailed planning and assessments for planned *SBI*net Block 1 deployments in Arizona; (2) maintain detailed planning and assessments for planned technology deployments in northern border regions; as well as (3) maintain ongoing environmental mitigation projects and commitments in southwest border areas where TI and Block 1 have been deployed.

Impact on Performance (Relationship of Decrease to Strategic Goals)

The above reductions are consistent with mission and fiscal priorities. CBP anticipates no significant impact to CBP operational performance due to the proposed BSFIT PM reductions.

Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology:
SBI^{net} Development and Deployment
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 2: Reduction to Tactical Infrastructure and SBI^{net}
PPA: SBI^{net} Development and Deployment
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-135107.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	470,750
Program Decrease							-	-	(135,107)
Total Request	-	-	442,635	-	-	508,000	-	-	335,643

Description of Item

The funding reduction of \$135.1 million will decrease the FY 2011 funding request for BSFIT Development and Deployment (D&D) to \$335.643 million. The Department's current plan is to complete the deployment of SBI^{net} Block 1 in FY 2013. SBI will maintain P-25 Tactical Communications modernization, northern border projects, and other technology deployments, such as Mobile Surveillance Systems, at a modest rate and continue to provide field maintenance and logistics support activities for deployed Tactical Infrastructure, SBI^{net} Block 1, P-25 TACCOM, Mobile Surveillance Systems, and legacy systems. While plans to complete SBI^{net} Block 1 in FY 2013 remain on target, significant impacts will result, to include:

- New Tactical Infrastructure investments will be reduced from \$110 million in FY 2010 to \$25 million in FY 2011.
- SBI^{net} Block 2 design and development will be eliminated in FY 2011.
- The lessons learned from SBI^{net} Block 1 will be incorporated into the design of a second generation situation awareness technology system.

Justification

The substantial BSFIT reductions outlined above are necessary to ensure CBP's highest priority capabilities are fully funded to achieve CBP core missions. The remaining funds will be used to complete SBI^{net} Block 1. P-25 Tactical Communications and northern border projects have been funded in the plan. P-25 provides modern tactical communications for improved operations and agent safety.

Impact on Performance (Relationship of Decrease to Strategic Goals)

Since effective control of the border is secured using an appropriate mix of personnel, technology, and tactical infrastructure (fences, roads, lighting, brush removal, etc), reductions in all three areas will reduce and/or will significantly delay progress toward meeting DHS and CBP strategic goals.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

For expenses for [customs and border protection] border security fencing, infrastructure, and technology, [\$779,452,000] \$574,173,000, to remain available until expended[: Provided, That of the amount provided under this heading, \$400,000,000 shall not be obligated until the Committees on Appropriations of the Senate and the House of Representatives receive and approve a plan for expenditure, prepared by the Secretary of Homeland Security and submitted not later than 90 days after the date of the enactment of this Act, for a program to establish and maintain a security barrier along the borders of the United States of fencing and vehicle barriers, where practicable, and other forms of tactical infrastructure and technology, that includes the following_][(1) a detailed accounting of the program's implementation to date for all investments, including technology and tactical infrastructure, for funding already expended relative to system capabilities or services, system performance levels, mission benefits and outcomes, milestones, cost targets, program management capabilities, identification of the maximum investment, including life cycle costs, related to the Secure Border Initiative program or any successor program, and description of the methodology used to obtain these cost figures;][(2) a description of how specific projects will further the objectives of the Secure Border Initiative, as defined in the Department of Homeland Security Secure Border Plan, and how the expenditure plan allocates funding to the highest priority border security needs;][(3) an explicit plan of action defining how all funds are to be obligated to meet future program commitments, with the planned expenditure of funds linked to the milestone-based delivery of specific capabilities, services, performance levels, mission benefits and outcomes, and program management capabilities;][(4) an identification of staffing, including full-time equivalents, contractors, and detailees, by program office;][(5) a description of how the plan addresses security needs at the Northern border and ports of entry, including infrastructure, technology, design and operations requirements, specific locations where funding would be used, and priorities for Northern border activities;][(6) a report on budget, obligations and expenditures, the activities completed, and the progress made by the program in terms of obtaining operational control of the entire border of the United States;][(7) a listing of all open Government Accountability Office and the Office of Inspector General recommendations related to the program and the status of Department of Homeland Security actions to address the recommendations, including milestones to fully address such recommendations;][(8) a certification by the Chief Procurement Officer of the Department that the program: (a) has been reviewed and approved in accordance with the investment management process of the Department, and that the process fulfills all capital planning and investment control requirements and reviews established by the Office of Management and Budget, including as provided in Circular A-11, part 7; (b) that the plans for the program comply with the Federal acquisition rules, requirements, guidelines, and practices, and a description of the actions being taken to address areas of non-compliance, the risks associated with such actions, together with any plans for addressing these risks, and the status of the implementation of such actions; (c) that procedures to prevent conflicts of interest between the prime integrator and major subcontractors are established and that

the Secure Border Initiative Program Office has adequate staff and resources to effectively manage the Secure Border Initiative program, all contracts, including the exercise of technical oversight; and (d) the certifications required under this paragraph should be accompanied by all documents or memoranda, as well as documentation and a description of the investment review processes used to obtain such certifications;](9) a certification by the Chief Information Officer of the Department that: (a) the system architecture of the program is sufficiently aligned with the information systems enterprise architecture of the Department to minimize future rework, including a description of all aspects of the architectures that were or were not assessed in making the alignment determination, the date of the alignment determination, and any known areas of misalignment together with the associated risks and corrective actions to address any such areas; (b) the program has a risk management process that regularly and proactively identifies, evaluates, mitigates, and monitors risks throughout the system life cycle and communicates high-risk conditions to U.S. Customs and Border Protection and Department of Homeland Security investment decision-makers, as well as a listing of all the program's high risks and the status of efforts to address such risks; (c) an independent verification and validation agent is currently under contract for the projects funded under this heading; and (d) the certification required under this paragraph should be accompanied by all documents or memoranda, as well as documentation and a description of the investment review processes used to obtain such certification;](10) a certification by the Chief Human Capital Officer of the Department that the human capital needs of the Secure Border Initiative program are being addressed so as to ensure adequate staff and resources to effectively manage the Secure Border Initiative, together with a description of SBI staffing priorities;](11) an analysis by the Secretary for each segment, defined as not more than 15 miles, of fencing or tactical infrastructure, of the selected approach compared to other, alternative means of achieving operational control, and such analysis should include cost, level of operational control, possible unintended effects on communities, and other factors critical to the decision making process; and](12) is reviewed by the Government Accountability Office:][Provided further, That the Secretary shall report to the Committees on Appropriations of the Senate and the House of Representatives on program progress, and obligations and expenditures for all outstanding task orders as well as specific objectives to be achieved through the award of current and remaining task orders planned for the balance of available appropriations at least 15 days before the award of any task order requiring an obligation of funds in an amount greater than \$25,000,000 and before the award of a task order that would cause cumulative obligations of funds to exceed 50 percent of the total amount appropriated: Provided further, That none of the funds provided under this heading may be obligated unless the Department has complied with section 102(b)(1)(C)(i) of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1103 note), and the Secretary certifies such to the Committees on Appropriations of the Senate and the House of Representatives: Provided further, That none of the funds under this heading may be obligated for any project or activity for which the Secretary has exercised waiver authority pursuant to section 102(c) of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1103 note) until 15 days have elapsed from the date of the publication of the decision in the Federal Register: Provided further, That notwithstanding the previous provisos, \$100,000,000 of the amount provided under this

heading shall be made available for obligation upon enactment of this Act without restriction]. (Department of Homeland Security Appropriations Act, 2010.)

Explanation of Changes:

In spite of considerable effort and attention, all of the conditions outlined for an Expenditure Plan have yet to be fully met. The root cause of not meeting all conditions stems from the highly technical nature of the conditions themselves and the auditing approach for determining compliance. Such an approach sets a very high standard for compliance, draws the focus away from a broader assessment of the overall quality of the plan, and discounts volumes of supporting information that augmented the data provided directly in the Expenditure Plan. CBP is prepared to provide the Committees with any information needed for the exercise of their responsibilities, to include embedding supporting source material in the Expenditure Plan. However, doing so will increase the difficulty in preparing, coordinating, and maintaining an already voluminous document.

A more streamlined approach would be to craft compliance conditions that focus more on the substantive quality of the plan than narrow pass/fail technical requirements. More specifically, recommend that the Committees avoid overly technical compliant requirements for the Expenditure Plan, thus limiting requirements to the minimum essential information and conditions needed to determine the overall quality of the plan. The Committees should also permit source material to be referenced and otherwise used to assess accuracy and completeness of the Expenditure Plan, rather than be embedded within the Expenditure Plan itself in order to be compliant. In addition, the Committees should consider other more flexible and responsive methods for getting the information needed, such as being involved along with the GAO during the Expenditure Plan drafting stage and using meetings and presentations to the Committees or the Committees' staffs to provide information. Finally, to avoid unintended programmatic impacts due to funding withholds, collaboration on the amount of funding being withheld is urged before it becomes legislation.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology:
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	200	183	622,625
FY 2010 Enacted	200	200	800,000
Adjustments-to-Base	-	-	-
Increases	-	-	-
Annualization of FY 2010 Pay Raise	-	-	128
Cost of Living increase - FTE	-	-	269
Total Increases	-	-	397
Decreases	-	-	-
Technical Adjustment Due to Delayed Deployment	-	-	(30,643)
Non-recur 2010 Northern Border Technology Initiative	-	-	(16,702)
Non-recur 2010 P-25 TACCOM Initiative	-	-	(20,548)
Total Decreases	-	-	(67,893)
Total, Adjustments-to-Base	-	-	(67,496)
FY 2011 Current Services	200	200	732,504
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Reduction to Contractor Support and Environmental	-	-	(23,224)
Reduction to Tactical Infrastructure and SBInet	-	-	(135,107)
Total, Program Changes	-	-	(158,331)
FY 2011 Request	200	200	574,173
FY 2010 to FY 2011 Total Change	-	-	(225,827)

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals¹	200	183	622,625
FY 2010 Enacted	200	200	800,000
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	397
Decreases	-	-	(67,893)
Total, Adjustments-to-Base	-	-	(67,496)
FY 2011 Current Services	200	200	732,504
Program Changes	-	-	-
Total, Program Changes	-	-	(158,331)
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	200	200	574,173
Total Change 2010 to 2011	-	-	(225,827)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Program Management	200	200	92,000	200	200	69,173	-	-	(22,827)	-	-	(23,224)	-	-	397
SBInet Operations and Maintenance	-	-	200,000	-	-	169,357	-	-	(30,643)	-	-	-	-	-	(30,643)
SBInet Development and Deployment	-	-	508,000	-	-	335,643	-	-	(172,357)	-	-	(135,107)	-	-	(37,250)
Subtotal, Estimates Program Project Activity	200	200	800,000	200	200	574,173	-	-	(225,827)	-	-	(158,331)	-	-	(67,496)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	200	200	800,000	200	200	574,173	-	-	(225,827)	-	-	(158,331)	-	-	(67,496)

¹ Does not include \$100 million ARRA Funding.

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology:
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	11,595	20,825	21,041	216
11.5 Other personnel compensation	421	-	-	-
12.1 Benefits	2,939	4,913	4,935	22
21.0 Travel	1,790	1,720	429	(1,291)
22.0 Transportation of things	-	22	-	(22)
23.2 Other rent	588	867	157	(710)
23.3 Communications, utilities, and misc. charges	8,589	15,701	13,864	(1,837)
25.1 Advisory and assistance services	3	4	2	(2)
25.2 Other services	211,850	384,527	219,026	(165,501)
25.3 Purchases from Gov't accts.	8,467	15,877	6,186	(9,691)
25.4 O&M of facilities	219,870	366,807	197,743	(169,064)
25.7 Operation and maintenance of equipment	2,477	4,687	2,095	(2,592)
26.0 Supplies and materials	2,997	3,997	3,751	(246)
31.0 Equipment	43,970	196,856	42,008	(154,848)
32.0 Land & structures	62,157	119,450	36,541	(82,909)
41.0 Grants/Subsidies/Contributions	44,912	51,240	26,395	(24,845)
Total, Object Class	622,625	1,187,493	574,173	(613,320)
Unobligated Balance, start of year	(152,034)	(407,491)	(20,000)	387,491
Unobligated Balance, end of year	407,491	20,000	-	(20,000)
Recoveries of Prior Year Obligations	(33,082)	-	-	-
Total, Adjustments	222,375	(387,491)	(20,000)	367,491
Total, Direct Obligations	845,000	800,002	554,173	(245,829)

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology:
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	4	4	4	-
GS-15	34	34	34	-
GS-14	96	96	96	-
GS-13	49	49	49	-
GS-12	8	8	8	-
GS-11	3	3	3	-
GS-9	3	3	3	-
GS-7	3	3	3	-
Total Permanent Positions	200	200	200	-
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
Full Time Equivalents	183	200	200	-
Headquarters	159	159	159	-
U.S. Field	41	41	41	-
Foreign Field	-	-	-	-
Total, Location	200	200	200	-
Average ES Salary	157,743	160,898	164,277	3,379
Average GS Salary	109,857	112,055	114,407	2,352
Average Grade	13	13	13	-

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology:
Program Management
Funding Schedule
(Dollars in Thousands)**

PPA: Program Management	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	11,595	20,825	21,041	216
11.5 Other personnel compensation	421	-	-	-
12.1 Benefits	2,939	4,913	4,935	22
21.0 Travel	192	552	236	(316)
23.3 Communications, utilities, and misc. charges	30	4,172	2,656	(1,516)
25.2 Other services	43,627	82,655	30,381	(52,274)
25.3 Purchases from Gov't accts.	2,037	5,379	2,407	(2,972)
25.4 O&M of facilities	6,246	16,493	7,380	(9,113)
25.7 Operation and maintenance of equipment	-	11	7	(4)
26.0 Supplies and materials	113	46	-	(46)
31.0 Equipment	374	408	130	(278)
Total, Object Class	67,574	135,454	69,173	(66,281)
Total, Program Management	67,574	135,454	69,173	(66,281)
Full Time Equivalents	183	200	200	-

PPA Mission Statement

Program Management funds provide for the necessary government and support personnel, tools, planning, processes, procedures, and resource matrices in an integrated and effective manner to enable all other program objectives to be successfully implemented, while ensuring alignment across the program.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	11,595	20,825	21,041	216

Salaries and Benefits include costs for 200 FTEs. The FY 2011 Request includes an increase of \$269,000 for the proposed January 2011 1.4 percent increase in personnel compensation, an increase of \$128,000 in pay annualization, and an adjustment of \$159,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	421	-	-	-

See above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	2,939	4,913	4,935	22

See above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	192	552	236	(316)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes a decrease of \$127,000 associated with the reduction of contractor support and environment planning, and an adjustment of \$189,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	30	4,172	2,656	(1,516)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes a decrease of \$1,428,000 associated with the reduction of contractor support and environment planning, and an adjustment of \$88,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	43,627	82,655	30,381	(52,274)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes a decrease of \$16,333,000 associated with the reduction of contractor support and environment planning, and an adjustment of \$35,941,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	2,037	5,379	2,407	(2,972)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes a decrease of \$1,294,000 associated with the reduction of contractor support and environment planning, and an adjustment of \$1,678,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	6,246	16,493	7,380	(9,113)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes a decrease of \$3,967,000 associated with the reduction of contractor support and environment planning, and an adjustment of \$5,146,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	-	11	7	(4)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes a decrease of \$4,000 associated with the reduction of contractor support and environment planning.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	113	46	-	(46)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes an adjustment of \$46,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	374	408	130	(278)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes a decrease of \$71,000 associated with the reduction of contractor support and environment planning, and an adjustment of \$207,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology:
SBIInet Operations and Maintenance
Funding Schedule
(Dollars in Thousands)**

PPA: SBIInet Operations and Maintenance	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	36	200	48	(152)
23.2 Other rent	321	-	-	-
23.3 Communications, utilities, and misc. charges	8,232	11,144	11,016	(128)
25.2 Other services	92,156	185,332	125,380	(59,952)
25.4 O&M of facilities	6,411	12,009	8,579	(3,430)
25.7 Operation and maintenance of equipment	-	632	632	-
26.0 Supplies and materials	2,803	3,827	3,751	(76)
31.0 Equipment	2,441	23,363	19,931	(3,432)
32.0 Land & structures	16	20	20	-
Total, Object Class	112,416	236,527	169,357	(67,170)
Total, SBIInet Operations and Maintenance	112,416	236,527	169,357	(67,170)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Operations and Maintenance funds provide logistics support – supply, maintenance, and training services – to operate and maintain all SBIInet deployments and legacy surveillance and communication systems. A combination of government and contractor logistics activities will provide maintenance management, system support analysis, call center operations, asset management, critical property, spare parts storage, management and inventory records, field services, and training.

In addition, O&M provides maintenance and repair (M&R) services for all types of TI, both legacy and newly constructed, to include maintenance and repair of fences, gates, roads, bridges, drainage structures, grates, lighting, and electrical systems; vegetation management and control; and debris removal. It also includes the development and implementation of a tracking system to capture and store O&M data so that future maintenance work can be better scoped and planned.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	36	200	48	(152)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an adjustment of \$152,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	321	-	-	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	8,232	11,144	11,016	(128)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request includes an adjustment of \$128,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	92,156	185,332	125,380	(59,952)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes a decrease of \$30,643,000 associated with the technical adjustment due to delayed deployment schedule, and an adjustment of \$29,309,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	6,411	12,009	8,579	(3,430)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes an adjustment of \$3,430,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	-	632	632	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes a decrease of \$4,000 associated with the reduction of contractor support and environment planning.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	2,803	3,827	3,751	(76)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes an adjustment of \$76,000 associated with FY 2009 carryover funds included within the FY 2010 amount

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	2,441	23,363	19,931	(3,432)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes an adjustment of \$3,432,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	16	20	20	-

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 Request includes a decrease of \$1,294,000 associated with the reduction of contractor support and environment planning, and an adjustment of \$1,678,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology:
SBIInet Development and Deployment
Funding Schedule
(Dollars in Thousands)**

PPA: SBIInet Development and Deployment	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	1,562	968	145	(823)
22.0 Transportation of things	-	22	-	(22)
23.2 Other rent	267	867	157	(710)
23.3 Communications, utilities, and misc. charges	327	385	192	(193)
25.1 Advisory and assistance services	3	4	2	(2)
25.2 Other services	76,067	116,540	63,265	(53,275)
25.3 Purchases from Gov't accts.	6,430	10,498	3,779	(6,719)
25.4 O&M of facilities	207,213	338,305	181,784	(156,521)
25.7 Operation and maintenance of equipment	2,477	4,044	1,456	(2,588)
26.0 Supplies and materials	81	124	-	(124)
31.0 Equipment	41,155	173,085	21,947	(151,138)
32.0 Land & structures	62,141	119,430	36,521	(82,909)
41.0 Grants/Subsidies/Contributions	44,912	51,240	26,395	(24,845)
Total, Object Class	442,635	815,512	335,643	(479,869)
Total, SBIInet Development and Deployment	442,635	815,512	335,643	(479,869)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Development and Deployment provides for surveillance and detection which consist of sensor systems, such as Unattended Ground Sensors (UGS), radars, and day/night cameras to improve CBP operational forces' ability to detect, identify, classify, and track illegal entries and items of interest (IOIs) across all border environments. These sensor systems are deployed on fixed and relocatable towers, mobile platforms (wheeled vehicles and aircraft), and on the ground. Examples include newly developed systems, such as SBIInet Block 1, and existing systems, such as the Remote Video Surveillance System and Mobile Surveillance System.

Development and Deployment also provides for Command, Control, Communications, and Intelligence (C3I) which includes sensor control and data processing, tracking, identification and classification, friendly (blue) force tracking, enhanced intelligence collection and analysis/dissemination tools, and shared situational awareness, i.e., Common Operating Picture (COP). This integrated network relies on upgraded and interoperable digital field communications, improved Command and Control (C2) facilities, an enhanced wireless communications network such as P-25 Tactical Communications, and network and security operations.

Development and Deployment funds Tactical Infrastructure (TI), built to create persistent impedance against illicit cross-border activity. TI includes pedestrian and vehicle fencing, roads, bridges, brush removal, and lighting installed in relevant areas to support border enforcement activities.

Finally, Development and Deployment provides for related activities, such as technical support, systems engineering services, prime contractor program management and systems engineering, advanced technology development, Operational Test & Evaluation support, and environmental planning, assessment and mitigation activities associated with fielding technology and tactical infrastructure.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	1,562	968	145	(823)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an adjustment of \$823,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	-	22	-	(22)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes an adjustment of \$22,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	267	867	157	(710)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request includes an adjustment of \$710,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	327	385	192	(193)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request includes an adjustment of \$193,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	3	4	2	(2)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes an adjustment of \$2,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	76,067	116,540	63,265	(53,275)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes an adjustment of \$53,275,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	6,430	10,498	3,779	(6,719)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes an adjustment of \$6,719,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	207,213	338,305	181,784	(156,521)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes an adjustment of \$156,521,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	2,477	4,044	1,456	(2,588)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request includes an adjustment of \$2,588,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	81	124	-	(124)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes an adjustment of \$124,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	41,155	173,085	21,947	(151,138)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes a decrease of \$20,548 associated with fully non-recurring the FY 2010 Congressional P-25 Tactical Communications initiative, a decrease of \$16,702 associated with non-recurring the FY 2010 Northern Border Technology Initiative, and an adjustment of \$113,888,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	62,141	119,430	36,521	(82,909)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 Request includes an adjustment of \$82,909,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	44,912	51,240	26,395	(24,845)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 Request includes an adjustment of \$24,845,000 associated with FY 2009 carryover funds included within the FY 2010 amount.

I. Changes in Full Time Equivalent

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology:
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	87	183	200
INCREASES	-	-	-
Annualization of prior year funds	81	-	-
Program Management	15	-	-
Increases	96	-	-
Annualizations of prior year funds	-	17	-
Subtotal, Increases	96	17	-
DECREASES	-	-	-
Year End Actual / Estimated FTEs:	183	200	200
Net Change from prior year base to Budget Year Estimate:	96	17	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Automation Modernization

I. Appropriation Overview

A – Mission Statement for Automation Modernization

To further the U.S. Customs and Border Protection (CBP) mission of securing our nation's borders while facilitating legitimate trade, CBP is in the midst of modernizing its information technology systems. The foremost automation effort is the phased implementation of the Automated Commercial Environment (ACE), which is being developed and deployed in phases and will replace the current trade management system, the Automated Commercial System (ACS). ACE will provide tools and enhance the business processes that are essential to securing U.S. borders from terrorists by providing intelligence required to target illicit goods, while ensuring the efficient processing of legitimate goods. ACE capabilities have been designed to identify potential risks, analyze information prior to arrival of people and cargo, and provide intelligence in easy-to-use formats. As a web-based system, ACE will provide users from government and the trade community with new, more efficient ways of accessing, processing, and sharing trade-related information. CBP is modernizing their infrastructure via COPPS which provides nearly all the CBP IT infrastructure to operate and maintain mission-critical IT systems requisite to securing the borders while facilitating legitimate trade and travel. TECS provides critical border enforcement and port of entry (POE) processing capabilities. TECS Modernization is a multi-year project that will enhance CBP's mission capabilities by developing and deploying a modernized TECS. The Terrorism Prevention Systems Enhancement (TPSE) initiative focuses on enhancing our system infrastructure and the supporting enterprise services that enhance our continuity of operations.

B – Budget Activities:

Automated Commercial Environment/ International Trade Data System (ITDS)

The Automated Commercial Environment (ACE) is a U.S. Customs and Border Protection (CBP) initiative designed to reengineer agency business processes and modernize the IT systems that support them. Initially, ACE was created in response to the Title VI of the North American Free Trade Agreement Implementation Act, commonly referred to as the Modernization Act (Mod Act) of December 1993 to focus on import processing, which would be followed later by other elements of customs modernization, such as enforcement. An overarching goal of the Mod Act was to place a greater responsibility upon the trade community to comply with import requirements.

In 2001, the U.S. Customs Service (now part of CBP) embarked on ACE as its first project in a multi-year modernization effort. The terrorist attacks on September 11, 2001 modified this singular focus. ACE is now being developed to support the CBP mission of

protecting the American public against terrorists and the instruments of terror and enforcing the laws of the United States while fostering our Nation's economic security through the facilitation of lawful international trade and travel.

CBP has also aligned ACE with the DHS mission and strategic goals. ACE will help reduce our Nation's vulnerability to threats without diminishing economic security by providing threat awareness, prevention, and protection for the homeland. Specifically, ACE will provide DHS personnel with more automated tools and information to decide, before a shipment reaches U.S. borders, what cargo should be targeted because it poses a potential risk and what cargo should be expedited because it complies with U.S. laws.

Critical Operations Protection & Processing Support

The Critical Operations Protection and Processing Support (COPPS) PPA provides funds for three initiatives: the COPPS Information Technology (IT) infrastructure initiative; TECS modernization; and Terrorism Prevention Systems Enhancements (TPSE). The COPPS initiative provides nearly all the CBP IT infrastructure to operate and maintain mission-critical IT systems requisite to securing the borders while facilitating legitimate trade and travel. The infrastructure provides the support for maintaining a reliable trade management system that maximizes compliance with the law, moves legitimate cargo efficiently; targets high risk shipments, secures our borders, facilitates movement of international travel and protects the public from contraband. TECS provides critical border enforcement and POE processing capabilities. TECS Modernization is a multi-year project that will enhance CBP's mission capabilities by developing and deploying a modernized TECS. TECS provides critical border enforcement and POE processing capabilities. TECS is a key system for border enforcement and sharing of information about people who are inadmissible or may pose a threat to the security of the United States. The TPSE initiative focuses on enhancing our system infrastructure and the supporting enterprise services that enhance our continuity of operations. TPSE will enable 24x7x365 systems operational availability to meet the future processing and storage/backup requirements for passenger screening while enhancing the existing systems.

C – Budget Request Summary:

U.S. Customs and Border Protection requests \$347,575,000 and 63 positions and 63 FTE for the FY 2011 Automation Modernization account. The request includes an adjustment to base decrease of \$74,870,000.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security U.S. Customs and Border Protection Automation Modernization

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
ACE/ITDS	62	300,386	62	227,960	62	153,090	-	(74,870)	-	-	-	(74,870)
Critical Operations Protection & Processing Support	1	188,370	1	194,485	1	194,485	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	63	488,756	63	422,445	63	347,575	-	(74,870)	-	-	-	(74,870)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	63	488,756	63	422,445	63	347,575	-	(74,870)	-	-	-	(74,870)

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
ACE/ITDS
Program Performance Justification
(Dollars in Thousands)**

PPA: ACE/ITDS

	Perm. Pos	FTE	Amount
2009 Actuals	62	62	300,386
2010 Enacted	62	62	227,960
2011 Adjustments-to-Base	-	-	(74,870)
2011 Current Services	62	62	153,090
2011 Total Request	62	62	153,090
Total Change 2010 to 2011	-	-	(74,870)

The President's Budget requests \$153.090 million for ACE/ITDS. This is a decrease of \$74.870 million from FY 2010. The request includes:

- increase of \$0.041 million for pay annualization and \$0.089 million for pay inflation
- decrease of \$75 million for ACE/ITDS non-recurs

CURRENT SERVICES PROGRAM DESCRIPTION:

The Automated Commercial Environment (ACE) is a U.S. Customs and Border Protection program designed to reengineer agency business processes and modernize the Information Technology systems to support them. ACE was created in response to the Title VI of the North American Free Trade Agreement Implementation Act. An overarching goal of this Act was to place greater responsibility upon the trade community to comply with import requirements.

ACE benefits include:

- Enhanced cargo control business processes for imports and exports
- Reduction of costly labor and paper intensive activities
- Trade data reporting to multiple agencies via a single, secure, Internet based portal

- Enhanced revenue collection capability
- Ability to view and manage trade activity from a national account perspective

To date, ACE has deployed 10 drops of functionality, which are strengthening national security, facilitating the flow of legitimate trade, and providing industry with new tools that save them money and help them comply with U.S. laws. Capabilities deployed to date include: ACE Foundation; Account Creation; Periodic Monthly Statement; three drops of screening and targeting functionality; Enhanced Accounts; Reference Data; e-Manifest Trucks; Initial Entry Summary Types.

Delivered Capabilities – 10 Successful Drops

ACE Foundation, Account Creation, Periodic Monthly Statement, Screening Foundation, Targeting Framework, Advanced Targeting, Enhanced Accounts, Reference Data, e-Manifest Trucks, Initial Entry Summary Types

Anti-terrorism	Trade Facilitation
<ul style="list-style-type: none"> • Targets new information • Links information on all entities • Sends enforcement alerts • Uses business rules-based engine • Allows end users to define and maintain rules • Provides access external intelligence data sources • Increases referrals to secondary through focused targeting 	<ul style="list-style-type: none"> • Enables quicker processing • Fosters efficiency in the primary booth • Provides Trade Partner savings • Expands PGA involvement • Provides Trade access to import data • Increases communication between CBP and Trade Partners

Through the ACE Secure Data Portal, CBP and trade community users now have an account-based view of CBP data, enabling companies to proactively monitor compliance issues and giving CBP a broader, national view of trade activities. Overall, there are more than 16,500 ACE portal accounts.

The Periodic Monthly Statement allows importers and brokers with ACE accounts to centralize payment processing and to utilize Periodic Monthly Statement and payment capabilities through Automated Clearinghouse Credit and Debit. It also provides an initial customer account-based subsidiary ledger interface with the CBP general ledger for financial transaction processing and an expanded account view into account activity logs and exam findings. Other benefits include cash flow benefits through payment of duties and fees on a monthly basis, online tracking of trade activities through customized account views, and access to more than 100 customizable reports that can be used to track compliance and monitor daily operations. On average, 50 percent of duties and fees are paid via Periodic Monthly Statement, representing approximately \$1 billion dollars per month.

The Screening and Targeting functionality is comprised of Targeting Framework and Advanced Targeting. The Screening and Targeting functionality performs automated screening and targeting of inbound and outbound cargo across the borders of the United States and also provides the framework for all U.S. Government agencies involved in security, economic, and safety missions to leverage advanced risk assessment information and automated targeting systems. This framework provides a modernized National Targeting Center analyst workflow, case management, and single sign-on capability system. Through the Targeting Framework, the National Targeting Center has the ability to initiate activities, foster collaboration among analysts, and access past activity logs and external data sources for additional intelligence.

The Advanced Targeting drop extends the risk-management life cycle with increasing analysis capabilities and feedback into targeting effectiveness. This drop combined Screening Foundation and Automated Targeting System targeting capabilities into a single platform that leverages new methods for developing targets while incorporating existing ATS targeting concepts and has allowed a seamless integration of functionality without interruption of services to the users. Advanced Targeting uses targeting performance metrics defined by recorded results and rule-based risk assessments to evaluate targeting approaches and provide recommendations for adjustments.

In September 2007, CBP deployed Entry Summary, Accounts, and Revenue (ESAR): Master Data and Enhanced Accounts (A1) capabilities. These capabilities expanded the number of ACE account types to include virtually every entity doing business with CBP, provided enhanced ACE Secure Data Portal account management features, and laid the foundation for a future integrated, account-based financial and entry summary processing system in ACE.

The e-Manifest: Trucks capability, which includes an automated truck manifest system, expedites information processing and brings the ACE portal interface to CBP officers. This enhanced security and facilitates clearance of trucks entering the country by providing officers with access to shipment, crew, and conveyance data before the truck reaches the border. E-Manifest: Trucks enables targeting of illicit goods that require scrutiny and allows the free flow of legitimate trade. This capability is now operational at all land border Ports of Entry. ACE has reduced truck processing times by 24 percent, enabling officers to dedicate more time to border security activities.

The deployment of initial entry summary processing functionality allows the trade community and CBP to file and process the most common entry summary types via ACE. These entry summaries represent nearly 98 percent of all entries eligible to be filed each year. ACE automates the most commonly used CBP forms and processing entry types. The new ACE entry summary processing capabilities allow ACE Secure Data Portal importer account holders the option to receive and respond to CBP forms electronically through the ACE portal. Electronic responses are stored with associated entry summaries, enabling them to be shared within CBP nationwide. Modernizing the entry summary process enhances uniformity and facilitates compliance for those filing for

entry. Entry summary processing for remaining entry types will be added throughout the next few years.

Other Government agencies are better able to fulfill the mandate set forth under the Security and Accountability for Every Port Act of 2006 which requires agencies with licensing and admissibility requirements to participate in the International Trade Data System (ITDS) access to ACE. ITDS is the mechanism for coordinating intergovernmental involvement with ACE. A total of 46 government agencies are currently participating in the ACE/ITDS initiative. Once fully utilized, ITDS will provide unprecedented interagency coordination and information sharing, ultimately making ACE the “single window” for the collection and dissemination of trade data. This capability reduces Government and private sector costs through the elimination of unnecessary paperwork while enabling electronic processing of trade documentation.

The on-going development of ACE is still a challenging and complex endeavor. Program re-planning efforts have been completed and the priorities for the remainder of the ACE program have been determined. FY 2010 and 2011 will focus on the completion of ACE cargo release functionality and the development of enhanced entry summary processing features. ACE in FY 2011 will enter into an operations and maintenance mode.

Specifically for FY 2010, there are four ACE projects that are planned. They are detailed below:

- E-Manifest: Rail and Sea will provide cargo manifest processing for rail and sea modes of transportation and the creation of a unified, multi-modal environment that will support all modes of transportation. CBP expect full operational capability by the first quarter of FY 2011.
- E-Manifest: Air will provide air cargo into the multi-modal manifest processing environment shared by the rail and sea modes of transportation. Drop M2.1 will result in the rail, sea, and air modes of transportation sharing a common repository and reference files in an environment of enhanced functionality access via the portal. Full operational capability for this release is dependent upon the successful completion of e-Manifest: Rail and Sea Manifest.
- Cargo Release will provide for collection of additional data elements to support participating government agency as well as CBP. Full operational capability for this release is dependent upon the successful completion of e-Manifest: Rail and Sea Manifest.

ESAR: Remaining Entry Summary Types will implement some of the remaining basic entry summary transactions such as post-summary corrections. The ESAR: Remaining Entry Summary Types will also implement document image capture. CBP expects full operational capability by the first quarters of FY 2011.

**Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
Critical Operations Protection & Processing Support
Program Performance Justification**
(Dollars in Thousands)

PPA: COPPS

	Perm. Pos	FTE	Amount
2009 Actuals	1	1	188,370
2010 Enacted	1	1	194,485
2011 Current Services	1	1	194,485
2011 Total Request	1	1	194,485
Total Change 2010 to 2011	-	-	-

The President’s Budget requests \$194.485 million for COPPS. The request reflects the same level as the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The COPPS IT infrastructure program provides nearly all the CBP IT infrastructure to operate and maintain mission-critical IT systems needed to secure the borders while facilitating legitimate trade and travel. The IT infrastructure is the backbone that supports CBP’s systems. These systems allow for a unified border presence and provide for more efficient and effective sharing of information amongst trade and law enforcement agencies. CBP’s IT infrastructure serves a variety of federal, state, local, and international government agencies. These agencies have varying missions and strategic goals, but collectively their purpose is to minimize threats to the American people. The IT systems are vital tools that CBP and other federal agencies use to defend our borders and support ports of entry. The IT infrastructure systems assist CBP officers to identify potential catastrophic threats, including terrorists, weapons of mass destruction and bioterrorism. The systems provide the means by which U.S. criminal and trade laws are enforced and provide the capability to collect tariffs and taxes associated with international trade and commerce.

CBP facilitates trade and the efficient processing of international travelers with multiple types of information technology systems. The technology used by CBP enables CBP to continually improve the selectivity of low-risk cargo, vehicles, and people while expediting the clearance process. The infrastructure provides the support for maintaining a reliable trade management system that maximizes compliance with the law, moves legitimate cargo efficiently, targets high risk shipments, secures our borders, facilitates movement of international travel, and protects the public from contraband.

By keeping the IT infrastructure secure, available, and reliable, CBP greatly improves the ability of CBP employees to make timely decisions and to take appropriate action in protecting our Nation's borders.. CBP's infrastructure requirements continue to grow, both in response to greater DHS requirements and in response to the growth of international trade and immigration. CBP's trade systems receive data from over 12,500 brokers, freight forwarders, and others representing the trade community. Updated technology will allow CBP to keep up with demand, maintain acceptable response times, and migrate away from some of the older more expensive technologies that CBP is currently using.

Funded within the COPPS PPA is TECS Modernization. TECS is a key border enforcement system for CBP and DHS, and plays an essential role in the screening of travelers entering the U.S. and in supporting the screening requirements of other federal agencies. Maintaining TECS functionality is critical to CBP's border enforcement mission. The current TECS system is over 20 years old and uses technology that will be increasingly difficult to support in the future. The multi-year TECS Modernization project will replace the mainframe components of TECS with a sustainable technical architecture including modern databases and graphical user interfaces.

TECS provides critical border enforcement and POE processing capabilities. TECS is a key system for border enforcement and sharing of information about people who are inadmissible or may pose a threat to the security of the United States. CBP is collaborating with Immigration and Customs Enforcement (ICE) in the development of TECS Modernization. TECS is the primary lookout record database for all of DHS. TECS currently:

- Provides subject record "watch list" processing for DHS and other agencies. This includes maintenance of lookout records and vetting services against these records.
- Supports primary and secondary inspections at the POEs.
- Receives and processes passenger manifests from carriers.
- Supports more than 70,000 users from over 20 federal agencies responsible for traveler processing, investigations, case management and intelligence.
- Provides entry/exit data to other systems/agencies.
- Provides a real time interface with Federal Bureau of Investigation's National Criminal Information Center (NCIC) and Integrated Automated Fingerprint Information System (IAFIS) for on line-queries of wants/warrants and criminal history records.
- Provides a real time interface to National Law Enforcement Telecommunications System (NLETS) for on-line queries of driver's licenses, vehicle registration and state wants/warrants from all 50 states and Canada.
- Processes over 2,000,000 transactions daily.
- Supports the case management solution for ICE investigations including functions such as Investigative Case Management, Money Laundering Tracking and Reporting, Telephone Analysis and other functionalities unique to the ICE

Also funded within the COPPS PPA is TPSE. The TPSE initiative was initiated in FY 2008 to enhance critical infrastructure, monitoring capabilities, networking, and computing capabilities to support our worldwide passenger responsibilities such as facilitating electronic travel authorization, pre-clearance of all passengers coming into all POEs, and analyzing passenger data for terrorist and threat analysis. CBP's current infrastructure contains many single points of failure and outdated components that have caused repeat problems at POEs. This initiative is intended to ensure 24/7 systems availability, network redundancy, and monitoring in the Passenger and Targeting areas. The TPSE infrastructure enhancements will be implemented at the CBP National Data Center, the DHS Stennis Data Center, and targeted POEs. TPSE will enable 24x7x365 systems operational availability to meet the future processing and storage/backup requirements for passenger screening while enhancing the existing systems.

Strategic investments such as TPSE will ensure that the critical infrastructure services that enable continuous passenger systems operations are improved to meet the mission demand. These services include enhancing our monitoring capabilities, improving our current data center infrastructure, and enhancing our capability to maintain exact copies from our production facility to our continuity facility.

COPPS PPA FY 2009 accomplishments include:

- Within the TPSE environment, established secure accounts tied to specific users, monitoring environments, and service level agreements reporting systems
 - Installed a 2nd common WAN high speed connection circuit in Stennis using an alternate path which doubled the network capacity; using storage systems and monitoring tools to enhance our ability to maintain exact copies of our data between production and our continuity facility
- Deployed a journaling solution for email and single instance storage
- Renewed the certification and accreditation (C&A) for systems with expiring C&A
- Maintained the percentage of processor capacity used at CBP's goal of 80%
- Supported more than 58,000 CBP users (including CBP and contract staff)
- Completed enterprise-wide CBP Data Reference, Conceptual, Logical and Physical data models
- Ensured TECS was available to end users 99% of the time

COPPS PPA FY 2010 goals include:

- Supporting additional CBP users including new Border Patrol agents
- Maintain 20% Production System Reserve Capacity, providing a buffer for unforecasted growth in user demand for computing capacity, allowing for unusual spikes in demand
- Deploy the baseline image of the latest Microsoft desk operating systems (Windows 7) and continue the application of Federal Desktop Core Computing (FDCC) to those

- Establish a configuration management control technology to manage the CBP desktops
- Update several rooms to Sensitive Compartmented Information Facility (SCIF) standard at the National Data Center Complex to protect sensitive critical operational data
- Complete a transition from legacy model to CBP modernized Help Desk
- Perform a System Test and Evaluations (ST&Es) to evaluate the security posture of the systems
- Improve the quality of 100% of the new Certification and Accreditation packages in Risk Management System (RMS) and Trusted Agent FISMA (TAF), a tool designed to manage the collection and reporting of information relevant to information security practices and controls
- Complete the archiving solution for email and single instance storage
- Within the TPSE environment:
 - Provide resources to advance the programs' technology and human contingency planning
 - Migrate legacy systems to an advanced replicated storage environment
 - Improve email processing functionality
 - Expand the current Web Services capabilities and establish duplication of critical system components, with the intention of increasing reliability, in Stennis
 - Create a duplicate virtual environment for legacy systems to allow continuous uninterrupted service between Stennis and NDC
 - Establish technologies to provide for remote management and automatic failover of systems to enhance continuity capability
 - Increase the network bandwidth duplication to account for newly implemented technologies and ensure mission success between Stennis and NDC
 - Upgrade the current NDC Local Area Network (LAN) to provide additional capacity for systems migrated from legacy hardware environments
 - Establish advanced monitoring and fault detection systems in Stennis
 - Improve remote management systems in Stennis and NDC to improve response time to identify and resolve system deficiencies
 - Eliminate legacy backup technology to improve the current recovery time for non-replicated systems
 - Install the switch network in Stennis to allow these technologies to connect
 - Determine requirements for continuous operations for all Passenger offices
 - Modernize the collection and maintenance of all Passenger lifecycle IT support documentation

COPPS PPA FY 2011 goals include:

- Reduce response time to critical field application fileserver outages by 5%
- Migrate to a new more secure Microsoft operating system (Windows 7)
- Reduce by 17% planned outages due to technology refresh and advancements
- Maintain the processor capacity usage rate of less than an 80%
- Ensure that TECS will be available to end users 98.9% of the time and the network will be available 99.6% of the time.

IV. Program Justification Changes

Not Applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U.S. Customs and Border Protection
Justification of Proposed Changes in Appropriation Name
Appropriation Language**

For expenses for U.S. Customs and Border Protection automated systems, [\$422,445,000,] \$347,575,000, to remain available until expended, of which not less than [\$227,960,000] \$153,090,000 shall be for the development of the Automated Commercial Environment: [*Provided*, That of the total amount made available under this heading, \$194,485,000 may not be obligated for the Automated Commercial Environment program until 30 days after the Committees on Appropriations of the Senate and the House of Representatives receive a report on the results to date and plans for the program from the Department of Homeland Security].

Explanation of Changes

In FY 2011, the ACE modernization development effort will shift to an operations and maintenance mode and, as such, the President's Budget requests the removal of the reporting requirements associated with the ACE development effort.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	63	63	488,756
FY 2010 Enacted	63	63	422,445
Adjustments-to-Base	-	-	-
Increases	-	-	-
FY 2010 Pay Inflation Annualization	-	-	41
FY 2011 Pay Inflation	-	-	89
Total Increases	-	-	130
Decreases	-	-	-
Non-recur Decreases	-	-	(75,000)
Total Decreases	-	-	(75,000)
Total, Adjustments-to-Base	-	-	(74,870)
FY 2011 Current Services	63	63	347,575
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	63	63	347,575
FY 2010 to FY 2011 Total Change	-	-	(74,870)

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	63	63	488,756
FY 2010 Enacted	63	63	422,445
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	130
Decreases	-	-	(75,000)
Total, Adjustments-to-Base	-	-	(74,870)
FY 2011 Current Services	63	63	347,575
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	63	63	347,575
Total Change 2010 to 2011	-	-	(74,870)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
ACE/ITDS	62	62	227,960	62	62	153,090	-	-	(74,870)	-	-	-	-	-	(74,870)
Critical Operations Protection & Processing Support	1	1	194,485	1	1	194,485	-	-	-	-	-	-	-	-	-
Subtotal, Estimates Program Project Activity	63	63	422,445	63	63	347,575	-	-	(74,870)	-	-	-	-	-	(74,870)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	63	63	422,445	63	63	347,575	-	-	(74,870)	-	-	-	-	-	(74,870)

D. Summary of Reimbursable Resources

Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
 Summary of Reimbursable Resources
 (Dollars in Thousands)

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Total Budgetary Resources	-	-	-	-	-	-	-	-	-	-	-	-

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
Total Obligations	-	-	-	-	-	-	-	-	-	-	-	-

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	4,515	6,739	6,843	104
11.3 Other than full-time permanent	-	60	61	1
11.5 Other personnel compensation	13	-	-	-
12.1 Benefits	1,500	1,634	1,659	25
21.0 Travel	521	640	399	(241)
23.1 GSA rent	1	1	1	-
23.3 Communications, utilities, and misc. charges	20,954	21,832	21,288	(544)
25.2 Other services	232,942	249,003	126,992	(122,011)
25.7 Operation and maintenance of equipment	85,245	75,825	69,372	(6,453)
25.8 Other services	1	-	-	-
26.0 Supplies and materials	196	1,883	158	(1,725)
31.0 Equipment	142,868	149,634	120,802	(28,832)
Total, Object Class	488,756	507,251	347,575	(159,676)
Unobligated Balance, start of year	(53,739)	(84,805)	-	84,805
Unobligated Balance, end of year	84,805	-	-	-
Recoveries of Prior Year Obligations	8,488	-	-	-
Total, Adjustments	39,554	(84,805)	-	84,805
Total, Direct Obligations	528,310	422,446	347,575	(74,871)

F. Permanent Positions by Grade

Department of Homeland Security U.S. Customs and Border Protection Automation Modernization Permanent Positions by Grade

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	1	1	1	-
GS-15	11	10	10	-
GS-14	27	22	22	-
GS-13	20	29	29	-
GS-12	1	1	1	-
GS-11	2	-	-	-
GS-9	1	-	-	-
Total Permanent Positions	63	63	63	-
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	63	63	63	-
Full Time Equivalents	63	63	63	-
Headquarters	63	63	63	-
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total, Location	63	63	63	-
Average ES Salary	139,992	165,991	169,311	3,320
Average GS Salary	101,446	117,044	119,385	2,341
Average Grade	14	14	14	-

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
ACE/ITDS
Funding Schedule
(Dollars in Thousands)**

PPA: ACE/ITDS	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	4,515	6,687	6,791	104
11.3 Other than full-time permanent	-	60	61	1
11.5 Other personnel compensation	13	-	-	-
12.1 Benefits	1,500	1,583	1,608	25
21.0 Travel	486	512	363	(149)
23.3 Communications, utilities, and misc. charges	1,173	1,212	875	(337)
25.2 Other services	134,315	129,319	25,217	(104,102)
25.7 Operation and maintenance of equipment	65,061	52,539	48,544	(3,995)
26.0 Supplies and materials	152	1,181	113	(1,068)
31.0 Equipment	93,171	87,366	69,518	(17,848)
Total, Object Class	300,386	280,459	153,090	(127,369)
Total, ACE/ITDS	300,386	280,459	153,090	(127,369)
Full Time Equivalents	62	62	62	-

PPA Mission Statement

ACE will provide tools and enhance the business processes that are essential to securing U.S. borders from terrorists by providing intelligence required to target illicit goods, while ensuring the efficient processing of legitimate goods. ACE capabilities have been designed to identify potential risks, analyze information prior to arrival of people and cargo, and provide intelligence in easy-to-use formats. As a web-based system, ACE will provide users from government and the trade community with new, more efficient ways of accessing, processing, and sharing trade-related information.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	4,515	6,687	6,791	104

Salaries and Benefits includes costs for 62 FTEs. The FY 2011 Request includes an increase of \$41,000 for Pay Annualization and \$89,000 for personnel compensation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	-	60	61	1

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	13	-	-	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	1,500	1,583	1,608	25

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	486	512	363	(149)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. A carryover amount of \$149,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	1,173	1,212	875	(337)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. A carryover amount of \$337,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	134,315	129,319	25,217	(104,102)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Includes an adjustment to base decrease of \$75,000,000 for the ACE program. A carryover amount of \$29,102,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	65,061	52,539	48,544	(3,995)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. A carryover amount of \$3,995,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	152	1,181	113	(1,068)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. A carryover amount of \$1,068,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	93,171	87,366	69,518	(17,848)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. A carryover amount of \$17,849,000 is included in the 2010 Enacted figure.

**Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
Critical Operations Protection & Processing Support
Funding Schedule
(Dollars in Thousands)**

PPA: COPPS	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	52	52	-
12.1 Benefits	-	51	51	-
21.0 Travel	35	128	36	(92)
23.1 GSA rent	1	1	1	-
23.3 Communications, utilities, and misc. charges	19,781	20,620	20,413	(207)
25.2 Other services	98,627	119,684	101,775	(17,909)
25.7 Operation and maintenance of equipment	20,184	23,286	20,828	(2,458)
25.8 Other services	1	-	-	-
26.0 Supplies and materials	44	702	45	(657)
31.0 Equipment	49,697	62,268	51,284	(10,984)
Total, Object Class	188,370	226,792	194,485	(32,307)
Total, COPPS	188,370	226,792	194,485	(32,307)
Full Time Equivalents	1	1	1	-

PPA Mission Statement

The Critical Operations Protection & Processing Support (COPPS) mission is to consolidate all U.S. Customs and Border Protection (CBP) Information Technology (IT) infrastructure requirements together.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	52	52	-

Salaries and Benefits include costs for 1 FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	-	51	51	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	35	128	36	(92)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. A carryover amount of \$92,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	1	1	1	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	19,781	20,620	20,413	(207)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. A carryover amount of \$207,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	98,627	119,684	101,775	(17,909)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. A carryover amount of \$17,909,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	20,184	23,286	20,828	(2,458)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. A carryover amount of \$2,458,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	1	-	-	-

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	44	702	45	(657)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. A carryover amount of \$657,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	49,697	62,268	51,284	(10,984)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. A carryover amount of \$10,984,000 is included in the 2010 Enacted figure.

I. Changes in Full Time Equivalent

**Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	63	63	63
INCREASES	-	-	-
DECREASES	-	-	-
Year End Actual / Estimated FTEs:	63	63	63
Net Change from prior year base to Budget Year Estimate:	-	-	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Facilities Management

I. Appropriation Overview

A – Mission Statement for Facilities Management

CBP is the frontline border security agency within the U.S. Department of Homeland Security (DHS) charged with the mission of preventing terrorists and terrorist weapons from entering the United States while also facilitating the flow of legitimate trade and travel. More than 58,000 CBP employees manage, control, and protect the Nation's borders at and between the official ports of entry (POEs). CBP is responsible for protecting more than 5,000 miles of border with Canada, 1,900 miles of border with Mexico, and 95,000 miles of shoreline. CBP's mission is vitally important to the protection of the American people and the national economy.

The CBP Construction and Facilities Management account provides the facilities and associated infrastructure required to obtain and maintain operational control of the border, a primary factor of CBP's mission to prevent terrorists and terrorist weapons from entering the United States, and to ensure the efficient flow of legitimate trade and travel across the border. This account addresses the requirements for new, modernized, expanded, and sustained facilities to:

- Maximize CBP operational capabilities, efficiencies, and integration;
- Accommodate increasing capacity demands associated with expanded mission focus, personnel growth, increased space requirements for property assets, and changing inspection, detection, and communications technologies;
- Modify and/or correct facilities portfolio and real property program deficiencies; and
- Sustain real property inventory through proactive maintenance.

The success of CBP's mission depends heavily on the health and effectiveness of its physical infrastructure, specifically its real property program and facilities portfolio, that support its operations and administrative support requirements. Adequate facilities and real property are critical to CBP operations in that they provide logistical and operational support to CBP's agents, officers, pilots and other personnel; protect critical assets; supply strategically-located bases to improve mobility; and promote maximum efficiencies on mission-related activities.

CBP's diverse real property portfolio includes, but is not limited to: ports of entry, Border Patrol stations, Border Patrol sector headquarters, traffic checkpoints, forward operating base camps, laboratories, aviation hangars, marine piers/docks, administrative office space, classrooms and other training facilities, maintenance and repair facilities, parking facilities, vaults, firing ranges, intelligence and operations coordination centers, residential housing units, and parcels of land.

All CBP facility efforts are planned, executed, and managed by the Office of Administration, Facilities Management and Engineering (FM&E) Directorate, operating in conjunction with its business partners, service providers, and internal/external stakeholders.

B – Budget Activities:

The CBP Construction and Facilities Management program provides the facilities and associated infrastructure required to effectively meet CBP's dual mission of securing the nation's border while facilitating legitimate travel and trade. It addresses requirements on the northern and southern borders for new and enhanced facilities and related initiatives to fulfill immediate operational needs; accommodate increasing capacity demands associated with new agent, officer, pilot, and asset deployments; provide resources to modify and/or correct facilities and real property program deficiencies; and allow CBP to proactively maintain the real property inventory and facilities portfolio. Resources for the Facilities Construction and Sustainment and Program Oversight and Management (PO&M) are consolidated into the Construction and Facilities Management account to provide CBP maximum flexibility to determine the most appropriate facilities solution required to meet CBP's driving mission needs and employ the most appropriate strategy.

Facilities Construction and Sustainment

CBP primarily employs the following strategies for its real property program to support its driving mission needs and operational priorities: construction, acquisition, leasing, and/or sustainment. Where feasible, CBP attempts to co-locate its facilities solutions within CBP's portfolio or across the other components within DHS.

Facilities Construction and Sustainment activities include, but are not limited to: site and facility planning, environmental activities (including environmental compliance, assessment, surveys, and remediation); acquisition of real property assets including procurement, leasing, and construction; design, architecture, and engineering services; construction and demolition; installation of voice, data, and security infrastructure; installation of equipment and furnishings; project management and oversight services; maintenance, repairs, and operations; and alterations.

This PPA also includes funding to support CBP tunnel remediation. Tunnel remediation is the process whereby cross-border tunnels are physically secured and rendered unusable after discovery. The remediation process includes: initial analyses, environmental services, project oversight and support, obtaining rights of entry, engineering/surveying, filling/plugging, inspection/acceptance, and reporting of associated status.

Program Oversight and Management

The Program Oversight and Management PPA provides for the activities and actions associated with program planning, management, and support activities and resources required to administer the CBP Construction and Facilities Management program.

This includes, but is not limited to, planning initiatives to provide the decision support and communication mechanisms required to respond to emerging operational demands and evolving facility requirements; financial resources to support the administration of the CBP facilities management program (funding for government employees is in the Salaries and Expenses account); and other requirements associated with the management and oversight of the construction and facilities management account.

C – Budget Request Summary:

The U.S. Customs and Border Protection (CBP) requests \$275,740,000 for the FY 2011 Construction and Facilities Management account. This includes a total adjustments-to-base decrease of (\$43,830,000). Additionally, CBP requests the cancellation of \$99,772,000 of prior year, unobligated balance funding.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security U.S. Customs and Border Protection Facilities Management

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Construction	-	399,938	-	-	-	-	-	-	-	-	-	-
Facility Construction and Sustainment	-	-	-	282,557	-	239,357	-	(43,200)	-	-	-	(43,200)
Program Oversight and Management	-	-	-	37,013	-	36,383	-	(630)	-	-	-	(630)
Subtotal, Enacted Appropriations and Budget Estimates	-	399,938	-	319,570	-	275,740	-	(43,830)	-	-	-	(43,830)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	-	399,938	-	319,570	-	275,740	-	(43,830)	-	-	-	(43,830)

Note: FY 2011 funding level does not include \$99.772M rescission of prior year balances

American Recovery and Reinvestment Act (ARRA)	FY 2009		FY 2010		FY 2011		Increase (+) or Decrease (-) For FY 2011					
	Actual		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Facilities Management												
Construction	10	214,584										
Total	10	\$214,584										

* As part of the American Recovery and Reinvestment Act of 2009, CBP received a total of \$420 million for Land Port of Entry Modernization.

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
Construction
Program Performance Justification**
(Dollars in Thousands)

PPA: Construction (Border Patrol)

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	399,938
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	-

In FY 2010, Congress approved the consolidation of all facilities-related funding into a single, consolidated “Construction and Facilities Management” account, with the exception of funding for rent, which was consolidated into the Salaries and Expenses account. As a result, current services funding from the Construction account was transferred to the Facilities Construction and Sustainment and the Program Oversight and Management PPAs in the new Construction and Facilities Management account. The FY 2011 submission builds upon the establishment of these two PPAs and the transfer of this funding.

CBP also requests that a total of \$99.772 million be cancelled from prior year, unobligated funding balances. This reduction will be attained by cancelling or reducing the size of construction and facilities projects that are currently in various stages of planning and execution. Specific project and cost details for the impacted projects are being developed as we continue to assess our portfolio of projects to ensure the most critical requirements are funded. To minimize the impact of the \$99.772 million funding cancellation, CBP is assessing the requirements for the Offices of the Border Patrol, Air and Marine, and Training and Development to ensure our highest priorities are funded to deliver critical facilities and infrastructure necessary to achieve our core missions and critical operational needs. Having the appropriate infrastructure to support CBP operations is critical to strengthening border security, along the northern, southern, and coastal borders.

Unfortunately, impacted facilities projects may include critical facilities projects on the northern and southwest borders for new, replacement, and enhanced facilities required to fulfill immediate operational needs and strengthen national security; accommodate increasing capacity demands associated with new agent, officer, pilot, and asset deployments including over 800 Border Patrol agents and key operational air and marine components required to secure the southwest border; and correct deficiencies within existing facilities and structures. Specifically, these include overcrowded, obsolete, and inefficient Border Patrol stations, sector headquarters, checkpoints, air hangars, and various operational support facilities along the borders and coastal regions of the United States, along with enhanced and advanced training capabilities for the Advanced Training Center in Harpers Ferry, West Virginia.

**Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
Facility Construction and Sustainment
Program Performance Justification**
(Dollars in Thousands)

PPA: Facility Construction and Sustainment

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	-	-	282,557
2011 Adjustments-to-Base	-	-	(43,200)
2011 Current Services	-	-	239,357
2011 Total Request	-	-	239,357
Total Change 2010 to 2011	-	-	(43,200)

CBP requests \$239.4 million for this activity. This is a decrease of \$43.2 million below FY 2010. The request includes:

- a decrease of \$39.7 million to fully non-recur the FY 2010 congressional initiative for the Advanced Training Center at Harpers Ferry; and
- a decrease of \$3.5 million to fully non-recur the FY 2010 congressional initiative for Air and Marine facilities at the El Paso International Airport

CBP depends heavily on the health and effectiveness of its physical infrastructure, specifically the facilities, buildings, structures, and land that support its operations and administrative support requirements. The Facilities Construction and Sustainment PPA provides the facilities and associated infrastructure required to obtain and maintain operational control of the border, a primary factor of CBP's mission to prevent terrorists and terrorist weapons from entering the United States. Specific CBP facility types include, but are not limited to: ports of entry, Border Patrol stations, Border Patrol sector headquarters, traffic checkpoints, forward operating base camps, laboratories, aviation hangars, marine piers/docks, administrative office space, classrooms and other training facilities, maintenance and repair facilities, parking facilities, vaults, firing ranges, intelligence and operations coordination centers, residential housing units, and parcels of land.

Financial resources in the Facilities Construction and Sustainment PPA in FY 2011 will be used for all actions and activities required to sustain and support CBP's real property portfolio, as well as other efforts, such as tunnel remediation.

Significant completed accomplishments in FY 2009 include the delivery of the following facilities and real property program requirements, which were funded with prior year Construction appropriations:

- **Border Patrol Stations (BPS):** Calexico, California; El Paso, Texas; Fort Fairfield, Maine; Ft. Hancock, Texas; Havre, Montana; McAllen, Texas; Rangeley, Maine; Richford, Vermont; Sweetgrass, Montana; Wellton, Arizona; Weslaco, Texas; Willcox, Arizona.
- **Border Patrol Checkpoints:** Uvalde, Texas (Highway 90 East); Truth or Consequences, New Mexico (Interstate 25)
- **Forwarding Operating Bases (FOB):** Deming, New Mexico
- **Other Accomplishments:** Rio Grande Valley (RGV) Asset Forfeiture Building; Border Patrol Facilities Standards Final Sign-off;
- **Interim Marine Unit Facilities:** Marathon, Florida; Port Huron, Michigan; Rochester, New York; Sault Ste. Marie, Michigan; Riviera Beach, Florida.
- **Air Branches:** Detroit, Michigan; Houlton, Maine; and Miami, Florida.
- **Field Operations:** Capital projects in Ysleta, Paso Del Norte, and Del Rio in Texas and Champlain, New York were completed by GSA. CBP also completed the standardization of elements study which provides a component library of port designs for firms to apply to port projects to streamline design and construction processes.

Significant planned accomplishments in FY 2010 include the delivery of the following facilities and real property program requirements:

- **Border Patrol Stations (BPS):** Lordsburg, Sonoita, and Calexico in Arizona.
- **Field Operations:** CBP will begin operations at 3 new ports of entry along the southwest border: San Luis II commercial-only facility in Arizona; and the non-commercial ports of Donna and Anzalduas, Texas. Additionally, GSA will complete large-scale capital improvements at the existing Massena, New York; Warroad, Minnesota; and Jackman, Maine LPOEs.
- **Marine Units:** Permanent facilities in Corpus Christi, Texas; Galveston, Texas; and Houma, Louisiana; Interim facilities in Erie, Pennsylvania and Panama City, Florida.
- **Air & Marine Hangar, Maintenance & Administrative Facilities:** Laredo, Texas; Alpine (Marfa), Texas; Uvalde, Texas; Plattsburg, New York; and Ramey, Puerto Rico.
- **Marine Training Facility:** McAllen, Texas.

Significant planned accomplishments in FY 2011 include the delivery of the following facilities and real property program requirements:

- **Border Patrol Stations (BPS):** Ajo, Arizona.
- **Permanent Marine Units:** Buffalo, New York; Erie, Pennsylvania; Ft. Myers, Florida; Key Largo, Florida; Marathon, Florida; Panama City, Florida; and Port

- **Advanced Training Facility, Harpers Ferry, West Virginia:** Completion of the Welcome/Security Center, Leadership Academy, and Warehouse.

In addition, the American Recovery and Reinvestment Act (ARRA) of 2009 appropriated \$720 million to upgrade land port facilities along the northern and southern borders of the United States. Of the total amount, the ARRA provided \$420 million directly to CBP for the modernization of CBP-owned land ports of entry (LPOEs) (the remaining was appropriated to the U.S. General Services Administration (GSA)).

In FY 2009, CBP awarded 17 design/build contracts for complete port replacement projects at the LPOEs listed below, along with contracts for the partial planning and design of the ‘Program Management Reporting System’ (PMRS), a facilities management tool.

- Antelope Wells, NM
- Frontier, WA
- Scobey, MT
- Walhalla, ND
- Neche, ND
- Noonan, ND
- Antler, ND
- Wild Horse, MT
- Churubusco, NY
- Hansboro, ND
- Pinnacle Road, VT
- Pittsburg, NH
- Carbury, ND
- Westhope, ND
- Morgan, MT
- Whitetail, MT
- Sherwood, ND

In FY 2010, CBP plans to award contracts for 16 additional design/build projects, as well as additional repair and alterations contracts, and to complete the design, testing, and deployment of PMRS.

In FY 2011, CBP plans to complete the construction of the 17 LPOEs awarded in FY 2009 (listed above).

**Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
Program Oversight and Management
Program Performance Justification**
(Dollars in Thousands)

PPA: Program Oversight and Management

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	-	-	37,013
2011 Adjustments-to-Base	-	-	(630)
2011 Current Services	-	-	36,383
2011 Total Request	-	-	36,383
Total Change 2010 to 2011	-	-	(630)

CBP requests \$36.4 million for this activity. This is a decrease of \$630 thousand below FY 2010. The request includes:

- a decrease of \$630 thousand to transfer into the Salaries and Expenses account, Headquarters, Management and Administration PPA, funding for the operational requirements of government personnel who support the construction and facilities management program.

The Program Oversight and Management PPA provides for the program planning, management, and support activities. Examples include: contract management services; programmatic contract support; strategic resource assessments; data and information management solutions; space models; costing; valuation; depreciation methodologies and tools; reconciliation of assets; and other activities associated with the acquisition, management, and sustainment of real property assets and facilities portfolio.

IV. Program Justification Changes

Not Applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

For necessary expenses to plan, acquire, construct, renovate, equip, and maintain buildings and facilities necessary for the administration and enforcement of the laws relating to customs and immigration, [\$319,570,000] \$275,740,000, to remain available until expended.

Of the unobligated balances available under the heading "Construction" appropriated for construction projects in prior year appropriations, \$99,772,000 are hereby permanently cancelled: Provided, That no amounts may be cancelled from amounts that were designated by the Congress as an emergency requirement pursuant to the Concurrent Resolution on the Budget or the Balanced Budget and Emergency Deficit Control Act of 1985, as amended. (Department of Homeland Security Appropriations Act, 2010)

Explanation of Changes:

The CBP Construction and Facilities Management account provides the facilities and associated infrastructure required to obtain and maintain effective control of the border, a primary factor of CBP's mission to prevent terrorists and terrorist weapons from entering the United States, and to ensure the efficient flow of legitimate trade and travel across the border. To enable CBP to provide adequate facilities and sound real property solutions based on driving operational requirements, CBP must have maximum flexibility and greater capability to consistently plan, acquire, finance, manage, and sustain its multifaceted real property program and facilities portfolio to best fulfill the driving mission needs. The ability to plan, acquire, construct, finance, renovate, equip, manage, and sustain allows CBP to provide the best and most appropriate facilities solution available given available resources and operational requirements.

CBP also requests that a total of \$99.772 million be cancelled from prior year, unobligated funding balances. This reduction will be attained by cancelling or reducing the size of construction and facilities projects that are currently in various stages of planning and execution. To minimize the impact of this reduction, CBP is working with the Offices of the Border Patrol, Air and Marine, and Training and Development to ensure our highest priorities are funded to deliver critical facilities and infrastructure necessary to achieve our core missions and critical operational needs. Having the appropriate infrastructure to support CBP operations is critical to strengthening border security along the northern, southern, and coastal borders.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	-	-	399,938
FY 2010 Enacted	-	-	319,570
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Increases	-	-	-
Decreases	-	-	-
Realignment of Funds to HQ M&APPA	-	-	(630)
Fully non-recur FY 2010 Haper's Ferry Congressional Initiative	-	-	(39,700)
Fully non-recur FY 2010 El Paso Facilities Congressional Initiative	-	-	(3,500)
Total Decreases	-	-	(43,830)
Total, Adjustments-to-Base	-	-	(43,830)
FY 2011 Current Services	-	-	275,740
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	-	-	275,740
FY 2010 to FY 2011 Total Change	-	-	(43,830)

Note: FY 2011 funding level does not include \$99.772M rescission of prior year balances

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	-	-	399,938
FY 2010 Enacted	-	-	319,570
Transfers	-	-	-
Total, Transfers	-	-	(630)
Adjustments-to-Base	-	-	-
Decreases	-	-	(43,200)
Total, Adjustments-to-Base	-	-	(43,200)
FY 2011 Current Services	-	-	275,740
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	-	-	275,740
Total Change 2010 to 2011	-	-	(43,830)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Facility Construction and Sustainment	-	-	282,557	-	-	239,357	-	-	(43,200)	-	-	-	-	-	(43,200)
Program Oversight and Management	-	-	37,013	-	-	36,383	-	-	(630)	-	-	-	-	-	(630)
Subtotal, Estimates Program Project Activity	-	-	319,570	-	-	275,740	-	-	(43,830)	-	-	-	-	-	(43,830)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	-	-	319,570	-	-	275,740	-	-	(43,830)	-	-	-	-	-	(43,830)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management**
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	898	795	356	(439)
23.3 Communications, utilities, and misc. charges	167	17,325	9,512	(7,813)
25.2 Other services	11,325	75,729	51,525	(24,204)
25.3 Purchases from Gov't accts.	4,503	225,200	190,653	(34,547)
25.4 O&M of facilities	156,987	-	-	-
25.7 Operation and maintenance of equipment	321	19,332	8,668	(10,664)
26.0 Supplies and materials	162	555	555	-
31.0 Equipment	15,282	128,246	14,471	(113,775)
32.0 Land & structures	210,293	200,000	-	(200,000)
Total, Object Class	399,938	667,182	275,740	(391,442)
Unobligated Balance, start of year	(170,711)	(447,383)	(99,772)	347,611
Unobligated Balance, end of year	447,383	99,772	-	(99,772)
Recoveries of Prior Year Obligations	67,992	-	-	-
Total, Adjustments	344,664	(347,611)	(99,772)	247,839
Total, Direct Obligations	744,602	319,571	175,968	(143,603)

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing
U.S. Customs and Border Protection
Construction and Facilities Management

This in response to the reporting requirements set forth in the Joint Explanatory Statement (H.R. 111-298) accompanying the FY 2010 DHS Appropriations Act (P.L. 111-83).

The Joint Explanatory Statement states:

The conference agreement includes \$402,263,000 for Rent in the Headquarters, Management, and Administration PPA, as proposed by the Senate, instead of in the proposed Facilities Management account, as proposed by the House. The conferees view keeping rental payments within the Salaries and Expenses appropriation as consistent with fully capturing and displaying the budgets of activities funded in that appropriation, in that rental costs are necessarily included in resource allocation decisions for program operations. At the same time, the conferees see value in being able to compare all facility related costs, whether rent, lease, or investment. The conferees therefore direct CBP to submit, with its justification materials accompanying the 2011 budget request, a consolidated presentation of all CBP facilities costs.

The following is a consolidated presentation of all CBP facilities costs, which includes the Rent from the Salaries and Expenses Appropriation and the entire Construction and Facilities Management Appropriation.

Salaries and Expenses Appropriation: Rent PPA

- \$395,594,000

Construction and Facilities Management Appropriation

- \$275,740,000
- CBP Construction and Facilities Management includes:
 - Facilities Construction and Sustainment
 - Program Oversight and Management

PROGRAM	FY 2011 FUNDING REQUEST (\$000)			FUNDING FROM:	
	Current Services Level	New Initiative	Total	Program, Project Activity (PPA)	Appropriation
Rent	\$407,075	(\$11,481)	\$395,594	Rent	Salaries and Expenses
Facilities Construction & Sustainment	\$239,357	\$0	\$239,357	Facilities Construction & Sustainment	Construction and Facilities Management

Program Oversight & Management	\$36,383	\$0	\$36,383	Program Oversight & Management	Construction and Facilities Management
Total Investments			\$671,334		

NAME OF CONSTRUCTION INITIATIVES

1. Project Description, Justification and Scope

The FY 2011 budget submission requests funding for *sustainment* of CBP's real property program and facilities portfolio and associated infrastructure requirements. There is no request for funding for new construction projects.

2. Significant Changes

The FY 2011 budget submission requests funding for *sustainment* of CBP's real property program and facilities portfolio and associated infrastructure requirements. There is no request for funding for new construction projects.

The FY 2011 budget submission includes the transfer of \$630,000 from the Program Oversight and Management PPA to the Salaries and Expenses account, Headquarters Management and Administration PPA. These resources are associated with the operational requirements of the government personnel supporting the construction and facilities management account.

3. Project Schedule

The FY 2011 Budget Submission requests funding for sustainment of existing facilities and infrastructure requirements. There is no request for funding for new construction projects.

4. Schedule of Project Funding (Dollars in Thousands)

Rent						
	Prior	FY 2009	FY 2010	FY 2011	FY 2012	Total
Appropriation		\$0	\$402,263	\$395,594	\$0	\$797,857
Obligation (planned)		\$0	\$402,263	\$395,594	\$0	\$797,857
Expenditure (planned)		\$0	\$402,263	\$395,594	\$0	\$797,857

Facilities Construction and Sustainment						
	Prior	FY 2009	FY 2010	FY 2011	FY 2012	Total
Appropriation		\$0	\$282,557	\$239,357	\$0	\$478,713

Obligation (planned)		\$0	\$234,357	\$215,437	\$0	\$449,794
Expenditure (planned)		\$0	\$117,178	\$135,107	\$0	\$252,285

Program Oversight and Management						
	Prior	FY 2009	FY 2010	FY 2011	FY 2012	Total
Appropriation		\$0	\$37,013	\$36,383	\$0	\$73,396
Obligation (planned)		\$0	\$37,013	\$36,383	\$0	\$73,396
Expenditure (planned)		\$0	\$32,013	\$22,074	\$0	\$54,087

5. Cost Estimate Detail and Changes (Dollars in Thousands)

The FY 2011 budget submission requests funding for *sustainment* of CBP's real property program and facilities portfolio and associated infrastructure requirements. There is no request for funding for new construction projects.

6. Method of Performance

CBP Construction and Facilities Management requirements are executed through the U.S. Army Corps of Engineers (USACE), the General Services Administration, and the CBP Office of Procurement.

Through a Memorandum of Agreement, the USACE provides CBP with consolidated program management services for real estate planning and acquisition, planning and programming, environmental protection, design and cost engineering, construction and warranty enforcement and integrated occupancy services.

For facilities and construction projects, the schedule and funding are tracked within the current CBP accounting system. This system includes modules that store specific information on each asset. That information is automatically linked to key information systems and includes modules that cover all aspects of the assets. The real property profile performance data can be used to produce financial, procurement, and real property indices for measuring the performance of the assets. Projects in Progress are tracked and reported on a monthly basis by Project Managers in the field. The tracking consists of monitoring the project delivery for construction and leasing through industry standards, including tracking each specific project's schedule, scope, and budget.

Across CBP's owned facilities, the general performance indices include:

- Facility Condition - Condition surveys are performed on a periodic basis to ascertain the true condition of the asset. A Strategic Resource Assessment will be the primary means by which this information will be generated in the future.
- Facility Utilization - These indices track the square footage of space and the number of FTE's assigned.
- Operating Costs - These indices track the cleaning / janitorial, maintenance and utility costs at the asset level.
- Mission Dependency - The primary categories include: Mission Critical, Mission Dependent Not Critical, and Non Mission Dependent.
- Energy Consumption - As part of the Operating Costs Indices, energy consumption and conservation measures are tracked separately.
- National Historical Preservation Assets - Real Property Assets that could be eligible for the National Historical Preservation List are tracked.

Within the land ports of entry, CBP applies an additional set of performance indices including:

- Mission and Operations - Factors for the mission and operations criterion measure the facility's compatibility with specific inspection responsibilities. Individual factors address the type of activities performed within the facility and features of the facility necessary for successful inspection services. This criterion contains factors that cause the most significant disruptions to inspection activities and conditions that reflect the significance of the facility's operations.
- Life Safety and Security - The factors for security and life safety measure a facility's ability to protect occupants and visitors and allow law enforcement functions to maintain safe and secure control of the public and detained individuals. The individual factors address compliance with security and life safety standards (features incorporated in the facility to resist assault and allow staff to maintain operations during emergencies) and deficiencies that represent hazards to the occupants. Safety standards include building life safety codes, as well as federal standards developed in response to terrorist attacks or other threats faced by the occupants.
- Space and Site Deficiencies - Space and site deficiencies are related to the functional work environment and the overall facility site. Space deficiencies are determined by applying utilization rates, based on space standards, to existing personnel and functions to calculate the amount of usable space that should be available in an existing facility. In addition, the major facility systems and site and building layouts are evaluated for functionality and expansion potential.

- Personnel and Workload Growth - The personnel and workload growth criterion contains factors related to both current and future personnel, along with current and projected workload categories that generate the need for additional personnel and space at each facility. The points for many of the factors are determined through a national ranking system.

**7. Related Annual Funding Requirements
(Dollars in Thousands)**

Salaries and Expenses Appropriation	FY 2011
	Current Estimate
Rent	\$395,594
Total	\$395,594

Construction & Facilities Management Appropriation	FY 2011
	Current Estimate
Facilities Construction and Sustainment	\$239,357
Program Oversight and Management	\$36,383
Total	\$275,740

8. Budget Allocation to Programs

Program	Allocated Budget (\$000)	
	FY 2010	FY 2011
Rent	\$402,263	\$395,594
Facilities Construction & Sustainment	\$282,557	\$239,357
Program Oversight & Management	\$37,013	\$36,383
Total	\$721,833	\$671,334

9. Compliance with applicable Public Laws, Regulations, Standards and Executive Orders

The Construction and Facilities Management program complies with the IMMIGRATION AND NATIONALITY ACT (INA), Section 235 Inspection by Immigration Officers; Expedited Removal of Inadmissible Arriving Aliens; Referral For Hearing; Section 287 Powers of Immigration Officers and Employees and in the ILLEGAL IMMIGRATION REFORM AND IMMIGRANT RESPONSIBILITY ACT OF 1996 (IIRIRA) - Section 102 Improvement of Barriers at Border, and the Homeland Security Act of 2002.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
Construction
Funding Schedule
(Dollars in Thousands)**

PPA: Construction (Border Patrol)	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	898	-	-	-
23.3 Communications, utilities, and misc. charges	167	-	-	-
25.2 Other services	11,325	-	-	-
25.3 Purchases from Gov't accts.	4,503	-	-	-
25.4 O&M of facilities	156,987	-	-	-
25.7 Operation and maintenance of equipment	321	-	-	-
26.0 Supplies and materials	162	-	-	-
31.0 Equipment	15,282	-	-	-
32.0 Land & structures	210,293	-	-	-
Total, Object Class	399,938	-	-	-
Total, Construction (Border Patrol)	399,938	-	-	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Construction - provides the real property solutions that the U.S. Customs and Border Protection needs to perform its enforcement and trade facilitation mission.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	898	-	-	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. No funding is requested for FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	167	-	-	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. No funding is requested for FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	-	-	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. No funding is requested for FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	11,325	-	-	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under this object class. No funding is requested for FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	4,503	-	-	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. No funding is requested for FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	156,987	-	-	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. No funding is requested for FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	321	-	-	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. No funding is requested for FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	162	-	-	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the four criteria listed above, at the option of the agency. No funding is requested for FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	15,282	-	-	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. No funding is requested for FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	210,293	-	-	-

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. No funding is requested for FY 2011.

**Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
Facility Construction and Sustainment
Funding Schedule
(Dollars in Thousands)**

PPA: Facility Construction and Sustainment	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	-	795	356	(439)
23.3 Communications, utilities, and misc. charges	-	14,164	6,351	(7,813)
25.2 Other services	-	42,736	19,162	(23,574)
25.3 Purchases from Gov't accts.	-	225,200	190,653	(34,547)
25.7 Operation and maintenance of equipment	-	19,332	8,668	(10,664)
31.0 Equipment	-	127,942	14,167	(113,775)
32.0 Land & structures	-	200,000	-	(200,000)
Total, Object Class	-	630,169	239,357	(390,812)
Total, Facility Construction and Sustainment	-	630,169	239,357	(390,812)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Facilities Construction and Sustainment - provides facilities management, acquisition, construction, and sustainment of CBP occupied facilities, and associated infrastructure and services, that the U.S. Customs and Border Protection needs to perform its enforcement and trade facilitation mission.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	-	795	356	(439)

Transportation of things includes all costs associated with the physical move and relocation activities and services of CBP components from one facility to another. This includes physical move of files, furniture, equipment, personnel, etc from one facility to another. The FY 2010 Enacted figure includes \$439,000 of carryover funding.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	-	14,164	6,351	(7,813)

Communications, utilities, and miscellaneous charges include all payments for the rental or lease of construction/building equipment, tools, and vehicles, such as rental of generators, powers tools, forklifts, etc) associated with facilities management, construction, and sustainment. Includes rental or lease of space, docks, hangars, and other structures and payments for standard and overtime utilities, postal services, and other short-term rentals. The FY 2010 Enacted figure includes \$7,813,000 of carryover funding.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	42,736	19,162	(23,574)

Other services include payments for contractual services to conduct feasibility studies, environmental assessments, planning and design services, and other services associated with project administration, oversight, and contractual support for facility projects. The FY 2010 Enacted figure includes \$23,574,000 of carryover funding.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	-	225,200	190,653	(34,547)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. No funding is requested for FY 2011. The FY 2010 Enacted figure includes \$34,547,000 of carryover funding.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	-	-	-	-

Operation and maintenance of facilities include all payments for the operation, maintenance, and sustainment of facilities when done by contract with the private sector or another Federal Government account. Also includes repairs and alterations to facilities and CBP occupied space and housing.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	-	19,332	8,668	(10,664)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Enacted figure includes \$10,664,000 of carryover funding.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	-	127,942	14,167	(113,775)

Equipment includes all costs for the purchases of personal property and other assets of a durable nature or the initial installation of furniture, appliances, and/or equipment when performed under contract. Includes physical security equipment, alarms, voice and data equipment, generators, appliances, and related facility equipment. The FY 2011 request includes a decrease of \$43,200,000 for the FY 2010 non recur of the Harpers Ferry Training Facility for \$39,700,000 and the El Paso Airport Hanger for \$3,500,000. The FY 2010 Enacted figure includes \$70,575,000 of carryover funding.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	-	200,000	-	(200,000)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. Includes construction costs of CBP buildings, structures, and facilities and acquisition of land and structures. The FY 2010 Enacted figure includes \$200,000,000 of carryover funding.

**Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
Program Oversight and Management
Funding Schedule
(Dollars in Thousands)**

PPA: Program Oversight and Management	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications, utilities, and misc. charges	-	3,161	3,161	-
25.2 Other services	-	32,993	32,363	(630)
26.0 Supplies and materials	-	555	555	-
31.0 Equipment	-	304	304	-
Total, Object Class	-	37,013	36,383	(630)
Total, Program Oversight and Management	-	37,013	36,383	(630)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Program Oversight and Management - provides for the programmatic studies, services, initiatives, as well as contract support and services required to support the administration and management of facilities and construction programs, program management oversight, and project management oversight.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	-	3,161	3,161	-

Communications, utilities, and miscellaneous charges include all payments for the rental or lease of construction/building equipment, tools, and vehicles, such as rental of generators, powers tools, forklifts, etc., associated with facilities management, acquisition, construction, and sustainment. Includes rental or lease of space, docks, hangars, and other structures and payments for standard and overtime utilities, postal services, communications services such as voice and data, rental of equipment and technologies, and other short-term rentals.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	32,993	32,363	(630)

Other services include payments for contractual support and services associated with facilities program administration, and project management and oversight. The FY 2011 request includes a transfer of \$630,000 from the Program Oversight and Management account to the Salaries and Expense appropriation, Headquarters Management and Administration PPA, to support non-personnel costs associated with the Facilities Division.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	-	555	555	-

Supplies and construction/building materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the four criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	-	304	304	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in Full Time Equivalent

Not Applicable.

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable.

Department of Homeland Security

U.S. Customs and Border Protection

Air and Marine Interdiction



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Air and Marine Interdiction:

I. Appropriation Overview

A – Mission Statement for Air and Marine Interdiction:

CBP protects the Nation through the coordinated use of integrated air and marine forces to detect, interdict, and prevent acts of terrorism and the unlawful movement of people, illegal drugs, and other contraband toward or across the borders of the United States. The CBP Office of Air and Marine's (OAM's) core competencies include air and marine interdiction, air and marine law enforcement, and air and national border domain security.

OAM has a staff of 1,895 personnel, including pilots and aircrew, air and marine law enforcement officers, operations specialists, logistics and maintenance support personnel, and administrative personnel. In FY 2011, mission critical assets will consist of approximately 280 aircraft (including fixed wing, rotary helicopters, and unmanned aircraft systems), approximately 200 marine vessels, a national air and marine operations center (AMOC), fixed and mobile surveillance equipment, ground vehicles, training facilities, maintenance facilities, aircraft hangars, and marine facilities located along all of the nation's borders and at key interior support locations.

B – Budget Activities:

OAM's Air Strategic Plan was updated in FY 2007 to include marine strategic plans, an expanded plan for Unmanned Aircraft Systems (UASs), a facilities enhancement approach, and updates to the ten-year investments model provided in the baseline plan submission to Congress. OAM's approach to executing the plan can be divided along the three major border security areas of responsibility (AOR) – northern border, southwest border, and southeast/coastal borders. Since FY 2004, five primary air branches and supporting units were established along the northern border. Consideration will be given to establishing secondary or satellite sites to support the concentration of assets needed to meet specific threats as they are identified. Based on the results of operational demonstrations conducted from the joint CBP/Air National Guard (ANG) located in North Dakota in FY 2008, OAM's UAS capabilities to obtain increased intelligence and gain better situational awareness in support of the Secure Border Initiative (SBI) was expanded to North Dakota. Both air and marine operations will expand along the Great Lakes and the northwestern and northeastern maritime approaches to the Nation's borders as additional aircraft, marine vessels, and personnel are deployed. The delivery of new aircraft and additional pilots/air crew will provide increased tactical support to the Border Patrol along the southwest, northern, and southeast coastal borders as the number of agents on the ground increases. The UAS Branch will expand its operations as additional systems are delivered and deployed. Within the southeast/coastal AOR, P-3 aircraft wing operations will increase as assets are delivered from extensive depot-level rework.

Maritime demonstrations of UAS capabilities in the southeast coastal approaches to the U.S. have been conducted and CBP has plans for a permanent UAS Branch along the gulf coast or eastern shore of Florida in FY 2011 or FY 2012. Marine operations in the Gulf of Mexico will be enhanced as new interceptor vessels replace the aging Black Night Interceptors and additional sea-borne radar platforms are acquired. The investments needed to achieve OAM's end state and to support the operational objectives discussed above can be described in four broad categories discussed below.

Aircraft Safety and Service Life Extension

The highest priority remains the P-3 Service Life Extension Program (SLEP) since it rectifies serious flight safety concerns and provides an unmatched capability to interdict bulk drug shipments to Mexico through the source and transit zones. The average age of 49% of OAM aircraft is 33 years, and the aircraft in the P-3 fleet are over 40 years old. The P-3 SLEP began in FY 2006 with the repair of fleet-wide wing stress cracks and the development of the requirements for extending the lives of the 16 P-3 aircraft by 20 years. Two P-3 aircraft will be inducted in the re-wing phase of SLEP in FY 2010, followed by one in FY 2011. This brings the total wing kits procured from FY 2008 thru FY 2010 to 9, with 2 more planned for FY 2011. CBP OAM plans to send 14 of its 16 P-3's through SLEP in total. The remaining 2 platforms will likely be retired without undergoing a SLEP, as CBP plans to introduce a new replacement capability for the P-3 consistent with the results of an assessment of alternatives that should be completed sometime in FY 2011.

Establishment of a Strategic Intelligence, Surveillance, and Interdiction Capability

The UAS program is an equally high priority. This program will support CBP's efforts to maintain priority coverage along the southwest and northern borders and increase effectiveness at the southeast/coastal borders. In FY 2006, CBP established a UAS program that will be the key element of the agency's strategic intelligence, surveillance, and interdiction capability. The total capability will include the P-3 Maritime Patrol Aircraft and the DHC-8/Q200 and Q300 Multi-Role Patrol Aircraft (MPA). The strategic plan currently calls for up to three squadrons of UASs to be deployed along the southwest border, northern border, and southeast/coastal operating area. The end-state objectives for the MPA changed in FY 2007 when the manufacturer closed the DHC-8/Q300 production line in favor of a larger, more commercially viable DHC-8/Q400. OAM concluded that the larger Q400 was not suitable for its missions, and instead focused on the acquisition in early FY 2009 of a smaller, twin-engine, Multi-Role Enforcement Aircraft (MEA) capable of operating effectively over land and water. Additionally, UAS supports Immigration and Customs Enforcement (ICE) investigative efforts, extends cross border operations into the source and transit zones, as well as augments and enhances the crewed air and marine assets. Coincident with enhancements gained through the UAS program, CBP will continue to work on the software and systems of AMOC, using funds provided by Congress in FY 2010.

Air Recapitalization and Modernization

The present air fleet consists of 19 different aircraft types. Currently, seven of ten

aircraft types have exceeded their normal service life expectancy, some by as much as almost two times the industry average. The impact has been an unavoidable loss of operational sorties because of additional maintenance down time due to increased inspections and a shrinking pool of spare parts. To accomplish its border security, anti-drug, and customs and immigration enforcement support missions, CBP requires a more flexible and supportable air fleet. To this end, the air fleet is being standardized, emphasizing the use of multi-mission assets that can be deployed to multiple locations as the threat changes over time. The strategic objective is to reduce the types of aircraft to eight or nine, and to increase the total number of aircraft to a level consistent with operational demands. The total will likely change over time as the nature of the threat changes; therefore, the CBP strategic plan and end-state model will be updated accordingly.

Aged Aircraft Risk Management

CBP must maintain its aging aircraft to keep pace with mission demands. The slow pace of aged aircraft replacement and the prospect for a constrained resource environment require CBP to take additional action to ensure its aged assets can be operated safely. To accomplish this, an aged aircraft investigation will be conducted in FY 2010 to determine how long selected assets, such as the OH-6 helicopters and C-12/C-12M aircraft, will remain operational. The aged aircraft investigation will help determine the operating life limitations of the aircraft types most at risk. Based on the results, a sustainment regimen will be established for each aircraft type that employs additional inspections, shortened maintenance intervals, and additional repairs. Along with the additional inspections and repairs, CBP will revise its maintenance reporting requirements to capture the data needed to identify key indicators of aged aircraft condition that would drive CBP to retire the aircraft from service. In accordance with House Report 111-157, as modified in the joint Conference Report 111-298, CBP provided the Committees a brief on its plans to manage its aging aircraft, details of which are contained in the FY 2010 update to the Strategic Air and Marine Implementation Plan being submitted to the Committees under separate cover.

Marine Recapitalization and Modernization

In FY 2008 and FY 2009, Congress provided funding for 11 new marine units consisting of 197 new marine agents, and 54 new marine vessels, including 26 new Safeboat Interceptors and 7 Interim Coastal Interceptors. A portion of the funding was used to acquire an Advanced Concept Technology Demonstration (ACTD) vessel for a new class of fast coastal interceptors that completed a year of test and evaluation in November 2009. The results of the ACTD effort has enabled CBP to define its requirements for a highly capable replacement for the slower, aging Midnight Express Interceptors currently employed that will be released in a competitive procurement during the first half of FY 2010.

The largest portion of the marine expenditure plan for FY 2010 is allocated for the interceptors and their sensor systems as displayed below. A small amount is also allocated to the purchase of approved riverine vessels.

FY 2010 Planned Marine Vessel Acquisitions

Vessel/Equip Type	Qty	Est Unit Cost	(\$M)
			Total Cost

New Coastal Interceptor	17	0.62	10.6
Interceptor EO/IR Sensors	[10]	0.25	2.5
Riverine Vessels	12	0.083	1.0
New Vessel Initial Outfitting	N/A	0.4	0.4

Total Vessels/Cost Estimate	29		14.5
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Note: Though all of the new Coastal Interceptor vessels will be equipped to accept the new EO/IR sensor, not all of the vessels will need the sensor on all missions. Therefore only 10 units are to be purchased for the first 17 vessels.

The largest change to the investment plan was driven by the transfer of used vessels from the USCG to CBP over the past 2 years. As of this report, the USCG has transferred custody of 55 21-27 foot Safeboat-type vessels that are being refurbished and returned to service with CBP. In general, the vessels were transferred in good-to-excellent condition, some provided with the requisite outboard engines. The transfer of these vessels has enabled CBP to avoid future riverine vessel investments totaling nearly \$9 million (including the amount needed to repair and upgrade the vessels and to provide engines).

C – Budget Request Summary:

CBP requests \$503,251,000 for the FY 2011 Request. The total adjustments-to-base is a decrease of \$14,000,000 to non-recur the FY 2010 Marine Vessels investments of \$8 million and the FY 2010 AMOC investments of \$6 million. The program changes include a total program decrease of \$2,575,000 to:

- Operations and Maintenance for planned Logistics and Maintenance systems upgrades. (\$2,575,000)

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security U.S. Customs and Border Protection Air and Marine Interdiction:

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Operations and maintenance	-	390,487	-	374,217	-	371,642	-	(2,575)	-	(2,575)	-	-
Procurement	-	249,136	-	145,609	-	131,609	-	(14,000)	-	-	-	(14,000)
Subtotal, Enacted Appropriations and Budget Estimates	-	639,623	-	519,826	-	503,251	-	(16,575)	-	(2,575)	-	(14,000)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	-	639,623	-	519,826	-	503,251	-	(16,575)	-	(2,575)	-	(14,000)

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Customs and Border Protection
Air and Marine Interdiction:
Operations and maintenance
Program Performance Justification**
(Dollars in Thousands)

PPA: Operations and maintenance

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	-	-	390,487
2010 Enacted	-	-	374,217
2011 Current Services	-	-	374,217
2011 Program Change	-	-	(2,575)
2011 Total Request	-	-	371,642
Total Change 2010 to 2011	-	-	(2,575)

CBP requests \$371.6 million for this activity. This is a decrease of \$2.6 million from FY 2010 for a program decrease to Logistics and Maintenance Systems upgrades.

CBP secures the borders against terrorists, acts of terrorism, drug smuggling and other illegal activity by operating air and marine branches at strategic locations along the borders. Multi-mission aircraft with advanced sensors and communications equipment provide powerful interdiction and mobility capabilities directly in support of detecting, identifying, and interdicting suspect conveyances, and apprehending suspect terrorists and smugglers. OAM maximizes the capabilities of air and marine assets through a cohesive joint air operations model for centralized command and control and a responsive, integrated control system for decentralized execution.

CBP partners with numerous stakeholders in performing its missions throughout the continental United States and the Western Hemisphere. This includes domestic operations at the borders; source, transit, and arrival zone operations; interior law enforcement support; and support to other agencies. Truly crosscutting within the Department and the Federal government as a whole, the unique capabilities of OAM serve as both a stand-alone entity and as a force multiplier. In fulfilling the mission of CBP to protect the borders, OAM's geographical disposition has shifted from a concentration on the southern border to include all of our Nation's borders. A CBP

priority mission is to continue protecting the American people and critical infrastructure by using an integrated and coordinated air and marine force of over 1,895 personnel, including pilots and air crew, fixed wing aircraft, rotary helicopters, unmanned aircraft systems, marine vessels, a national air and marine operations center, and surveillance equipment, to detect, interdict, and prevent acts of terrorism arising from unlawful movement of people and goods across the borders of the United States.

Significant accomplishments in FY 2009 include:

- OAM continued improvements to aviation maintenance, which will incorporate all legacy assets into a single, more effective nationwide logistics and maintenance support contract.
- OAM has expanded flight hours in response to increasing mission demands from the Border Patrol and ICE.
- OAM has assessed the need for secondary and satellite sites based on the results of operations across the northern border, expanded UAS operations as additional systems are delivered to the southwest border, deployed for test and evaluation to the northern border, and re-outfitted with maritime search radars for test and evaluation in the southeast/coastal area of responsibility.

FY 2010 goals include:

- OAM has taken a clockwise approach with the deployment of its resources and assets. For example, in FY 2006 and FY 2007 CBP saw a rapid redeployment in its resource/asset requirement along the southwest border in support surge in the Office of Border Patrol (OBP) growth and Arizona Border Control Initiative (ABCI), ABCII, and the Secure Border Initiative (SBI). In FY 2008 and FY 2009, CBP redeployed assets (primarily from the southeast coastal) to the northern border to support the establishment of the final two primary air branches in North Dakota and Great Lakes region of Detroit. In FY 2010 and FY 2011, CBP plans to replenish those resources/assets deployed from the southeast/coastal area in earlier years while at the same time continue to fill minor “holes” along the northern border. This approach represents CBP OAM’s deployment end-state that considers the entirety of our Nation’s borders and will best address threats, increased efficiencies and operational effectiveness.
- OAM will continue to support (as possible) expanded flight hours in response to increasing mission demands from OBP and ICE.

FY 2011 goals include:

- In FY 2011, while OAM continues to take into inventory aircraft it has been acquiring since FY 2006, OAM will also continue to maintain older, less supportable aircraft as long as they are safe to fly in order to continue providing a reasonable level of aviation support along all borders.
- With the initiation of the aged aircraft investigation effort in FY 2010, there will be an engineering assessment of the service lives remaining on selected aircraft

**Department of Homeland Security
U.S. Customs and Border Protection
Air and Marine Interdiction:
Procurement
Program Performance Justification
(Dollars in Thousands)**

PPA: Procurement

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	249,136
2010 Enacted	-	-	145,609
2011 Adjustments-to-Base	-	-	(14,000)
2011 Current Services	-	-	131,609
2011 Total Request	-	-	131,609
Total Change 2010 to 2011	-	-	(14,000)

CBP requests \$131.6 million for this activity. This is a decrease of \$14.0 million from FY 2010. The request includes:

- a decrease of \$8.0 million to non-recr FY 2010 Marine Vessels investments
- a decrease of \$6.0 million to non-recr FY 2010 AMOC investments

The CBP Procurement PPA recurs each fiscal year and is used to acquire new aircraft and marine vessels, retire unserviceable assets, upgrade sensors and surveillance capabilities, and support the expansion of mission capabilities along the borders in response to ongoing threat assessments and mission assignments directed by higher authority.

Significant accomplishments in FY 2009 include:

- OAM continued several acquisition efforts including 2 MEA, 1 UAS, 1 MLH A-L Conversion, 1 C-550 Interceptor sensor upgrade, various maritime vessels, and \$5 million towards Wireless Airport Surveillance Platforms (WASP).
- The FY 2008 appropriation included \$47.0 million to continue the P-3 SLEP and extend the service life of CBP's existing aircraft by about 20 years. The FY 2009 appropriation included an additional \$9.0 million for a total funding level of \$56 million for P-3 SLEP. Funds will continue the procurement of the new wing/tail assembly, the wing/tail refurbishment kits for aircraft that do not need new wings/tails, continue the special structural inspections (SSI) and extended special structural inspections (ESSI), and begin the SLEP of the first of the 16 P-3 aircraft in the CBP inventory.

FY 2010 goals include:

- In FY 2010, OAM received an additional \$9.0 million to be used for the P-3 SLEP, for a total funding level of \$65.0 million. These funds will continue the

- OAM plans to ensure adequate radar coverage along the borders by utilizing the joint DOD/DHS Long Range Radar assessments office to monitor FAA progress on maintaining nation-wide primary air search radar capabilities to detect and track non-cooperative targets, by continuing to add Canadian radar feeds to the AMOC capabilities, and by utilizing C-550 Interceptor and the Multi Role Enforcement Aircraft (MEA) to track and/or intercept both conventional and non-conventional aircraft.
- OAM will continue the acquisition of five to six AS-350s (Light Enforcement Helicopters), UAS spare parts and components, and one C550 Sensor Upgrade. A contract for the new class of coastal interceptor vessel should be awarded before the end of the year.
- Guardian MVP - CBP A&M will test the first Maritime configured Predator B aircraft equipped with Raytheon's SeaVue marine radar and enhanced EO/IR optical sensor. Working closely with DoD, CBP will also be leveraging extensive U.S. Navy developments in ocean surveillance and tracking technology to greatly enhance maritime target detection, identification and tracking of surface and semi-submersible targets. To exercise command and control of the new Maritime Predator B aircraft, CBP will also be evaluating and procuring a specifically configured maritime ground control station which exploits all of the new maritime surveillance hardware and software.

FY 2011 planned accomplishments include:

- The FY 2011 budget request includes \$47.7 million for P-3 SLEP. These funds will continue the procurement of the new wing/tail assembly, the wing/tail refurbishment kits for aircraft that do not need new wings/tails, continue the special structural inspections (SSI) and extended special structural inspections (ESSI), and induct an additional P-3 platform into the SLEP program.
- Continue the acquisition of up to eight AS-350 (Light Enforcement Helicopters). By the end of FY 2011, OAM will have acquired 39 of the 50 AS-350's under contract.
- Funding is provided for 1 MQ-9 Maritime Variant (Guardian) Unmanned Aircraft System.
- Funding is provided to convert one UH-60 Medium Lift Helicopter from an A (alpha) to L (lima) model.
- Funding is provided to convert one UH-1 to UH-2 Utility Helicopter
- Funding is provided for P-3 Sensor Upgrades, specifically 3 additional SeaVue maritime radars.
- Funding is also provided for various marine vessels, to include up to 6 additional coastal interceptors and additional riverine vessels.

IV. Program Justification Changes

**Department of Homeland Security
U.S. Customs and Border Protection
Air and Marine Interdiction:
Operations and maintenance
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Reduction to Logistics and Maintenance Systems Upgrades
PPA: Operations and maintenance
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-2575.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Decrease							-	-	(2,575)
Total Request	-	-	-	-	-	-	-	-	(2,575)

Description of Item

CBP requests a reduction of \$2.6 million to Logistics and Management (L&M) Systems upgrades.

Justification

Resources to fund the Logistics and Maintenance Systems upgrades have been reduced to fund the highest priority capabilities to achieve our core missions.

Impact on Performance (Relationship of Decrease to Strategic Goals)

CBP does not anticipate an operational impact to Air and Marine performance; however, this reduction in funding will defer plans to implement the GAO recommended system upgrades to its logistics and maintenance systems.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

For necessary expenses for the operations, maintenance, and procurement of marine vessels, aircraft, unmanned aircraft systems, and other related equipment of the air and marine program, including, operational training and mission-related travel, and rental payments for facilities occupied by the air or marine interdiction and demand reduction programs, the operations of which include the following: the interdiction of narcotics and other goods; the provision of support to Federal, State, and local agencies in the enforcement or administration of laws enforced by the Department of Homeland Security; and at the discretion of the Secretary of Homeland Security, the provision of assistance to Federal, State, and local agencies in other law enforcement and emergency humanitarian efforts, [\$519,826,000] \$503,251,000, to remain available until expended: Provided that, no aircraft or other related equipment, with exception of aircraft that are one of a kind and have been identified as excess to United States Customs and Border Protection requirements and aircraft that have been damaged beyond repair, shall be transferred to any other Federal agency, department, or office outside of the Department of Homeland Security during fiscal year [2010] 2011 without prior notice to the Committees on Appropriations of the Senate and the House of Representatives. (*Department of Homeland Security Appropriations Act, 2010.*)

Explanation of Changes:

No substantive changes.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Air and Marine Interdiction:
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	-	-	639,623
FY 2010 Enacted	-	-	519,826
Adjustments-to-Base	-	-	-
Increases	-	-	-
Decreases	-	-	-
Marine Vessels non-recur	-	-	(8,000)
AMOC non-recur	-	-	(6,000)
Total Decreases	-	-	(14,000)
Total, Adjustments-to-Base	-	-	(14,000)
FY 2011 Current Services	-	-	505,826
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Reduction to Logistics and Maintenance Systems Upgrades	-	-	(2,575)
Total, Program Changes	-	-	(2,575)
FY 2011 Request	-	-	503,251
FY 2010 to FY 2011 Total Change	-	-	(16,575)

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Air and Marine Interdiction:
Summary of Requirements
(Dollars in Thousands)**

		FY 2011													
		Pos.			FTE			Amount							
FY 2009 Actuals		-			-			639,623							
FY 2010 Enacted		-			-			519,826							
Transfers		-			-			-							
Total, Transfers		-			-			-							
Adjustments-to-Base		-			-			-							
Decreases		-			-			(14,000)							
Total, Adjustments-to-Base		-			-			(14,000)							
FY 2011 Current Services		-			-			505,826							
Program Changes		-			-			-							
Total, Program Changes		-			-			(2,575)							
Other Adjustments		-			-			-							
Total, Other Adjustments		-			-			-							
FY 2011 Total Request		-			-			503,251							
Total Change 2010 to 2011		-			-			(16,575)							
Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Operations and maintenance	-	-	374,217	-	-	371,642	-	-	(2,575)	-	-	(2,575)	-	-	-
Procurement	-	-	145,609	-	-	131,609	-	-	(14,000)	-	-	-	-	-	(14,000)
Subtotal, Estimates Program Project Activity	-	-	519,826	-	-	503,251	-	-	(16,575)	-	-	(2,575)	-	-	(14,000)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	-	-	519,826	-	-	503,251	-	-	(16,575)	-	-	(2,575)	-	-	(14,000)

D. Summary of Reimbursable Resources

**Department of Homeland Security
U.S. Customs and Border Protection
Air and Marine Interdiction:
Summary of Reimbursable Resources
(Dollars in Thousands)**

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Department of Energy	-	-	-	-	-	12,171	-	-	56	-	-	(12,115)
Federal Emergency Management Agency	-	-	-	-	-	56	-	-	12,171	-	-	12,115
General Services Administration	-	-	6,988	-	-	773	-	-	773	-	-	-
Total Budgetary Resources	-	-	6,988	-	-	13,000	-	-	13,000	-	-	-

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
Operations and maintenance	-	-	6,988	-	-	13,000	-	-	13,000	-	-	-
Total Obligations	-	-	6,988	-	-	13,000	-	-	13,000	-	-	-

E. Summary of Requirements by Object Class

**Department of Homeland Security
U.S. Customs and Border Protection
Air and Marine Interdiction:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	18,810	24,159	28,000	3,841
22.0 Transportation of things	1,631	2,361	2,245	(116)
23.1 GSA rent	165	-	-	-
23.2 Other rent	9,856	-	-	-
23.3 Communications, utilities, and misc. charges	6,667	8,474	2,751	(5,723)
24.0 Printing	28	7	-	(7)
25.1 Advisory and assistance services	8,397	1,856	-	(1,856)
25.2 Other services	35,828	300,270	275,460	(24,810)
25.3 Purchases from Gov't accts.	67,691	15,450	-	(15,450)
25.4 O&M of facilities	5,860	1,295	-	(1,295)
25.6 Medical care	35	3	-	(3)
25.7 Operation and maintenance of equipment	192,973	42,663	-	(42,663)
26.0 Supplies and materials	117,162	134,120	115,167	(18,953)
31.0 Equipment	174,189	130,548	79,628	(50,920)
32.0 Land & structures	331	32	-	(32)
Total, Object Class	639,623	661,238	503,251	(157,987)
Unobligated Balance, start of year	(182,649)	(141,411)	-	141,411
Unobligated Balance, end of year	141,411	-	-	-
Recoveries of Prior Year Obligations	(58,400)	-	-	-
Total, Adjustments	(99,638)	(141,411)	-	141,411
Total, Direct Obligations	539,985	519,827	503,251	(16,576)

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

INITIATIVE NAME	FY 2011 FUNDING REQUEST (\$000)			FUNDING FROM:	
	Total	In MCL	New Initiative	Budget Activity	Program/s Name
Strategic Air Plan	131,609	131,609	\$0	CBP0002.03	CBP – Strategic Air Plan
	\$0	\$0	\$0		
Total Non- IT investments \$5 million or more	131,609	131,609	\$		
Total Non-IT initiatives under \$5 million	\$0	\$0	\$0		
Total Non-IT Investments	131,609	131,609	\$0		
Total of IT Investments	\$0	\$0	\$0		
Total all IT and Non-IT	131,609	131,609	\$0		

1. Project Description, Justification and Scope

Project Description

In the summer of 2006, CBP A&M developed and submitted to Congress a Strategic Air Plan that defines the end state for the air force based on ongoing threat assessments, mission requirements determined by higher authority, and the evolving requirements of the Secure Border Initiative (SBI). In 2007, this Plan was updated to incorporate Marine vessels and Unmanned Aircraft Systems (UAS). The UAS PPA was formally merged into CBP A&M Procurement PPA in FY 2007.

The Air Plan calls for the air and marine fleets to be standardized, emphasizing the use of multi-mission assets that can be deployed to multiple locations as the threat changes over time. The A&M Procurement PPA recurs each fiscal year and is used to acquire new aircraft and marine vessels, UAS, retire unserviceable assets, upgrade sensors and surveillance capabilities, and support the expansion of mission capabilities along the borders in response to ongoing threat assessments and mission assignments directed by higher authority.

Program Justification

Gain operational control of the borders

Through the coordinated use of integrated air and marine force to detect, interdict and prevent acts of terrorism and the unlawful movement of people, illegal drugs and other contraband toward or across the borders of the United States. Terrain, weather, and distance are significant obstacles along much of the southern, northern, and coastal borders. CBP A&M support acts as a force multiplier, allowing personnel and equipment to be transported efficiently and effectively. This support also provides rapid-response relocation of personnel and equipment, to safeguard people and critical infrastructure from acts of terrorism, natural disasters and other emergencies. The Air Safety and Life Extension Contract support the aircraft that makes it possible for CBP A&M to perform this mission.

2. Significant Changes

The funds requested will enable continued support for program operations through FY 2011.

- **Project Schedule**

	FY 2008	FY 2009	FY 2010	FY 2011
Aircraft Acquired	30	2	6	8
UAS Acquired	1	1	0	1
Vessels Acquired	21	18	29	30

**4. Schedule of Project Funding
(Dollars in Thousands)**

	FY 2009	FY 2010	FY 2011	Total
Appropriation	147,978	145,609	131,609	\$425,196
Obligation (planned)	147,978	145,609	131,609	\$425,196
Expenditure (planned)	147,978	145,609	131,609	\$425,196

**5. Cost Estimate Detail and Changes
(Dollars in Thousands)**

Not Applicable

6. Method of Performance

1. Is there a project (investment) manager assigned to the investment?

Yes

If so, what is his/her name?

Charles Bourquardez

2. Is there a contracting officer assigned to the investment?

Yes

If so, what is his/her name?

Sharon Lim

3. Is there an Integrated Project Team?

Yes

If so, list the skill set represented.

The IPT is comprised of individuals from the Office of CBP Air, Office of Administration, Office of Information and Technology, Technology Systems Program Office (TSPO), Office of Chief Counsel, SBI-PMO, and Office of Border Patrol representing systems acquisition, project management, systems engineering, legal review and test and acceptance.

4. Is there a sponsor/owner for this investment?

Yes

If so, identify the sponsor/process owner by name and title and provide contact information.

Michael C. Kostelnik, Assistant Commissioner, Office of CBP Air & Marine, (202) 344-3950.

Fiscal Year	Strategic Goal(s) Supported	Performance Measure / Type	Explanation or Description	Target or Goal	Actual Performance Results	Performance Metric Improvement
2010	DHS Prevention Goal 2 and Objective 2.1 Secure our Borders Against Terrorists, Means of Terrorism, Illegal Drugs, and other Illegal Activity	Provide Strategic Air Coverage Long Term/ Output	This measure shows the progress made toward expanding strategic air surveillance coverage along the borders and approaches to the borders of the U.S. by the end of the decade. The measure is the percent of border miles at risk that is under surveillance by CBP patrol-type aircraft (including unmanned aircraft systems). Measuring surveillance is an evolving metric. In FY 2003 and FY 2004 metrics were based on the measurement of 7200 P-3 flight hours provided in support of drug enforcement. In FY 2005, the UAV was	2003 – 2400 2004 – 2400 2005 – 7200 *2006 – 7200 2007 – 60% (of border at risk) 2008 – 70% 2009 – 80% 2010 – 90%	2003 – 4700 2004 – 6700 2005 – 7500 2006 – 55%	Effective FY08 the measure will be represented by the miles of at risk borders under strategic air surveillance in response to the anti-terrorism mission.

			introduced and added to these total hours.			
2010	DHS Prevention Goal 2 and Objective 2.1 Secure our Borders Against Terrorists, Means of Terrorism, Illegal Drugs, and other Illegal Activity	Extend the Zone of Security Beyond the Nation's Physical Boundaries Long Term/ Output	This measure monitors A&M efforts in reducing, with the intent of ultimately denying, the use of border air space for acts of terrorism or smuggling using intelligence and threat assessments. The number of Targets of Interest (TOI) has been reduced over time as strategic surveillance and tactical responses by CBP interceptors and patrols, work with the Border Patrol on the ground, to deter the use of air routes into the U.S. A&M continues to gather and analyze intelligence on past and current threat	2003 – 20 2004 – 11 2005 – 10 2006 – 10 2007 – 10 2008 – 10	2003 – 20 2004 – 11 2005 – 10 2006 – 13	N/A

			<p>patterns to forecast and disseminate information about potential and emerging threats. To highlight the effectiveness of these practices, commencing in the 1970's, there were over 7,000 known Targets Of Interests (TOI) violating the southwestern border airspace. This number was reduced to approximately 150 in the mid-1980's and further reduced to 10 in 2005. The targeted goal for this measure is to maintain this low level of border incursions at a minimum and reduce it if possible, until there are no border incursions.</p>			
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*In FY 2006 Target/Goal methodology changed.

• **Related Annual Funding Requirements
(Dollars in Thousands)**

	FY 2011	
	Current Estimate	Previous Estimate
Procurement	\$131,609	\$145,609

8. Budget Allocation to Programs

Program	Allocated Budget (\$ thousands)	
	FY 2010	FY 2011
Procurement	\$145,609	\$131,609

9. Compliance with applicable Public Laws, Regulations, Standards and Executive Orders

- 40 CFR (all parts) – Code of Federal Regulations, Protection of the Environment (latest version)
- Executive Order 12144 – Environmental Effects Abroad of Major Federal Actions
- Executive Order 13148 – Greening of the Government Through Leadership in Environmental Management

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
U.S. Customs and Border Protection
Air and Marine Interdiction:
Operations and maintenance
Funding Schedule
(Dollars in Thousands)**

PPA: Operations and maintenance	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	18,692	21,818	28,000	6,182
22.0 Transportation of things	1,572	2,158	2,245	87
23.1 GSA rent	165	-	-	-
23.2 Other rent	9,522	-	-	-
23.3 Communications, utilities, and misc. charges	6,570	7,644	2,751	(4,893)
24.0 Printing	5	3	-	(3)
25.1 Advisory and assistance services	4,568	811	-	(811)
25.2 Other services	31,804	243,517	223,179	(20,338)
25.3 Purchases from Gov't accts.	61,155	7,025	-	(7,025)
25.4 O&M of facilities	3,907	566	-	(566)
25.6 Medical care	35	3	-	(3)
25.7 Operation and maintenance of equipment	151,657	18,646	-	(18,646)
26.0 Supplies and materials	94,393	111,538	107,167	(4,371)
31.0 Equipment	6,111	22,261	8,300	(13,961)
32.0 Land & structures	331	32	-	(32)
Total, Object Class	390,487	436,022	371,642	(64,380)
Total, Operations and maintenance	390,487	436,022	371,642	(64,380)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Office of Air & Marine (OAM) is responsible for the protection of the borders of the United States. OAM identifies, deters, interdicts, and investigates acts of terrorism and smuggling arising from unlawful movement of people and goods into and out of the United States with an integrated and coordinated air and marine force. OAM has historically conducted missions along the southern borders of the United States, Mexico, South America and the Caribbean. Since September 11, 2001, OAM has established a presence along the northern border. OAM has a staff of over 1,895 pilots, law enforcement officers, operational support, and administrative positions. Mission critical assets consist of aircraft (including fixed wing and rotary helicopters), marine vessels, P-3 surveillance aircraft, surveillance equipment, maintenance facilities and hangars. With the transfer of the Unmanned Aircraft Vehicles (UAS) and Border Patrol assets, U. S. Customs and Border Protection (CBP) has been able to achieve increased effectiveness and economies of scale in the operation, procurement and maintenance of CBP's assets.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	18,692	21,818	28,000	6,182

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel

expenses in accordance with Federal travel regulations. The FY 2011 Request includes increases of \$8,000 in object class realignment. A carryover amount of \$1,818,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	1,572	2,158	2,245	87

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 Request includes an increase of \$245,000 in object class realignment. A carryover amount of \$158,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	165	-	-	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. In FY 2010 all obligations for GSA Rent were transferred to create a consolidated Rent account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	9,522	-	-	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. In FY 2010 all obligations for GSA Rent were transferred to create a consolidated Rent account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	6,570	7,644	2,751	(4,893)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request includes a reduction of \$4,249,000 for object realignment to better address the needs of the program. A carryover amount of \$644,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	5	3	-	(3)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. A carryover amount of \$3,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	4,568	811	-	(811)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. A carryover amount of \$811,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	31,804	243,517	223,179	(20,338)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes a reduction of \$20,338,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	61,155	7,025	-	(7,025)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. A carryover amount of \$7,025,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	3,907	566	-	(566)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. A carryover amount of \$566,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	35	3	-	(3)

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. A carryover amount of \$3,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	151,657	18,646	-	(18,646)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. A carryover amount of \$18,646,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	94,393	111,538	107,167	(4,371)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request includes an object class realignment of \$6,950,000. A carryover amount of \$11,321,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	6,111	22,261	8,300	(13,961)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request includes an increase of \$3,300,000 in object class realignment. A carryover amount of \$17,261,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	331	32	-	(32)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. A carryover amount of \$32,000 is included in the 2010 Enacted figure.

**Department of Homeland Security
U.S. Customs and Border Protection
Air and Marine Interdiction:
Procurement
Funding Schedule
(Dollars in Thousands)**

PPA: Procurement	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	118	2,341	-	(2,341)
22.0 Transportation of things	59	203	-	(203)
23.2 Other rent	334	-	-	-
23.3 Communications, utilities, and misc. charges	97	830	-	(830)
24.0 Printing	23	4	-	(4)
25.1 Advisory and assistance services	3,829	1,045	-	(1,045)
25.2 Other services	4,024	56,753	52,281	(4,472)
25.3 Purchases from Gov't acct.	6,536	8,425	-	(8,425)
25.4 O&M of facilities	1,953	729	-	(729)
25.7 Operation and maintenance of equipment	41,316	24,017	-	(24,017)
26.0 Supplies and materials	22,769	22,582	8,000	(14,582)
31.0 Equipment	168,078	108,287	71,328	(36,959)
Total, Object Class	249,136	225,216	131,609	(93,607)
Total, Procurement	249,136	225,216	131,609	(93,607)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Office of Air & Marine (OAM) is responsible for the protection of the borders of the United States. OAM identifies, deters, interdicts, and investigates acts of terrorism and smuggling arising from unlawful movement of people and goods into and out of the United States with an integrated and coordinated air and marine force. OAM has historically conducted missions along the southern borders of the United States, Mexico, South America and the Caribbean. Since September 11, 2001, OAM has established a presence along the northern border. OAM has a staff of over 1,895 pilots, law enforcement officers, operational support, and administrative positions. Mission critical assets consist of aircraft (including fixed wing and rotary helicopters), marine vessels, P-3 surveillance aircraft, surveillance equipment, maintenance facilities and hangers. With the transfer of the Unmanned Aircraft Vehicles (UAS) and Border Patrol assets, U. S. Customs and Border Protection (CBP) has been able to achieve increased effectiveness and economies of scale in the operation, procurement and maintenance of CBP's assets.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	118	2,341	-	(2,341)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. A carryover amount of \$2,341,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	59	203	-	(203)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. A carryover amount of \$203,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	334	-	-	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures. In FY 2010 all obligations for GSA Rent were transferred to create a consolidated Rent account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	97	830	-	(830)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. A carryover amount of \$830,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	23	4	-	(4)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. A carryover amount of \$4,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	3,829	1,045	-	(1,045)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. A carryover amount of \$1,045,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	4,024	56,753	52,281	(4,472)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. A carryover amount of \$4,472,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	6,536	8,425	-	(8,425)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. A carryover amount of \$8,425,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	1,953	729	-	(729)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. A carryover amount of \$729,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	41,316	24,017	-	(24,017)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. A carryover amount of \$24,017,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	22,769	22,582	8,000	(14,582)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. A carryover amount of \$14,582,000 is included in the 2010 Enacted figure.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	168,078	108,287	71,328	(36,959)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes a reduction of \$8,000,000 for non-recurring of marine vessels and \$6,000,000 for AMOC. A carryover amount of \$22,959,000 is included in the 2010 Enacted figure.

I. Changes in Full Time Equivalent

**Department of Homeland Security
U.S. Customs and Border Protection
Air and Marine Interdiction:
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	-	-	-
INCREASES	-	-	-
DECREASES	-	-	-
Year End Actual / Estimated FTEs:	-	-	-
Net Change from prior year base to Budget Year Estimate:	-	-	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security
U.S. Customs and Border Protection
COBRA passenger inspection fee



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

COBRA passenger inspection fee

I. Appropriation Overview

A – Mission Statement for COBRA passenger inspection fee

The Consolidated Omnibus Budget Reconciliation Act of 1985 (P.L. 99-272; COBRA) created a series of user fees to recover certain costs incurred by Customs and Border Protection (CBP). Public Law 99-272, codified as 19 U.S.C. 58c (a)(1-8), established processing fees for air and sea passengers, commercial trucks, railroad cars, private aircraft and vessels, commercial vessels, dutiable mail packages, broker permits, barges and bulk carriers from Canada and Mexico, cruise vessel passengers, and ferry vessel passengers.

Collections from COBRA user fees are made available through permanent/indefinite appropriation created by the user fee statute. The fees are deposited in the Customs User Fee Account (No Year) at the U.S. Treasury. Excess collections, after reimbursements for inspectional overtime and preclearance costs are available without fiscal year limitation.

The COBRA statute mandates that the fee collections be used to pay for (in the order listed):

- All inspectional overtime
- Premium Pay
- Civil Service Retirement and Disability Fund (Agency Contribution)
- Excess Preclearance
- Foreign Language Proficiency Awards
- Enhanced Equipment and Support

The Trade Act 2002 (P.L. 107-210) section 337, codified as 19 USC 58c (b)(9)(A) (ii) and (b) (9)(B), authorized the establishment of the Express Consignment Courier Facilities (ECCF) fee to reimburse CBP for the processing costs incurred at those facilities. The original fee was set at 66 cents per individual airway bill or bill of lading. The Act also stipulated that the fee could be increased to a maximum of \$1.00 per individual airway bill or bill of lading. In fact, the ECCF fee increased to \$1.00 effective July 2008. Congress also mandated that 50 percent of the ECCF collection be transferred to Treasury's General Fund.

Since collections from the ECCF are deposited in the Customs User Fee Account, for budgetary purposes, they are reported as part of the COBRA User Fees.

B – Budget Activities:

Not Applicable.

C – Budget Request Summary:

Collections for COBRA user fees and the ECCF are estimated at \$390,974,058 in FY 2011. COBRA and ECCF collections are projected to support 1,683 FTEs in FY 2011.

CBP projected FY 2011 collections by applying the air passenger volume growth rate of 4.6 percent, as forecasted by Federal Aviation Administration (FAA). Since historical revenue trends show that fluctuations in collections from the ECCF charge are correlated with collections from air passenger fees, CBP applied the same anticipated growth rate to project revenues from this fee.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U.S. Customs and Border Protection
COBRA passenger inspection fee
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
COBRA passenger inspection fee	1,538	406,127	1,538	373,780	1,683	390,974	145	17,194	-	-	145	17,194
Subtotal, Enacted Appropriations and Budget Estimates	1,538	406,127	1,538	373,780	1,683	390,974	145	17,194	-	-	145	17,194
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	1,538	406,127	1,538	373,780	1,683	390,974	145	17,194	-	-	145	17,194

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Customs and Border Protection
COBRA passenger inspection fee
Program Performance Justification**
(Dollars in Thousands)

PPA: COBRA passenger inspection fee

	Perm. Pos	FTE	Amount
2009 Actuals	1,538	1,538	406,127
2010 Enacted	1,538	1,538	373,780
2011 Adjustments-to-Base	145	145	17,194
2011 Current Services	1,683	1,683	390,974
2011 Total Request	1,683	1,683	390,974
Total Change 2010 to 2011	145	145	17,194

The components of the COBRA User Fees account are: international air and sea passenger, commercial trucks, loaded/partially loaded rail cars, commercial vessels, private aircraft and vessels, dutiable mail, customs broker permits, barges/bulk carriers, cruise vessel passenger fees and express consignment carrier fees. Revenues from these charges will support CBP's inspection functions in meeting Strategic Goals number 1, 3, and 4. These goals are Preventing Terrorism at Ports of Entry, Unifying as One Border Agency, and Facilitating Legitimate Trade and Travel.

IV. Program Justification Changes

Not Applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
COBRA passenger inspection fee
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	1,538	1,538	406,127
FY 2010 Enacted	1,538	1,538	373,780
Adjustments-to-Base	-	-	-
Increases	-	-	-
Technical Adjustment	145	145	17,194
Total Increases	145	145	17,194
Decreases	-	-	-
Total, Adjustments-to-Base	145	145	17,194
FY 2011 Current Services	1,683	1,683	390,974
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	1,683	1,683	390,974
FY 2010 to FY 2011 Total Change	145	145	17,194

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
COBRA passenger inspection fee
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	1,538	1,538	406,127
FY 2010 Enacted	1,538	1,538	373,780
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	145	145	17,194
Total, Adjustments-to-Base	145	145	17,194
FY 2011 Current Services	1,683	1,683	390,974
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	1,683	1,683	390,974
Total Change 2010 to 2011	145	145	17,194

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
COBRA passenger inspection fee	1,538	1,538	373,780	1,683	1,683	390,974	145	145	17,194	-	-	-	145	145	17,194
Subtotal, Estimates Program Project Activity	1,538	1,538	373,780	1,683	1,683	390,974	145	145	17,194	-	-	-	145	145	17,194
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	1,538	1,538	373,780	1,683	1,683	390,974	145	145	17,194	-	-	-	145	145	17,194

D. Summary of Reimbursable Resources

Not Applicable.

E. Summary of Requirements by Object Class

**Department of Homeland Security
U.S. Customs and Border Protection
COBRA passenger inspection fee
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	126,979	90,932	86,622	(4,310)
11.5 Other personnel compensation	178,556	215,559	205,342	(10,217)
12.1 Benefits	68,897	74,820	71,274	(3,546)
21.0 Travel	780	-	-	-
23.1 GSA rent	10,116	-	-	-
23.3 Communications, utilities, and misc. charges	-	9,040	8,612	(428)
24.0 Printing	173	116	111	(5)
25.2 Other services	20,134	18,391	17,519	(872)
25.3 Purchases from Gov't accts.	246	-	-	-
26.0 Supplies and materials	42	508	483	(25)
31.0 Equipment	204	1,062	1,011	(51)
Total, Object Class	406,127	410,428	390,974	(19,454)
Unobligated Balance, start of year	-	(36,648)	-	36,648
Unobligated Balance, end of year	36,648	-	-	-
Total, Adjustments	36,648	(36,648)	-	36,648
Total, Direct Obligations	442,775	373,780	390,974	17,194

F. Permanent Positions by Grade

Activities funded by COBRA User Fees are performed by U.S. Customs and Border Protection officers as part of their normal duties.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
U.S. Customs and Border Protection
COBRA passenger inspection fee
Funding Schedule
(Dollars in Thousands)**

PPA: COBRA passenger inspection fee	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	126,979	90,932	86,622	(4,310)
11.5 Other personnel compensation	178,556	215,559	205,342	(10,217)
12.1 Benefits	68,897	74,820	71,274	(3,546)
21.0 Travel	780	-	-	-
23.1 GSA rent	10,116	-	-	-
23.3 Communications, utilities, and misc. charges	-	9,040	8,612	(428)
24.0 Printing	173	116	111	(5)
25.2 Other services	20,134	18,391	17,519	(872)
25.3 Purchases from Gov't accts.	246	-	-	-
26.0 Supplies and materials	42	508	483	(25)
31.0 Equipment	204	1,062	1,011	(51)
Total, Object Class	406,127	410,428	390,974	(19,454)
Unobligated Balance, start of year	-	(36,648)	-	36,648
Unobligated Balance, end of year	36,648	-	-	-
Total, Adjustments	36,648	(36,648)	-	36,648
Total, COBRA passenger inspection fee	442,775	373,780	390,974	17,194
Full Time Equivalents	1,538	1,538	1,683	145

PPA Mission Statement

Customs and Border Protection user fees are authorized under Title 19 U.S.C. 58c, fees for certain customs services. The fees were created by the Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA). COBRA fees are made available through permanent/indefinite appropriation created by the user fee statute. CBP collects customs inspection fees to cover the cost of providing customs inspections of commercial operations, including, but not limited to, all costs associated with commercial passenger, vessel, vehicle, aircraft, and cargo processing.

The fees are deposited in the Customs and Border Protection User Fee Account (No Year) at the U.S. Treasury. The excess of collections over inspectional overtime and preclearance costs are available without fiscal year limitation, except that \$30 million of such excess remains as a contingency for use in any year in which receipts are insufficient to cover the costs of providing the services described in the statute.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	126,979	90,932	86,622	(4,310)

Salaries and Benefits include costs for 1,683 FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	178,556	215,559	205,342	(10,217)

See above description.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	68,897	74,820	71,274	(3,546)

See above description.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	780	-	-	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal Travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	10,116	-	-	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	-	9,040	8,612	(428)

Communication, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	173	116	111	(5)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	20,134	18,391	17,519	(872)

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	246	-	-	-

Purchases from Government Accounts include costs for purchases from Federal Government agencies or accounts that are not otherwise classified.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	42	508	483	(25)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	204	1,062	1,011	(51)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in Full Time Equivalent

Not Applicable.

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable.

Department of Homeland Security
U.S. Customs and Border Protection
Immigration inspection user fee



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Immigration inspection user fee

I. Appropriation Overview

A – Mission Statement for Immigration inspection user fee

The Department of Justice Appropriation Act of 1987 (P.L. 99-591) authorized the collection of user fees for International Arrivals of air and sea passengers. This law codified as 8 U.S.C. 1356(h) established the air and sea passenger fees to generate revenues that would reimburse “the appropriation for expenses incurred by the Attorney General in providing immigration inspection and pre-inspection services for commercial aircraft or vessels”.

After the creation of the Department of Homeland Security (DHS), most of the immigration inspection functions were transferred to CBP. However, the detention and removal of inadmissible aliens and other activities related to investigations funded by Immigration Inspection User Fees (IUF) were transferred to the U.S. Immigration and Customs Enforcement (ICE). As a result, a Memorandum of Agreement (MOA) was established in 2004 between CBP and ICE to determine the allocation of fee collection between the two DHS’ components.

B – Budget Activities:

Not Applicable

C – Budget Request Summary:

Customs and Border Protection’s (CBP) share of the IUF collections for FY 2011 is estimated at \$525,442,746. CBP will support 4,311 FTEs with its share of IUF collections. CBP projected FY 2011 collections by applying the air passenger volume growth rate of 4.6 percent, as forecasted by Federal Aviation Administration (FAA).

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection
Immigration inspection user fee**

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Immigration inspection user fee	4,777	542,082	4,921	502,335	4,311	525,443	(610)	23,108	-	-	(610)	23,108
Subtotal, Enacted Appropriations and Budget Estimates	4,777	542,082	4,921	502,335	4,311	525,443	(610)	23,108	-	-	(610)	23,108
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	4,777	542,082	4,921	502,335	4,311	525,443	(610)	23,108	-	-	(610)	23,108

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Customs and Border Protection
Immigration inspection user fee
Program Performance Justification
(Dollars in Thousands)

PPA: Immigration inspection user fee

	Perm. Pos	FTE	Amount
2009 Actuals	4,777	4,777	542,082
2010 Enacted	4,921	4,921	502,335
2011 Adjustments-to-Base	(610)	(610)	23,108
2011 Current Services	4,311	4,311	525,443
2011 Total Request	4,311	4,311	525,443
Total Change 2010 to 2011	(610)	(610)	23,108

As established in a Memorandum of Agreement between CBP and ICE, funds from the Immigration Inspection User Fee account are used by CBP (82.63%) and ICE (17.37%) to recover the costs of immigration inspection services and detention and removal of inadmissible aliens. At air and sea ports of entry specifically, the fees cover the costs of immigration personnel, the maintenance and updating of systems to track criminal and illegal aliens in areas with high apprehensions, and the repair and maintenance of equipment. Revenues from these charges will support CBP's inspection functions in meeting Strategic Goals number 1, 3, and 4. These goals are Preventing Terrorism at Ports of Entry, Unifying as One Border Agency, and Facilitating Legitimate Trade and Travel.

IV. Program Justification Changes

Not Applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Immigration inspection user fee
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	4,777	4,777	542,082
FY 2010 Enacted	4,921	4,921	502,335
Adjustments-to-Base	-	-	-
Increases	-	-	-
Technical Adjustment	-	-	23,108
Total Increases	-	-	23,108
Decreases	-	-	-
Technical Adjustment	(610)	(610)	-
Total Decreases	(610)	(610)	-
Total, Adjustments-to-Base	(610)	(610)	23,108
FY 2011 Current Services	4,311	4,311	525,443
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	4,311	4,311	525,443
FY 2010 to FY 2011 Total Change	(610)	(610)	23,108

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Immigration inspection user fee
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	4,777	4,777	542,082
FY 2010 Enacted	4,921	4,921	502,335
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	23,108
Decreases	(610)	(610)	-
Total, Adjustments-to-Base	(610)	(610)	23,108
FY 2011 Current Services	4,311	4,311	525,443
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	4,311	4,311	525,443
Total Change 2010 to 2011	(610)	(610)	23,108

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Immigration inspection user fee	4,921	4,921	502,335	4,311	4,311	525,443	(610)	(610)	23,108	-	-	-	(610)	(610)	23,108
Subtotal, Estimates Program Project Activity	4,921	4,921	502,335	4,311	4,311	525,443	(610)	(610)	23,108	-	-	-	(610)	(610)	23,108
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	4,921	4,921	502,335	4,311	4,311	525,443	(610)	(610)	23,108	-	-	-	(610)	(610)	23,108

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Immigration inspection user fee
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	308,856	354,276	317,466	(36,810)
11.3 Other than full-time permanent	1,812	-	-	-
11.5 Other personnel compensation	93,408	101,817	91,237	(10,580)
12.1 Benefits	65,802	125,157	112,153	(13,004)
21.0 Travel	8,845	101	91	(10)
22.0 Transportation of things	20	-	-	-
23.1 GSA rent	14,081	325	291	(34)
23.2 Other rent	150	-	-	-
23.3 Communications, utilities, and misc. charges	4,387	-	-	-
24.0 Printing	564	76	68	(8)
25.2 Other services	22,462	3,844	3,444	(400)
25.3 Purchases from Gov't accts.	3,195	-	-	-
25.4 O&M of facilities	106	-	-	-
25.6 Medical care	2,854	-	-	-
25.7 Operation and maintenance of equipment	3,228	-	-	-
26.0 Supplies and materials	4,234	158	141	(17)
31.0 Equipment	7,941	616	552	(64)
42.0 Insurance Claims and Indemnity	137	-	-	-
Total, Object Class	542,082	586,370	525,443	(60,927)
Unobligated Balance, start of year	-	(84,035)	-	84,035
Unobligated Balance, end of year	84,035	-	-	-
Total, Adjustments	84,035	(84,035)	-	84,035
Total, Direct Obligations	626,117	502,335	525,443	23,108

F. Permanent Positions by Grade

Activities funded by Immigration User Fees are performed by U.S. Customs and Border Protection officers as part of their normal duties.

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications (object class summary)

Department of Homeland Security U.S. Customs and Border Protection Immigration inspection user fee Funding Schedule (Dollars in Thousands)

PPA: Immigration inspection user fee	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	308,856	354,276	317,466	(36,810)
11.3 Other than full-time permanent	1,812	-	-	-
11.5 Other personnel compensation	93,408	101,817	91,237	(10,580)
12.1 Benefits	65,802	125,157	112,153	(13,004)
21.0 Travel	8,845	101	91	(10)
22.0 Transportation of things	20	-	-	-
23.1 GSA rent	14,081	325	291	(34)
23.2 Other rent	150	-	-	-
23.3 Communications, utilities, and misc. charges	4,387	-	-	-
24.0 Printing	564	76	68	(8)
25.2 Other services	22,462	3,844	3,444	(400)
25.3 Purchases from Gov't accts.	3,195	-	-	-
25.4 O&M of facilities	106	-	-	-
25.6 Medical care	2,854	-	-	-
25.7 Operation and maintenance of equipment	3,228	-	-	-
26.0 Supplies and materials	4,234	158	141	(17)
31.0 Equipment	7,941	616	552	(64)
42.0 Insurance Claims and Indemnity	137	-	-	-
Total, Object Class	542,082	586,370	525,443	(60,927)
Unobligated Balance, start of year	-	(84,035)	-	84,035
Unobligated Balance, end of year	84,035	-	-	-
Total, Adjustments	84,035	(84,035)	-	84,035
Total, Immigration inspection user fee	626,117	502,335	525,443	23,108
Full Time Equivalents	4,777	4,921	4,311	(610)

PPA Mission Statement

The Department of Justice Appropriation Act of 1987 (P.L. 99-591) authorized the collection of user fees for processing commercial air and sea passengers. This law codified as 8 U.S.C. 1356(h) established the two fees to generate revenues that would reimburse "the appropriation for expenses incurred by the Attorney General in providing immigration inspection and pre-inspection services for commercial aircraft or vessels."

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	308,856	354,276	317,466	(36,810)

Salaries and Benefits include costs for 4,311 FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	1,812	-	-	-

See above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	93,408	101,817	91,237	(10,580)

See above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	65,802	125,157	112,153	(13,004)

See above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	8,845	101	91	(10)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal Travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	20	-	-	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	14,081	325	291	(34)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	150	-	-	-

Payments to a non-Federal source for rental of space, land, and structures.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	4,387	-	-	-

Communication, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	564	76	68	(8)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	22,462	3,844	3,444	(400)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	3,195	-	-	-

Purchases from Government Accounts include costs for purchases from Federal Government agencies or accounts that are not otherwise classified.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	106	-	-	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	2,854	-	-	-

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	3,228	-	-	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	4,234	158	141	(17)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	7,941	616	552	(64)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	137	-	-	-

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.

I. Changes in Full Time Equivalent

Not Applicable.

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security
U.S. Customs and Border Protection
Land border inspection fee



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Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Land border inspection fee

I. Appropriation Overview

A – Mission Statement for Land border inspection fee

The Department of Justice Appropriation Act of 1990 (P.L. 101-515), as codified as 8 U.S.C. 1356(q), authorizes the fees to recover costs incurred in the following categories involving the operation of various pilot programs:

- Overtime inspection services;
- Expansion, operation and maintenance of information technology systems for non-immigrant control;
- The hiring of temporary and permanent inspectors;
- Minor construction costs associated with the addition of new traffic lanes;
- Detection of fraudulent travel documents; and
- Administrative expenses of account.

The following fees are deposited into the Land Border Inspection Fee account:

- Dedicated Commuter Lane additional vehicle (DCL)
- Arrival/Departure Land Border (I-94)
- Non-Immigrant Visa Waiver (I-94W)
- Canadian Boat Landing Permit Individual (I-68)
- Canadian Boat Landing Permit Family (I-68)
- Replacement of Papers for Non-resident Mexican Crossing (I-190)
- NEXUS
- SENTRI (Secure Electronic Network for Travelers Rapid Inspection)
- Fast (Free and Secure Trade Program) Driver Application Fee

B – Budget Activities:

Not Applicable.

C – Budget Request Summary:

Collections for Land Border Inspection Fees are estimated at \$28,597,773 in FY 2011. This represents an increase of \$1,099,773 over FY 2010. The applied growth of collections is based on growth of the overall economy (Gross Domestic Product), as projected by the Congressional Budget Office. CBP is projecting to support 287 FTEs with collections from the Land Border Inspection Fees.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection
Land border inspection fee**

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Land border inspection fee	287	26,610	287	27,498	287	28,598	-	1,100	-	-	-	1,100
Subtotal, Enacted Appropriations and Budget Estimates	287	26,610	287	27,498	287	28,598	-	1,100	-	-	-	1,100
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	287	26,610	287	27,498	287	28,598	-	1,100	-	-	-	1,100

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Customs and Border Protection
Land border inspection fee
Program Performance Justification**
(Dollars in Thousands)

PPA: Land border inspection fee

	Perm. Pos	FTE	Amount
2009 Actuals	287	287	26,610
2010 Enacted	287	287	27,498
2011 Adjustments-to-Base	-	-	1,100
2011 Current Services	287	287	28,598
2011 Total Request	287	287	28,598
Total Change 2010 to 2011	-	-	1,100

As authorized by law, Land Border Inspection Fees are used to recover part of CBP's costs of immigration inspections at land border ports of entry. This includes inspections of pedestrians, buses, passenger occupancy vehicles, and rail cars. It also includes antiterrorism efforts, dedicated lane programs, and forms processing.

IV. Program Justification Changes

Not Applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Land border inspection fee
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	287	287	26,610
FY 2010 Enacted	287	287	27,498
Adjustments-to-Base	-	-	-
Increases	-	-	-
Technical Adjustment	-	-	1,100
Total Increases	-	-	1,100
Decreases	-	-	-
Total, Adjustments-to-Base	-	-	1,100
FY 2011 Current Services	287	287	28,598
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	287	287	28,598
FY 2010 to FY 2011 Total Change	-	-	1,100

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Land border inspection fee
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	287	287	26,610
FY 2010 Enacted	287	287	27,498
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	1,100
Total, Adjustments-to-Base	-	-	1,100
FY 2011 Current Services	287	287	28,598
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	287	287	28,598
Total Change 2010 to 2011	-	-	1,100

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Land border inspection fee	287	287	27,498	287	287	28,598	-	-	1,100	-	-	-	-	-	1,100
Subtotal, Estimates Program Project Activity	287	287	27,498	287	287	28,598	-	-	1,100	-	-	-	-	-	1,100
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	287	287	27,498	287	287	28,598	-	-	1,100	-	-	-	-	-	1,100

D. Summary of Reimbursable Resources

Not Applicable.

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Land border inspection fee
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	18,200	17,170	16,165	(1,005)
11.5 Other personnel compensation	4,723	7,127	6,973	(154)
12.1 Benefits	3,687	5,287	5,156	(131)
25.2 Other services	-	291	304	13
Total, Object Class	26,610	29,875	28,598	(1,277)
Unobligated Balance, start of year	-	(2,377)	-	2,377
Unobligated Balance, end of year	2,377	-	-	-
Total, Adjustments	2,377	(2,377)	-	2,377
Total, Direct Obligations	28,987	27,498	28,598	1,100

F. Permanent Positions by Grade

Activities funded by the Land Border Inspection Fees are performed by U.S. Customs and Border Protection officers as part of their normal duties.

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
U.S. Customs and Border Protection
Land border inspection fee
Funding Schedule
(Dollars in Thousands)**

PPA: Land border inspection fee	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	18,200	17,170	16,165	(1,005)
11.5 Other personnel compensation	4,723	7,127	6,973	(154)
12.1 Benefits	3,687	5,287	5,156	(131)
25.2 Other services	-	291	304	13
Total, Object Class	26,610	29,875	28,598	(1,277)
Unobligated Balance, start of year	-	(2,377)	-	2,377
Unobligated Balance, end of year	2,377	-	-	-
Total, Adjustments	2,377	(2,377)	-	2,377
Total, Land border inspection fee	28,987	27,498	28,598	1,100
Full Time Equivalents	287	287	287	-

PPA Mission Statement

The Department of Justice Appropriation Act of 1990 (P.L. 101-515), as codified as 8 U.S.C. 1356(q), authorizes the fees to recover costs incurred in the following categories involving the operation of various pilot programs:

- Overtime inspection services;
- Expansion, operation and maintenance of information technology systems for nonimmigrant control;
- The hiring of temporary and permanent inspectors;
- Minor construction costs associated with the addition of new traffic lanes;
- Detection of fraudulent travel documents; and
- Administrative expenses of account.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	18,200	17,170	16,165	(1,005)

Salaries and Benefits include costs for 287 FTEs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.6 Pay Diff (Sun/Night)	-	-	-	-

See above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	3,687	5,287	5,156	(131)

See above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	291	304	13

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

I. Changes in Full Time Equivalent

Not Applicable.

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable.

Department of Homeland Security

U.S. Customs and Border Protection

Immigration enforcement fines



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Immigration enforcement fines

I. Appropriation Overview

A – Mission Statement for Immigration enforcement fines

Section 382 of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (P.L. 104-208; IIRIRA) created the Immigration Enforcement Account (IEA). In addition to creating this account, IIRIRA also added new types of fines, such as those fines levied against aliens for failure to depart the United States after being so ordered.

The authorized uses of this fund consist of the identification, investigation, apprehension, detention and removal of criminal aliens; the maintenance and updating of systems to track criminal and illegal aliens on the border in areas with high apprehensions to deter illegal entry; and the repair, maintenance, and construction of border facilities.

B – Budget Activities:

Not Applicable.

C – Budget Request Summary:

Based on previous year collections, FY 2011's Immigration Enforcement Fines collections are estimated at \$1,037,118. Since violations of the law are not easily quantifiable, enforcement related collections are also relatively fluid. CBP will support 23 FTEs with collections from Immigration Enforcement Fines in FY 2011.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection
Immigration enforcement fines**

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Immigration enforcement fines	23	1,183	23	992	23	1,037	-	45	-	-	-	45
Subtotal, Enacted Appropriations and Budget Estimates	23	1,183	23	992	23	1,037	-	45	-	-	-	45
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	23	1,183	23	992	23	1,037	-	45	-	-	-	45

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Customs and Border Protection
Immigration enforcement fines
Program Performance Justification**
(Dollars in Thousands)

PPA: Immigration enforcement fines

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	23	23	1,183
2010 Enacted	23	23	992
2011 Adjustments-to-Base	-	-	45
2011 Current Services	23	23	1,037
2011 Total Request	23	23	1,037
Total Change 2010 to 2011	-	-	45

These funds will be used for the identification, investigation, apprehension, detention and removal of criminal aliens; the maintenance and updating of systems to track criminal and illegal aliens at air and sea ports of entry in areas with high apprehensions to deter illegal entry; and the repair, maintenance, and construction of border facilities. Revenues from these fines will support CBP's immigration law enforcement functions in meeting Strategic Goal number 3: Unifying as One Border Agency.

IV. Program Justification Changes

Not Applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Immigration enforcement fines
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	23	23	1,183
FY 2010 Enacted	23	23	992
Adjustments-to-Base	-	-	-
Increases	-	-	-
Technical Adjustment	-	-	45
Total Increases	-	-	45
Decreases	-	-	-
Total, Adjustments-to-Base	-	-	45
FY 2011 Current Services	23	23	1,037
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	23	23	1,037
FY 2010 to FY 2011 Total Change	-	-	45

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Immigration enforcement fines
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	23	23	1,183
FY 2010 Enacted	23	23	992
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	45
Total, Adjustments-to-Base	-	-	45
FY 2011 Current Services	23	23	1,037
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	23	23	1,037
Total Change 2010 to 2011	-	-	45

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Immigration enforcement fines	23	23	992	23	23	1,037	-	-	45	-	-	-	-	-	45
Subtotal, Estimates Program Project Activity	23	23	992	23	23	1,037	-	-	45	-	-	-	-	-	45
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	23	23	992	23	23	1,037	-	-	45	-	-	-	-	-	45

D. Summary of Reimbursable Resources

Not Applicable.

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Immigration enforcement fines
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	525	527	547	20
11.5 Other personnel compensation	367	156	162	6
12.1 Benefits	291	316	328	12
Total, Object Class	1,183	999	1,037	38
Unobligated Balance, start of year	-	(7)	-	7
Unobligated Balance, end of year	7	-	-	-
Total, Adjustments	7	(7)	-	7
Total, Direct Obligations	1,190	992	1,037	45

F. Permanent Positions by Grade

Activities funded by the Immigration Enforcement Fines are performed by U.S. Customs and Border Protection officers as part of their normal duties.

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
U.S. Customs and Border Protection
Immigration enforcement fines
Funding Schedule
(Dollars in Thousands)**

PPA: Immigration enforcement fines	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	525	527	547	20
11.5 Other personnel compensation	367	156	162	6
12.1 Benefits	291	316	328	12
Total, Object Class	1,183	999	1,037	38
Unobligated Balance, start of year	-	(7)	-	7
Unobligated Balance, end of year	7	-	-	-
Total, Adjustments	7	(7)	-	7
Total, Immigration enforcement fines	1,190	992	1,037	45
Full Time Equivalents	23	23	23	-

PPA Mission Statement

The Immigration Enforcement account was established under Section 382 of the Illegal Immigration Reform and Immigrant Responsibility Act (IIRIRA) of 1996. Previously, similar fines were collected and deposited into the Immigration User Fee account. In addition to creating this account, IIRIRA also added new types of fines, such as those fines levied against aliens for failure to depart the United States after being so ordered.

The authorized uses of this fund consist of: the identification, investigation, apprehension, detention and removal of criminal aliens; the maintenance and updating of systems to track criminal and illegal aliens on the border in areas with high apprehensions to deter illegal entry; and the repair, maintenance, and construction of border facilities.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	525	527	547	20

Salaries and Benefits include costs for 23 FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	367	156	162	6

See above description.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	291	316	328	12

See above description.

I. Changes in Full Time Equivalent

Not Applicable.

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable.

Department of Homeland Security
U.S. Customs and Border Protection
Global Entry User Fees



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BUDGET REQUEST AND SUPPORTING INFORMATION
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Global Entry User Fees

I. Appropriation Overview

A – Mission Statement for Global Entry User Fees

The Global Entry Program is authorized under the Consolidated Appropriations Act of 2008 (P.L. 110-161) Section 565(3)(A). The Program established an international registered traveler program that incorporated available technologies, such as biometrics and e-passports, and security threat assessments to expedite screening and processing of international passengers. In addition, Section 565 (3)(B) of the Consolidated Appropriations Act of 2008 authorized the imposition of a fee to recover the full cost of the Program. The current fee rate has been set at \$100 per applicant.

B – Budget Activities:

Not applicable.

C – Budget Request Summary:

The Office of Field Operations is projecting to process a total of 25,000 enrollees in FY 2011. Based on projected enrollment \$2,500,000 in collections are expected in FY 2011. Collection from the Global Entry fee will support 40 FTEs.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection
Global Entry User Fees**

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Global Entry User Fees	-	-	-	-	40	2,500	40	2,500	-	-	40	2,500
Subtotal, Enacted Appropriations and Budget Estimates	-	-	-	-	40	2,500	40	2,500	-	-	40	2,500
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	-	-	-	-	40	2,500	40	2,500	-	-	40	2,500

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Customs and Border Protection
Global Entry User Fees
Program Performance Justification**
(Dollars in Thousands)

PPA: Global Entry Fee Collection

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	-	-	-
2010 Enacted	-	-	-
2011 Adjustments-to-Base	40	40	2,500
2011 Current Services	40	40	2,500
2011 Total Request	40	40	2,500
Total Change 2010 to 2011	40	40	2,500

The Global Entry Program authorizes the use of available technologies, such as biometrics and e-passports, and security threat assessments to expedite screening and processing of international passengers. Currently there is a \$100 per applicant fee charged to cover the costs of this program. This fee will be reviewed and adjusted accordingly if needed. Revenues from this fee will support CBP's inspection functions in meeting Strategic Goals numbers 3 and 4. These goals are Unifying as One Border Agency and Facilitating Legitimate Trade and Travel.

IV. Program Justification Changes

Not Applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Global Entry User Fees
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	-	-	-
FY 2010 Enacted	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	-
Technical Adjustment	40	40	2,500
Total Increases	40	40	2,500
Decreases	-	-	-
Total, Adjustments-to-Base	40	40	2,500
FY 2011 Current Services	40	40	2,500
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	40	40	2,500
FY 2010 to FY 2011 Total Change	40	40	2,500

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Global Entry User Fees
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	-	-	-
FY 2010 Enacted	-	-	-
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	40	40	2,500
Total, Adjustments-to-Base	40	40	2,500
FY 2011 Current Services	40	40	2,500
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	40	40	2,500
Total Change 2010 to 2011	40	40	2,500

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Global Entry User Fees	-	-	-	40	40	2,500	40	40	2,500	-	-	-	40	40	2,500
Subtotal, Estimates Program Project Activity	-	-	-	40	40	2,500	40	40	2,500	-	-	-	40	40	2,500
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	-	-	-	40	40	2,500	40	40	2,500	-	-	-	40	40	2,500

D. Summary of Reimbursable Resources

Not Applicable.

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Global Entry User Fees
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	694	1,350	656
12.1 Benefits	-	591	1,150	559
Total, Object Class	-	1,285	2,500	1,215
Unobligated Balance, start of year	-	(1,285)	-	1,285
Unobligated Balance, end of year	1,285	-	-	-
Total, Adjustments	1,285	(1,285)	-	1,285
Total, Direct Obligations	1,285	-	2,500	2,500

F. Permanent Positions by Grade

Not Applicable.

Activities funded by the Global Entry Program are performed by U.S. Customs and Border Protection officers as part of their normal duties.

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
U.S. Customs and Border Protection
Global Entry User Fees
Funding Schedule
(Dollars in Thousands)**

PPA: Global Entry Fee Collection	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	694	1,350	656
12.1 Benefits	-	591	1,150	559
Total, Object Class	-	1,285	2,500	1,215
Unobligated Balance, start of year	-	(1,285)	-	1,285
Unobligated Balance, end of year	1,285	-	-	-
Total, Adjustments	1,285	(1,285)	-	1,285
Total, Global Entry Fee Collection	1,285	-	2,500	2,500
Full Time Equivalents	-	-	40	40

PPA Mission Statement

The Global Entry Program is authorized under the Consolidated Appropriations Act of 2008 Section 565(3)(A). The Program established an international registered traveler program that incorporated available technologies, such as biometrics and e-passports, and security threat assessments to expedite screening and processing of international passengers. In addition, Section 565 (3)(B) of the Consolidated Appropriations Act of 2008 authorized the imposition a fee to recover the full cost of the Program. The current fee rate has been set at \$100 per applicant.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	694	1,350	656

Salaries and Benefits include costs for 40 FTEs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	-	591	1,150	559

See above description.

I. Changes in Full Time Equivalent

Not Applicable.

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable.

Department of Homeland Security
U.S. Customs and Border Protection
APHIS User Fees



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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APHIS User Fees

I. Appropriation Overview

A – Mission Statement for APHIS User Fees

Section 2509 of the Food, Agriculture, Conservation and Trade Act of 1990 (P.L. 101-624) authorized United States Department of Agriculture (USDA) to collect user fees for various services. The law codified as 21 U.S.C. 136a authorized the Secretary of Agriculture to prescribe and collect fees to recover the costs of providing Agriculture Quarantine and Inspection (AQI) services for international arrivals of passengers, conveyances, animals, plants and agricultural goods at Ports of Entry. This authority establishes fees on five modes of international passenger transportation: (i) commercial aircraft, (ii) sea going vessels, (iii) trucks with single entry, (iv) trucks operating under a multiple entry decal, and (v) loaded rail cars. Revenues from AQI (or APHIS) user fees are used to reimburse the full costs incurred in providing inspection services.

The Homeland Security Act of 2002 transferred to DHS/CBP, APHIS' responsibility for inspecting passenger declarations and cargo manifests, international air passengers, baggage, cargo, and conveyances and holding suspect articles in quarantine to prevent the introduction of plant or animal diseases. Section of 421(f) in the Homeland Security Act of 2002, mandates DHS/CBP and USDA/APHIS to agree on a periodic transfer of funds from the latter to the former to cover its agricultural inspectional costs. Under an MOA between DHS/CBP and USDA/APHIS, the former received approximately 63 percent of the collections from the APHIS user fees in FY 2009. CBP expects to maintain a similar share in FY 2010 and 2011.

B – Budget Activities:

Not applicable.

C – Budget Request Summary:

Based on APHIS' estimates, CBP's share from APHIS user fees in FY 2011 is anticipated to be \$318,471,670. This represents a \$6,245,330 increase from the enacted amount in FY 2010. Depending on the implementation of a rule to adjust APHIS fees in FY 2011, CBP's share from these fees is expected to increase above current projected levels. However, at this point the implementation of the aforementioned rule in FY 2011 is not certain. Therefore, for purposes of this submission, CBP assumed that the rule will not be implemented in FY 2011. CBP projects to support 2,332 FTEs with its share from APHIS user fees.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection
APHIS User Fees**

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
APHIS User Fees	2,332	331,264	2,332	312,227	2,332	318,472	-	6,245	-	-	-	6,245
Subtotal, Enacted Appropriations and Budget Estimates	2,332	331,264	2,332	312,227	2,332	318,472	-	6,245	-	-	-	6,245
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	2,332	331,264	2,332	312,227	2,332	318,472	-	6,245	-	-	-	6,245

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Customs and Border Protection
APHIS User Fees
Program Performance Justification
(Dollars in Thousands)

PPA: APHIS inspection fee

	Perm. Pos	FTE	Amount
2009 Actuals	2,332	2,332	331,264
2010 Enacted	2,332	2,332	312,227
2011 Adjustments-to-Base	-	-	6,245
2011 Current Services	2,332	2,332	318,472
2011 Total Request	2,332	2,332	318,472
Total Change 2010 to 2011	-	-	6,245

These funds will be used for international air passenger, commercial aircraft clearance, commercial vessel, commercial truck (per crossing and annual decal) and loaded rail car inspectional activities associated with the APHIS user fees. Revenues from these charges will support CBP's inspection functions in meeting Strategic Goals numbers 1, 3, and 4. These goals are Preventing Terrorism at Ports of Entry, Unifying as One Border Agency, and Facilitating Legitimate Trade and Travel.

IV. Program Justification Changes

Not Applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
APHIS User Fees
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	2,332	2,332	331,264
FY 2010 Enacted	2,332	2,332	312,227
Adjustments-to-Base	-	-	-
Increases	-	-	-
Technical Adjustment	-	-	6,245
Total Increases	-	-	6,245
Decreases	-	-	-
Total, Adjustments-to-Base	-	-	6,245
FY 2011 Current Services	2,332	2,332	318,472
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	2,332	2,332	318,472
FY 2010 to FY 2011 Total Change	-	-	6,245

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
APHIS User Fees
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	2,332	2,332	331,264
FY 2010 Enacted	2,332	2,332	312,227
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	6,245
Total, Adjustments-to-Base	-	-	6,245
FY 2011 Current Services	2,332	2,332	318,472
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	2,332	2,332	318,472
Total Change 2010 to 2011	-	-	6,245

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
APHIS User Fees	2,332	2,332	312,227	2,332	2,332	318,472	-	-	6,245	-	-	-	-	-	6,245
Subtotal, Estimates Program Project Activity	2,332	2,332	312,227	2,332	2,332	318,472	-	-	6,245	-	-	-	-	-	6,245
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	2,332	2,332	312,227	2,332	2,332	318,472	-	-	6,245	-	-	-	-	-	6,245

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
APHIS User Fees
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	183,474	195,092	192,142	(2,950)
11.3 Other than full-time permanent	607	40	40	-
11.5 Other personnel compensation	109	40,840	40,222	(618)
11.6 Pay Diff (Sun/Night)	22,139	-	-	-
11.7 Military personnel/Awards	5,576	-	-	-
12.1 Benefits	56,213	63,994	63,025	(969)
21.0 Travel	7,039	1,015	1,000	(15)
22.0 Transportation of things	4	3	3	-
23.1 GSA rent	14,828	6,646	6,546	(100)
23.2 Other rent	-	2	2	-
23.3 Communications, utilities, and misc. charges	166	712	701	(11)
25.1 Advisory and assistance services	29,951	-	-	-
25.2 Other services	-	8,466	8,337	(129)
26.0 Supplies and materials	988	860	847	(13)
31.0 Equipment	10,170	5,693	5,607	(86)
Total, Object Class	331,264	323,363	318,472	(4,891)
Unobligated Balance, start of year	-	(11,136)	-	11,136
Unobligated Balance, end of year	11,136	-	-	-
Total, Adjustments	11,136	(11,136)	-	11,136
Total, Direct Obligations	342,400	312,227	318,472	6,245

F. Permanent Positions by Grade

Activities funded by APHIS User Fees are performed by U.S. Customs and Border Protection agricultural specialists/officers as part of their normal duties.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
U.S. Customs and Border Protection
APHIS User Fees
Funding Schedule
(Dollars in Thousands)**

PPA: APHIS inspection fee	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	183,474	195,092	192,142	(2,950)
11.3 Other than full-time permanent	607	40	40	-
11.5 Other personnel compensation	109	40,840	40,222	(618)
11.6 Pay Diff (Sun/Night)	22,139	-	-	-
11.7 Military personnel/Awards	5,576	-	-	-
12.1 Benefits	56,213	63,994	63,025	(969)
21.0 Travel	7,039	1,015	1,000	(15)
22.0 Transportation of things	4	3	3	-
23.1 GSA rent	14,828	6,646	6,546	(100)
23.2 Other rent	-	2	2	-
23.3 Communications, utilities, and misc. charges	166	712	701	(11)
25.1 Advisory and assistance services	29,951	-	-	-
25.2 Other services	-	8,466	8,337	(129)
26.0 Supplies and materials	988	860	847	(13)
31.0 Equipment	10,170	5,693	5,607	(86)
Total, Object Class	331,264	323,363	318,472	(4,891)
Unobligated Balance, start of year	-	(11,136)	-	11,136
Unobligated Balance, end of year	11,136	-	-	-
Total, Adjustments	11,136	(11,136)	-	11,136
Total, APHIS inspection fee	342,400	312,227	318,472	6,245
Full Time Equivalents	2,332	2,332	2,332	-

PPA Mission Statement

Section 2509 of the Food, Agriculture, Conservation and Trade Act of 1990 (P.L. 101-624) authorized USDA to collect user fees for various services. The law codified as 21 U.S.C. 136 established seven types of Plant Protection and Quarantine (PPQ) user fees, six of which are the Agriculture Quarantine and Inspection (AQI) fees, known to CBP as the APHIS user fees. The six established processing fees are for international air passengers, commercial aircraft clearance, commercial vessels, commercial trucks, commercial truck decals, and loaded rail cars. The revenues from these fees are used to reimburse the full costs incurred in providing the inspectional activities associated with the passengers and conveyances that are subject to the fees.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	183,474	195,092	192,142	(2,950)

Salaries and Benefits include costs for 2332 FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	607	40	40	-

See above

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	109	40,840	40,222	(618)

See above

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.6 Pay Diff (Sun/Night)	22,139	-	-	-

See above

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.7 Military personnel	5,576	-	-	-

See above

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	56,213	63,994	63,025	(969)

See above

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	7,039	1,015	1,000	(15)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal Travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	4	3	3	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	14,828	6,646	6,546	(100)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	-	2	2	-

Payments to a non-Federal source for rental of space, land, and structures.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	166	712	701	(11)

Communication, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	29,951	-	-	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	8,466	8,337	(129)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	988	860	847	(13)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	10,170	5,693	5,607	(86)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in Full Time Equivalent

Not Applicable.

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security
U.S. Customs and Border Protection
Small Airport User Fee



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Small Airport User Fee

I. Appropriation Overview

A – Mission Statement for Small Airport User Fee

The Small Airport User Fee is authorized under Title 19 U.S.C. 58b and administered under Title 19 U.S.C. 58c (b) (9) (A) (i). The Small Airport User Fee program authorizes inspection services to be provided to participating small airports on a fully reimbursable basis. The fee charged under this program is set forth in a Memorandum of Agreement (MOA) between the user fee airport and Customs and Border Protection, and may be adjusted annually as costs and requirements change. The MOA includes provisions for payment of a flat initial start-up fee and an annual recurring fee. The fees do not cover overtime or certain computer and telecommunications costs that are paid separately by the airport authority.

B – Budget Activities:

N/A

C – Budget Request Summary:

Based on the anticipated \$8,164,998 in collections from the Small Airport User Fee, CBP will support 54 FTEs. Collections from the Small Airport User Fee are based on the anticipated number of CBP Officers assigned to those locations.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection
Small Airport User Fee**

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Small Airport User Fee	54	6,999	54	8,000	54	8,164	-	164	-	-	-	164
Subtotal, Enacted Appropriations and Budget Estimates	54	6,999	54	8,000	54	8,164	-	164	-	-	-	164
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	54	6,999	54	8,000	54	8,164	-	164	-	-	-	164

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Customs and Border Protection
Small Airport User Fee
Program Performance Justification**
(Dollars in Thousands)

PPA: Small Airport User Fee

	Perm. Pos	FTE	Amount
2009 Actuals	54	54	6,999
2010 Enacted	54	54	8,000
2011 Adjustments-to-Base	-	-	164
2011 Current Services	54	54	8,164
2011 Total Request	54	54	8,164
Total Change 2010 to 2011	-	-	164

The Small Airport User Fee program authorizes inspection services to be provided to participating small airports on a fully reimbursable basis. The amount charged is determined by how many CBP Officers are stationed at the port and whether it is a new or existing facility. CBP is not expecting an increase in revenues for FY 2011.

IV. Program Justification Changes

Not Applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable.

B. FY 2010 to 2011 Budget Change

Department of Homeland Security
U.S. Customs and Border Protection
Small Airport User Fee
FY2010 to FY2011 Budget Change
(Dollars in Thousands)

	Pos.	FTE	Amount
FY 2009 Actuals	54	54	6,999
FY 2010 Enacted	54	54	8,000
Adjustments-to-Base	-	-	-
Increases	-	-	-
Technical Adjustment	-	-	164
Total Increases	-	-	164
Decreases	-	-	-
Total, Adjustments-to-Base	-	-	164
FY 2011 Current Services	54	54	8,164
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	54	54	8,164
FY 2010 to FY 2011 Total Change	-	-	164

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Small Airport User Fee
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	54	54	6,999
FY 2010 Enacted	54	54	8,000
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	164
Total, Adjustments-to-Base	-	-	164
FY 2011 Current Services	54	54	8,164
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	54	54	8,164
Total Change 2010 to 2011	-	-	164

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Small Airport User Fee	54	54	8,000	54	54	8,164	-	-	164	-	-	-	-	-	164
Subtotal, Estimates Program Project Activity	54	54	8,000	54	54	8,164	-	-	164	-	-	-	-	-	164
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	54	54	8,000	54	54	8,164	-	-	164	-	-	-	-	-	164

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U.S. Customs and Border Protection
Small Airport User Fee
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	4,017	14,211	4,686	(9,525)
11.3 Other than full-time permanent	3	12	4	(8)
11.5 Other personnel compensation	1,345	4,758	1,569	(3,189)
12.1 Benefits	1,459	5,165	1,703	(3,462)
21.0 Travel	121	427	141	(286)
23.3 Communications, utilities, and misc. charges	30	105	35	(70)
26.0 Supplies and materials	18	65	21	(44)
31.0 Equipment	6	19	5	(14)
Total, Object Class	6,999	24,762	8,164	(16,598)
Unobligated Balance, start of year	-	(16,762)	-	16,762
Unobligated Balance, end of year	16,762	-	-	-
Total, Adjustments	16,762	(16,762)	-	16,762
Total, Direct Obligations	23,761	8,000	8,164	164

F. Permanent Positions by Grade

Not Applicable

The administration of the Small Airports User Fee program is performed by U.S. Customs and Border Protection officers as part of their normal duties.

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
U.S. Customs and Border Protection
Small Airport User Fee
Funding Schedule
(Dollars in Thousands)**

PPA: Small Airport User Fee	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	4,017	14,211	4,686	(9,525)
11.3 Other than full-time permanent	3	12	4	(8)
11.5 Other personnel compensation	1,345	4,758	1,569	(3,189)
12.1 Benefits	1,459	5,165	1,703	(3,462)
21.0 Travel	121	427	141	(286)
23.3 Communications, utilities, and misc. charges	30	105	35	(70)
26.0 Supplies and materials	18	65	21	(44)
31.0 Equipment	6	19	5	(14)
Total, Object Class	6,999	24,762	8,164	(16,598)
Unobligated Balance, start of year	-	(16,762)	-	16,762
Unobligated Balance, end of year	16,762	-	-	-
Total, Adjustments	16,762	(16,762)	-	16,762
Total, Small Airport User Fee	23,761	8,000	8,164	164
Full Time Equivalents	54	54	54	-

PPA Mission Statement

Small Airport Facilities is authorized under Title 19 U.S.C. 58b and administered under Title 19 U.S.C. 58c (b) (9) (A) (i). The User Fee Airports program authorizes inspection services to be provided to participating small airports on a fully reimbursable basis. The fee charged under this program is set forth in a Memorandum of Agreement between the small airport facility and the agency, and may be adjusted annually as costs and requirements change.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	4,017	14,211	4,686	(9,525)

Salaries and Benefits include costs for 54 FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	3	12	4	(8)

See above description.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	1,345	4,758	1,569	(3,189)

See above description

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	1,459	5,165	1,703	(3,462)

See above description.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	121	427	141	(286)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal Travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	30	105	35	(70)

Communication, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	18	65	21	(44)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	6	19	5	(14)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in Full Time Equivalent

Not Applicable.

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable.

Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Puerto Rico Trust Fund

I. Appropriation Overview

A – Mission Statement for Puerto Rico Trust Fund

Title 48 U.S.C. 740 authorizes the collections of duties and taxes in Puerto Rico and the creation of the Puerto Rico Trust Fund (PRTF). Collections in Puerto Rico, less the costs of collecting duties and taxes, are transferred to Puerto Rico's Treasury (Hacienda), to be expended as required by law for the Government of Puerto Rico and the benefit thereof. The Government of Puerto Rico negotiates biennial agreements with CBP's Office of Air and Marine (OAM) and Immigration Customs Enforcement (ICE) to cover the costs of performing their functions in Puerto Rico. CBP transfers funds to OAM and ICE based on the agreement negotiated.

B – Budget Activities:

Not applicable.

C – Budget Request Summary:

CBP projects collections to total \$89,980,122 in FY 2011. The applied growth of collections is based on growth of the over economy (Gross Domestic Product), as projected by the Congressional Budget Office. With the collections of import duties and certain taxes deposited in the Puerto Rico Trust Fund, CBP will support 529 FTEs.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund**

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Puerto Rico Trust Fund	529	112,680	529	92,000	529	89,980	-	(2,020)	-	-	-	(2,020)
Subtotal, Enacted Appropriations and Budget Estimates	529	112,680	529	92,000	529	89,980	-	(2,020)	-	-	-	(2,020)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	529	112,680	529	92,000	529	89,980	-	(2,020)	-	-	-	(2,020)

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund
Program Performance Justification**
(Dollars in Thousands)

PPA: Puerto Rico Trust Fund

	Perm. Pos	FTE	Amount
2009 Actuals	529	529	112,680
2010 Enacted	529	529	92,000
2011 Adjustments-to-Base	-	-	(2,020)
2011 Current Services	529	529	89,980
2011 Total Request	529	529	89,980
Total Change 2010 to 2011	-	-	(2,020)

CBP is authorized to use collections in the Puerto Rico Trust Fund to cover its costs related to the collections of duties and taxes in Puerto Rico. CBP's Office of Air and Marine and U.S. Immigration and Customs Enforcement (ICE) negotiate biennial agreements with Puerto Rico's Treasury that are funded with the anticipated surplus Puerto Rico expects to receive after CBP covers its customs related costs.

IV. Program Justification Changes

Not Applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	529	529	112,680
FY 2010 Enacted	529	529	92,000
Adjustments-to-Base	-	-	-
Increases	-	-	-
Decreases	-	-	-
Technical Adjustment	-	-	(2,020)
Total Decreases	-	-	(2,020)
Total, Adjustments-to-Base	-	-	(2,020)
FY 2011 Current Services	529	529	89,980
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	529	529	89,980
FY 2010 to FY 2011 Total Change	-	-	(2,020)

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	529	529	112,680
FY 2010 Enacted	529	529	92,000
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Decreases	-	-	(2,020)
Total, Adjustments-to-Base	-	-	(2,020)
FY 2011 Current Services	529	529	89,980
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	529	529	89,980
Total Change 2010 to 2011	-	-	(2,020)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Puerto Rico Trust Fund	529	529	92,000	529	529	89,980	-	-	(2,020)	-	-	-	-	-	(2,020)
Subtotal, Estimates Program Project Activity	529	529	92,000	529	529	89,980	-	-	(2,020)	-	-	-	-	-	(2,020)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	529	529	92,000	529	529	89,980	-	-	(2,020)	-	-	-	-	-	(2,020)

D. Summary of Reimbursable Resources

Not Applicable.

E. Summary of Requirements by Object Class

**Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund**
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	31,366	20,144	19,701	(443)
11.3 Other than full-time permanent	422	389	381	(8)
11.5 Other personnel compensation	8,013	2,352	2,301	(51)
12.1 Benefits	17,328	10,960	10,719	(241)
21.0 Travel	1,149	714	699	(15)
22.0 Transportation of things	116	163	160	(3)
23.1 GSA rent	183	237	232	(5)
23.2 Other rent	108	61	59	(2)
23.3 Communications, utilities, and misc. charges	3,386	2,008	1,964	(44)
25.1 Advisory and assistance services	4	-	-	-
25.2 Other services	8,759	47,156	46,120	(1,036)
25.3 Purchases from Gov't accts.	31,392	-	-	-
25.4 O&M of facilities	2,728	-	-	-
25.6 Medical care	21	-	-	-
25.7 Operation and maintenance of equipment	2,021	-	-	-
26.0 Supplies and materials	1,728	864	845	(19)
31.0 Equipment	2,212	1,127	1,103	(24)
41.0 Grants/Subsidies/Contributions	1,744	-	-	-
44.0 Refunds	-	5,825	5,696	(129)
Total, Object Class	112,680	92,000	89,980	(2,020)
Total, Direct Obligations	112,680	92,000	89,980	(2,020)

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
GS-15	2	2	3	1
GS-14	8	8	9	1
GS-13	26	26	33	7
GS-12	59	59	62	3
GS-11	337	337	307	(30)
GS-9	25	25	28	3
GS-7	50	50	46	(4)
GS-6	1	1	2	1
GS-5	15	15	27	12
GS-4	4	4	3	(1)
GS-3	2	2	4	2
GS-2	-	-	5	5
Total Permanent Positions	529	529	529	-
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	529	529	529	-
Full Time Equivalents	529	529	529	-
Headquarters	-	-	-	-
U.S. Field	-	-	-	-
Foreign Field	529	529	529	-
Total, Location	529	529	529	-
Average ES Salary	-	-	-	-
Average GS Salary	55,335	57,106	58,933	1,827
Average Grade	10	10	10	-

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund
Funding Schedule
(Dollars in Thousands)**

PPA: Puerto Rico Trust Fund	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	31,366	20,144	19,701	(443)
11.3 Other than full-time permanent	422	389	381	(8)
11.5 Other personnel compensation	8,013	2,352	2,301	(51)
12.1 Benefits	17,328	10,960	10,719	(241)
21.0 Travel	1,149	714	699	(15)
22.0 Transportation of things	116	163	160	(3)
23.1 GSA rent	183	237	232	(5)
23.2 Other rent	108	61	59	(2)
23.3 Communications, utilities, and misc. charges	3,386	2,008	1,964	(44)
25.1 Advisory and assistance services	4	-	-	-
25.2 Other services	8,759	47,156	46,120	(1,036)
25.3 Purchases from Gov't accts.	31,392	-	-	-
25.4 O&M of facilities	2,728	-	-	-
25.6 Medical care	21	-	-	-
25.7 Operation and maintenance of equipment	2,021	-	-	-
26.0 Supplies and materials	1,728	864	845	(19)
31.0 Equipment	2,212	1,127	1,103	(24)
41.0 Grants/Subsidies/Contributions	1,744	-	-	-
44.0 Refunds	-	5,825	5,696	(129)
Total, Object Class	112,680	92,000	89,980	(2,020)
Total, Puerto Rico Trust Fund	112,680	92,000	89,980	(2,020)
Full Time Equivalents	529	529	529	-

PPA Mission Statement

The duties and taxes related to the Puerto Rico Trust Fund are authorized under Title 48 U.S.C. 740. The duties and taxes collected in Puerto Rico, less the costs of providing inspection and law enforcement services, are paid into the treasury of Puerto Rico, to be expended as required by law for the Government of Puerto Rico and the benefit thereof. These funds are intended to combat criminal elements who have focused on Puerto Rico as a gateway to illegally introduce narcotics into the mainland of the U.S.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	31,366	20,144	19,701	(443)

Salaries and Benefits include costs for 529 FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	422	389	381	(8)

See above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	8,013	2,352	2,301	(51)

See above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	17,328	10,960	10,719	(241)

See above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	1,149	714	699	(15)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal Travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	116	163	160	(3)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	183	237	232	(5)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	108	61	59	(2)

Payments to a non-Federal source for rental of space, land, and structures.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	3,386	2,008	1,964	(44)

Communication, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	4	-	-	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	8,759	47,156	46,120	(1,036)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	31,392	-	-	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	2,728	-	-	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	21	-	-	-

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	2,021	-	-	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,728	864	845	(19)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	2,212	1,127	1,103	(24)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	1,744	-	-	-

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
44.0 Refunds	-	5,825	5,696	(129)

Payments of amounts previously collected by the Government.

I. Changes in Full Time Equivalent

Not Applicable.

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable.

Department of Homeland Security

U.S. Customs and Border Protection



Fiscal Year 2011
Strategic Context
President's Budget Justification

FY 2011 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

U.S. Customs and Border Protection

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A. Mission and Description of U.S. Customs and Border Protection

CBP is charged with the securing our Nation’s borders and facilitating legitimate trade and travel. CBP accomplishes this mission through six operational offices: the Office of Border Patrol, the Office of Field Operations, the Office of Air and Marine, the Office of International Affairs, the Office Internal Affairs, and the Office of International Trade. These six offices receive critical support from CBP’s other mission-focused offices. Since the publication of our first strategic plan in 2005, CBP has made steady progress toward:

- protecting our country from the threats of global terrorism, illegal migration, and trafficking of narcotics and other contraband;
- protecting our economy by enforcing trade laws, intellectual property rights, and collection of revenue on goods imported into the United States;
- protecting our food supply and agricultural industry from pests and disease; and
- increasing the security of our airspace.

CBP’s FY 2009-2014 strategic plan is one of the most important tools that will be used to chart the Agency’s course of action for the next five years. It is designed to help guide the strategic planning efforts of the various offices and programs within CBP; enabling the development of effective strategies and the establishment of key priorities needed to achieve our mission and improve organizational performance.

CBP’s mission statement: We are the guardians of our Nation's borders. We are America's frontline. We safeguard the American homeland at and beyond our borders. We protect the American public against terrorists and the instruments of terror. We steadfastly enforce the laws of the United States while fostering our Nation's economic security through lawful international trade and travel. We serve the American public with vigilance, integrity, and professionalism.

CBP's primary field occupations include CBP Officers, Border Patrol Agents, Air and Marine Interdiction Agents, CBP Agriculture Specialists, and Import and Entry Specialists. Its field organization includes 20 Border Patrol Sectors with 34 permanent traffic checkpoints and 98 tactical traffic checkpoints between the ports of entry (POE); 145 stations and substations; 20 Field Operations Offices and 327 associated POEs, of which 15 are pre-clearance stations in other countries; and 74 Air and Marine operating locations. Field personnel use a mix of assets, technologies and automation to identify and apprehend undocumented aliens and high-risk travelers, and to facilitate legitimate travel and trade. Those resources include aircraft and boats, non-intrusive inspection technology, such as large-scale imaging devices that use x-ray and gamma ray technology, radiation portal monitors, and automated targeting software to name a few.

B. Major Activities and Key Strategic Goals

Resources appropriated by Congress are used to achieve CBP's strategic goals and priorities. Development of these goals and priorities involved careful consideration of National Strategy for Homeland Security, the Presidential Directive on National Security, the National Drug Control Strategy, Executive Orders, the FY 2008-2013 Department of Homeland Security (DHS) Strategic Plan, the DHS Secretary's Priorities, and the CBP 2009-2014 Strategic Plan to ensure alignment and mutual support. CBP's investments also reflect the goals and objectives of programmatic plans, such as the National Border Patrol Strategy, Securing America's Borders at Ports of Entry (SABPOE) Strategic Plan, and the National Southwest Border Counternarcotics Strategy.

The FY 2009-2014 CBP Strategic Plan communicates two strategic goals and three cross-cutting enablers.

Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

As the frontline border security agency, CBP has a multifaceted and complex mission of protecting the Nation against a multitude of cross-border violations. Our first priority is to prevent terrorists and terrorist weapons from entering the country. All of our efforts to secure the border, including our traditional missions of enforcing the immigration, customs, trade, agricultural, and other laws of the United States contribute to thwarting terrorism. CBP will continue its efforts to expand and maintain effective control of all air, land, and maritime borders at and between U.S. POEs through a layered, defense-in-depth approach. Achieving this aim means not only preventing the illegal entry of inadmissible persons and illicit contraband but also competently expediting the cross-border flow of lawful immigration, travel, and commerce at our borders. Providing security along the northern, southern, and coastal borders requires effective coordination and integration of all of CBP's operational components, along with the guidance and assistance of essential CBP mission support personnel.

A segment of the border between POEs is considered under effective control when CBP can simultaneously and consistently achieve the following: (1) detect illegal entries into the United States; (2) identify and classify these entries to determine the level of threat involved; (3) efficiently and effectively respond to these entries; and (4) bring each event to a satisfactory law enforcement resolution. At the POEs, CBP officers take a similar approach to secure U.S. borders by detecting, identifying, and preventing illegal activity and entries. Gaining control of U.S. borders is a comprehensive mission that involves numerous programs and activities across CBP, all

working together to enforce a wide range of immigration, customs, trade, agricultural, and other laws and regulations.

CBP is responsible for developing and deploying integrated solutions that provide frontline agents and officers with enhanced detection, tracking, and response situational awareness capabilities. The technology solution will support and complement investments in personnel and tactical infrastructure (pedestrian fence, vehicle fence, roads and lights). An essential component of securing U.S. borders involves providing adequate infrastructure and technology at U.S. POEs. CBP's air and marine assets are another key component of its border security efforts. While technology, tactical infrastructure, and air and marine assets are all necessary resources in gaining effective control of the border, CBP also must ensure that an adequate law enforcement personnel are deployed at strategic locations throughout the United States and overseas. Border Patrol agents, Air and Marine Interdiction agents, and CBP officers will be CBP's most valuable resource in its efforts to secure the Nation's borders.

Technology is an important part of CBP's defense-in-depth approach. Non-Intrusive Inspection (NII) technology is used to detect and interdict weapons, narcotics, currency, and other contraband concealed in large containers and commercial shipments. Technologies currently deployed include large-scale X-ray and gamma ray imaging systems, radiation detection technology, as well as a variety of portable and hand-held technologies. CBP screens 100 percent of all containers for illicit radiological materials and inspects 100 percent of all targeted high-risk containers. To achieve this, CBP must continue to deploy and maintain appropriate NII capabilities at all inspection points. Moreover, it must deploy enough NII systems to ensure that it can respond to increases in the threat level, either nationally or at specific locations, as well as examine the increasing volume of cargo and conveyances crossing our borders.

The US-VISIT program continues to deploy and support biometric systems at many of our land, sea, and air POEs. These systems enable CBP Officers to use biometric identifiers, such as fingerprints (using an inkless fingerprint scanner) and photographs (using a digital camera), to verify the identity of foreign nationals wishing to enter the United States. US-VISIT's biometric information also helps thwart identity fraud by providing unalterable, unassailable identity information.

Border Patrol Stations are equipped with equipment to collect and electronically transmit biometric information to the Automated Biometric Identification System/Integrated Automated Fingerprint Identification Systems (IDENT/IAFIS). IDENT collects and maintains a subject's biometric information (fingerprints and photographs) and performs a search against the Lookout, Recidivist, and Alien Registration databases within DHS.

Another key aspect of CBP's strategy is to fully execute and build on the early success of the Western Hemisphere Travel Initiative (WHTI). Before WHTI, Canadian and U.S. citizen travelers were able to offer an oral declaration alone to prove citizenship. WHTI increases the security of U.S. borders by requiring travelers to present only secure documents issued by trusted entities, which denote identity and citizenship. By limiting the number of documents accepted at the border to those for which CBP has a high degree of confidence, WHTI decreases opportunities for fraud, electronically verifies the document back to issuing source, and promotes faster processing of travelers.

Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders.

In order to meet its dual goals of security and facilitation, CBP will develop and implement programs that expedite the processing of people and goods at land border ports, airports, and seaports, while at the same time securing the global trade environment and strengthening supply chain security. CBP will focus its resources on identifying and responding to high-risk travelers and conveyances. CBP employs a risk-based, layered enforcement approach through the use of accurate advance information; the most advanced inspection, screening, and scanning technology available; modernized systems for cargo processing; and international and trade compliance partnership programs, such as the Automated Targeting System (ATS), Traveler Enforcement and Compliance System (TECS), Automated Commercial Environment (ACE), and the application of principles to prioritize efforts. The more technology, information, training, and infrastructure are used to support operations that identify and expedite lawful travel and commerce across our borders, the more frontline officers can focus on the known threats that require increased scrutiny.

CBP's ability to expedite the processing of people, products, and conveyances is dependent on its ability to identify high-risk travelers and goods for inspection. Legislation and regulatory action, such as the Trade Act of 2002, the 24-hour rule, and the SAFE Port Act, have made it mandatory to provide advance information on passengers and goods arriving in the U.S. CBP applies its targeting methods against the arrival information to determine which passengers or shipments need to be segregated for closer inspection. The main platform used to perform this analysis is the Automated Targeting System (ATS). ATS and associated databases will provide CBP Officers (including those stationed overseas) with advanced notice of travelers and goods arriving at U.S. POEs, allowing them to cross-check the passenger and cargo manifests against databases, such as TECS, for "lookouts" of unlawful activity. TECS is also used to screen passengers arriving at land POEs without prior arrival notification, such as pedestrian traffic or those in private automobiles.

CBP's trusted traveler programs enhance the agency's ability to expedite the process and facilitate known, low risk persons seeking to legally cross the U.S. border. Trusted traveler programs involve voluntary submission of an application and subsequent vetting using automated name and fingerprint based checks of law enforcement databases and an interview with uniformed officers. CBP's trusted traveler programs include the Secure Electronic Network for Traveler Rapid Inspection (SENTRI) program, developed for the U.S. southern border in conjunction with Mexico, and the NEXUS program, a joint U.S.-Canadian trusted traveler program developed for the northern border. Both programs facilitate travel for noncommercial travelers. For commercial drivers, Free and Secure Trade (FAST) is the trusted traveler program implemented for both the northern and southern borders. In 2008, CBP implemented Global Entry, a trusted traveler program for the air environment. These programs collectively expedite legal travel while allowing CBP officers additional time to focus on higher risk, unknown travelers.

ACE is the modernized U.S. trade processing system that consolidates seven cargo processing systems into a single portal. It provides CBP and other component personnel better information to decide—before a shipment reaches U.S. borders—what cargo should be expedited based on compliance with U.S. laws and what cargo should be targeted based on rule based risk assessments. Additionally, by eliminating paper processes through documentation automation, ACE will enable CBP to improve traffic management that will support the efficient movement of both passenger and commercial traffic at land border POEs and airports.

CBP employs three principles in a coordinated approach to balance security, risk, and efficiency in resolving compliance issues while facilitating legitimate trade. First, CBP identifies trade issues that cause significant revenue loss, pose economic risk to U.S. industry, or represent health and safety concerns to citizens. Second, CBP investigates trade issues that are susceptible to non-compliance; have a history of problems; or are characterized by a lack of automation, or by complexity. Third, CBP provides the trade community with guidance in the form of regulations, rulings, and directives that enable traders to meet their obligations. Working in concert, these principles enable CPB to analyze information and identify high-risk trade areas. Currently, CBP concentrates on seven priority trade issues: Antidumping and Countervailing Duty, Intellectual Property Rights, Textiles and Wearing Apparel, Revenue, Agriculture, Import Safety, and Penalties.

CBP must leverage its frontline officers and agents to gain information that can be used to strengthen the Nation's security and to act upon intelligence that will help it carry out its critical border security mission. The need for real-time information for decision making and the lack of detailed information about the persons or goods attempting to cross the border offer two of the greatest front line challenges. In response, CBP's primary strategy is to develop and deploy an integrated intelligence capability that will allow CBP to become a fully integrated, intelligence-driven organization.

Cross-cutting enablers in CBP's strategic plan also affect the Agency's ability to accomplish its mission and achieve its goals. These enablers are improved intelligence and information sharing, maximizing partnerships, and an effective management infrastructure. They are vital to mission success. Through focus on them across Agency goals, CBP can better integrate the work of the entire agency.

Enabler 1: Leverage improved intelligence and information sharing to maximize the effectiveness of our limited resources.

As just mentioned, the need for real-time information for decision making and the lack of detailed information about the persons or goods attempting to cross the border present significant operational challenges. By leveraging frontline officers and agents to gain information, CBP can strengthen the Nation's security and more quickly act upon intelligence critical to the border security mission. Also, CBP working in concert with other DHS components and the Joint Terrorism Task Force will collectively improve the ability to synthesize, share, and exploit all available intelligence. In doing so, CBP will become a more fully integrated, intelligence-driven organization.

Enabler 2: Maximize the power of partnerships.

Partnerships have contributed greatly to our progress in developing and implementing the various strategies that have improved border security and facilitation of global trade and travel. CBP's success relies upon the creation of enduring partnerships and maintaining open lines of communication domestically and internationally. Partnerships must be wide reaching and touch Federal, State, local, tribal, foreign, and domestic law enforcement agencies, as well as private sector industry and international partners. CBP's ability to align and/or increase needed resources will enhance existing security measures in targeted areas. Identifying, establishing, and enhancing or expanding beneficial partnerships while aligning resources will also allow CBP to enhance the

enforcement of and compliance with agriculture, customs, immigration, and other agency enforced laws and regulations.

Enabler 3: Promote achievement and a results-driven culture through an effective management infrastructure that fosters the highest standards of integrity.

CBP fosters an environment designed to leverage state-of-the-art technologies, innovative strategies, and world-wide partnerships to protect America's communities and defend its borders. Through the development and implementation of an innovative strategic planning framework that integrates investment management, resource management, and program management, CBP will achieve a maximum return on investment on CBP's top mission-focused goals. CBP will provide the best support services throughout DHS by promoting a business culture that creates effective management partnerships among the Information Technology, Finance, Internal Affairs, Training and Development, and Human Resources Management functions. To ensure that CBP remains the employer of choice for a talented, dedicated workforce, it will implement a leadership-focused culture that recruits, trains, and retains the right people.

C. Resources Requested and Performance Impact

Major Changes within the Base Level

The FY 2011 President's Budget funding request will allow CBP to fulfill its priority mission of preventing terrorists and terrorist weapons from entering the United States while facilitating legitimate travel and trade. This request will provide CBP with the opportunity to transform border control and security at and between POEs, using an effective mix of manpower, infrastructure and technology. To ensure that America's borders are not the first line of defense against terrorism, CPB's request will provide additional means for extending our zone of security beyond our physical borders. Furthermore, CBP will be able to continue to focus on its traditional mission of enforcing trade, agriculture, customs, and immigration laws, and regulations at our borders. CBP will continue to reallocate resources from lower to higher priorities to meet its strategic goals and objectives.

The President's Budget requests a total of \$11.180 billion in FY 2011, a decrease of \$269 million from the FY 2010 enacted request of \$11.449 billion. This funding level will allow CBP to maintain its mission capabilities and important activities and programs by managing efficiencies and requesting programmatic changes. The FY 2011 budget request will increase direct FTE from 58,223 for FY 2010 to 58,575 for FY 2011. Changes include: 10 FTE for the annualization of positions from the FY 2009 American Recovery Reinvestment Act for Land Ports of Entry; 74 FTE for the annualization of the FY 2009 War Supplemental positions; 72 FTE for the annualization of positions for Air and Marine Strategy; 26 FTE for the annualization of 65 CBP Officers; 44 Border Patrol Agents and 16 support staff for Combating Southbound Firearms and Currency Smuggling on the Southwest border Initiative; 61 FTE for the annualization of additional Border Patrol Staff; 51 FTE for the annualization of 12 scientists, 1 paralegal, 34 international trade specialists, 32 auditors, 10 attorneys, 3 import specialists and 11 support personnel for Import Safety and Trade Enforcement; 11 FTE for the annualization of 20 Customs and Border Protection Officers and 2 mission support personnel for Analyze and Employ Information and Intelligence; 3 FTE for the annualization of Technology Oversight positions for TECS, Secure Border Initiative, and Automated Commercial Environment; 1 FTE for the annualization of a position for the Conduct and Integrity Oversight Initiative; 475 FTE from an Office of Information Technology

management and technology efficiency adjustment to base for the conversion of contractors to Federal employees; (425) FTE from an adjustment to base decrease for user fee projections; and 195 FTE from an Office of Field Operations Position enhancement for 315 CBPOs.

Additionally, the President’s Budget requests a \$99.8 million recession of prior year unobligated balances which had been appropriated for Facilities.

Adjustments-to-Base

CBP requests the following adjustments to base to meet the current services level requirements in the following areas:

- **Journeyman Increase \$310.4 million (0 FTE)**
The 2011 Budget funds the full-year impact of the salary and benefit requirements associated with the implementation of raising the journeyman grade level for frontline CBP officers, Border Patrol agents and Agricultural Specialists—from the GS-11 level to the GS-12 level. This change will be implemented in the spring of 2010. The work responsibilities of CBP officers, Border Patrol agents, and Agricultural Specialist have continued to increase since the creation of DHS.
- **CBP Officers..... \$46.8M (389 FTE)**
CBP requests an adjustment to base of \$46.8 million to fund 318 FTEs within the Office of Field Operations and 71 support FTEs for the agency. This will support CBP’s mission to protect the U.S. at its Ports of Entry from the infiltration of terrorists and other criminal elements into the country and address illegal smuggling of drugs, money instruments, and aliens across our borders.
- **Automated Commercial Environment (ACE)..... -\$75.0M (0 FTE)**

In FY 2011, the ACE program will begin entering into an operation and maintenance steady state and forgo development of enhanced modernization capabilities. ACE is an automated process that facilitates legitimate trade while helping to interdict illicit/unsafe goods, streamlines the flow of all trade information, and provides CBP/DHS with risk-based decision-making capabilities to further secure U.S. borders. ACE will continue to enhance border security, expedite trade flow and simplify and expedite cargo releases. However, the development of the remaining basic entry summary transactions, modernized cargo release processes or enhancing the single window concept that integrates with Participating Government Agencies will be deferred.

Management Efficiencies

In April 2009, Secretary Napolitano announced a series of bold and far-reaching initiatives to improve efficiency and increase transparency in the Federal Government. The initiatives, termed “Efficiency Reviews,” sought to ensure taxpayer dollars are being used in the most efficient way possible. The reviews focused initially on the key areas of reducing printing and distribution cost; maximizing use of government versus commercial facilities for meetings, conferences, etc.; consolidation of publication subscriptions; and eliminating non-essential travel while maximizing use of conference calls and web-based training and meetings. As an overarching theme, the initiatives seek to create a culture of increased stewardship and accountability to our Nation including thinking outside the initial focus areas. Actively engaged in this program, CBP will achieve a 25 percent reduction in energy costs at a new Border Patrol Sector Station in El Paso that has emphasized “green” energy design and construction. In coordination with ICE, CBP also

expects to generate more than \$250,000 in annual savings through a new voluntary conversion of paystubs from paper to online.

For FY 2011, CBP's efforts will continue. Every dollar saved will be prioritized to support CPB's most critical mission activities. Major initiatives include:

- The Office of Information Technology (OIT) will reduce Inspection, Trade and Travel Facilitation by the \$40.6 million by hiring federal employees to perform inherently governmental tasks currently performed by contractors resulting in 475 FTE.
- CBP will eliminate a contract which provides information on companies' financial status and soundness which will result in a cost avoidance of \$10.8 million annually. This identified efficiency will eliminate the purchase of information on the financial solvency of trading companies and rely on current and open sources for the required information.
- The Office of Border Patrol will reduce its budget by \$12.0 million in the areas of travel, supplies and equipment. This will be done by reducing the number of Temporary On-Duty personnel detailed to headquarters and government travel by headquarters personnel to attend meetings.
- The Office of Training Development will reduce funding by \$2.1 million in the area of basic training.
- The Office of Field Operations will reduce headquarters and field travel by \$3.6 million.
- The Office of Human Resource will reduce travel by \$680,000.
- CBP will save \$387,000 from management efficiencies implemented through WHTI technology by purchasing a non-Radio Frequency Identification (RFID) sticker in lieu of using the current RFID technology sticker for the Secure Electronic Network.

Program Changes to the Current Service Level

The following is a list of programs changes to address priorities for FY11.

These changes fund the increased salary and benefit requirements associated with the implementation of raising the journeyman grade level for the frontline Officers and Agents, fund shortfalls for the annualization of enhancements received in prior years, and sustain the facilities and equipment funded through the American Recovery and Reinvestment Act (ARRA) initiatives, such as NII, Tactical Communication and LPOE modernization.

FY 2011 Program Changes

Program Increases

Data Center Migration..... \$26.6M (0 FTE)

CBP requests an increase of \$26.6 million for the Data Center consolidation effort, which will standardize Information Technology (IT) resource acquisitions across components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting

response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time. The data center development funding, to be managed through the DHS Working Capital Fund, will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers.

Intellectual Property Rights Enforcement..... \$25.0M (100 FTE)

CBP requests an increase of \$25.0 million for IPR enforcement. The additional resources will be used to enhance information technology systems and enforcement activities that support IPR activities and will support the implementation of the IPR 5-Year Plan and CBP’s strategic goal of releasing legitimate cargo without delay, intercepting infringing goods, and preventing and deterring violations.

Intelligence Analysts..... \$10.0M (52 FTE)

CBP requests an increase of \$10.0 million to fund 103 Intelligence Analysts to support 24/7 operations of CBP Intelligence Watch, Operations Coordination and the Commissioner’s Situation Room. These positions will insure that CBP’s leadership is provided with the intelligence information required to make tactically and strategically sound decisions while also insuring cost-effectiveness.

FY 2011 Program Changes

Program Decreases

Border Security, Fencing, Infrastructure, & Technology (BSFIT)..... -\$158.3M (0 FTE)

A total of \$574M is requested for SBI in FY 2011, this is a reduction of \$158M from the FY 2010 enacted level. This funding level maintains CBP’s investment in priority border technology, including the construction, deployment and evaluation of Block 1 of the SBInet initiative to additional border patrol sectors in Arizona. Moreover, the FY 2011 request expands the deployment and integration of technology along the northern border. The request permits deployments of new tactical infrastructure, P-25 Tactical Communications modernization, and other technology (i.e., mobile sensor capabilities), and continue to support field maintenance and logistics activities for deployed tactical infrastructure, SBInet, P-25, Mobile Surveillance Systems, and legacy systems.

OIT Reduce Contractor Support..... -\$74.4M (0 FTE)

CBP requests a reduction of \$74.4 million to contractor. The reduction will occur through less direct field support and increased centralized IT Help Desk support. OIT plans to standardize desktops, servers and storage; consolidating and centralizing management of desktops; virtualizing services and workstations; and by optimizing circuits and bandwidth.

Western Hemisphere Travel Initiative (WHTI)..... -\$24.5M (0 FTE)

CBP requests a reduction of \$24.5 million in the WHTI Program because it is transitioning to a steady state. The reduction will be achieved by eliminating one half of funds recurred in FY 2011 for new acquisitions in FY 2010 (\$10.5 million) and reducing FY 2011 base funding by \$14.0 million.

Secure Freight Initiative (SFI)..... -\$16.6M (-4 FTE)

CBP requests a reduction of \$16.6 million in the Secure Freight Initiative (SFI) Program. SFI will transition three of the five existing ports (Honduras, Southampton, and Korea) from a 100% scanning operation to CSI operations. Under CSI protocols, only targeted, high-risk cargo will be examined, as opposed to 100% of all cargo under SFI. CSI will increase the use of remote targeting and examinations in order to achieve the program’s objectives. The remaining funding will support existing operations.

Customs-Trade Partnership Against Terrorism (C-TPAT) -\$12.0M (0 FTE)

CBP requests a reduction of \$12.0 million in the C-TPAT program because it is transitioning from an expanding program to a steady-state program. The Automated Web-Base Portal System funding will be reduced by \$2.0 million by reducing from 8 to 2 the number of contract programmers assigned to OIT in equal increments from FY 2010 – FY 2012. The program will also take a \$10.0 million reduction in support funds, i.e., equipment, services and supplies.

D. Performance Highlights, Resources and Alignment to Strategic Goals

For each mission-oriented program, the program performance goal, alignment to Secretary’s priorities, total dollars and FTE, and Government Performance and Results Act (GPRA) performance plan measures are shown below. Additional measures are also displayed, as appropriate, to provide a more thorough context of expected performance results.

Program: Border Security Inspections and Trade Facilitation at Ports of Entry						
Performance Goal: Improve the targeting, screening, and apprehension of high - risk international cargo and travelers to prevent terrorist attacks, while providing processes to facilitate the flow of safe and legitimate trade and travel.						
Secretary’s Priority: Securing and Managing our Border; Complementary Activities						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$3,827,103	\$3,890,812	\$4,313,718	\$4,820,325	\$4,593,088	\$4,810,530
FTE	26,117	26,479	28,687	30,311	31,397	31,397

Performance Plan Measures

Measure: Air passenger apprehension rate for major violations						
Description of Measure: This measure provides a statistically valid estimate of the apprehension rate of air passengers for major violations at international airports. Data is derived from a comprehensive compliance examination program used to identify the rate of major violations in the sample, which is then applied to the general population. The major violations found during the regular primary inspection process are then compared to the expected number to compute the apprehension rate for major violations among air passengers traveling to the U.S. A major violation involves serious criminal activity, including possession of narcotics, smuggling of prohibited products, human smuggling, weapons possession, fraudulent U.S. documents, and other offenses serious enough to result in arrest. These major violations comprise less than 1% of the overall number of travelers presenting themselves at the Ports of Entry. Narcotics violators constitute the biggest segment that gets through without detection.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	N/A	41%	25%	FOUO	FOUO
Actual:	None	40.3%	25%	FOUO	N/A	N/A

Measure: Land border passenger apprehension rate for major violations						
Description of Measure: This measure provides a statistically valid estimate of the apprehension rate of land vehicle passengers for major violations who enter through U.S. land border ports of entry. A major violation involves serious criminal activity, including possession of narcotics, smuggling of prohibited products, human smuggling, weapons possession, fraudulent U.S. documents, and other offenses serious enough to result in arrest. The sample rate is used to estimate the expected number of major violations in the general population. The major violations found during the primary inspection process are then compared to the expected number to compute the apprehension rate for major violations among vehicle passengers traveling to the U.S. These major violations comprise a very small proportion of the number of travelers presenting themselves at Ports of Entry and far less than 1% in both air and land. Narcotics violators constitute the biggest segment of violators that get through without detection.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	N/A	35%	28%	FOUO	FOUO
Actual:	None	34.5%	28.9%	FOUO	N/A	N/A

Measure: Air passengers compliant with laws, rules, and regulations (%)						
Description of Measure: This measure is the compliance rate of international air passengers with all of the laws, rules, and regulations that CBP enforces at the Ports of Entry, with the exception of agriculture laws and regulations. It is also referred to as the Air COMPEX rate, and includes ALL customs and immigration violations, both category I (major) and category II (relatively minor). Category II violations far out - number category I violations and include all noncompliance with established customs and immigration laws, rules, regulations, as well as violation of all rules and regulations of other agencies that CBP is tasked by Congress with enforcing. This includes inadmissible alien travelers (for any reason) as well as discovery of prohibited items for other agencies, such as FDA pharmaceutical regulations, confiscation of alcoholic beverages on behalf of state authorities, CPSC product safety alerts, and trade violations such as amended declarations resulting in additional revenue or CBP action.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	99.2%	99.2%	99.2%	99.2%	98.0%	98.0%
Actual:	98.7%	98.7%	99.5%	98.1%	N/A	N/A

Measure: Border vehicle passengers in compliance with agricultural quarantine regulations (percent compliant)						
Description of Measure: The measure shows CBP's success at maintaining a high level of security in the land border environment by measuring the degree of compliance with U.S. Department of Agriculture (USDA) agricultural quarantine regulations and other mandatory agricultural product restrictions. CBP randomly samples border vehicle passengers for compliance with all USDA laws, rules, and regulations using USDA guidance on sampling procedures.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	94.6%	94.6%	94.6%	95.5%	95.5%	95.5%
Actual:	92.9%	95.7%	97.73%	97.06%	N/A	N/A

Measure: Compliance rate for Customs - Trade Partnership Against Terrorism (C - TPAT) members with the established C - TPAT security guidelines.						
Description of Measure: This measure provides a summary of the overall compliance rate achieved for all validations performed during the Fiscal Year. After acceptance into the C - TPAT program, all C - TPAT members must undergo a periodic validation in which CBP examiners visit company locations and verify compliance with an industry - specific set of CBP security standards and required security practices. These validations are prepared using a weighted scoring system that is used to develop an overall compliance rate for each company. This measure provides a summary of the overall Compliance Rate achieved for all validations performed during the Fiscal Year.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	90%	95%	95.5%	99%	95%	95%
Actual:	98%	98%	99.9%	97.5%	N/A	N/A

Measure: Estimated revenue losses due to non - compliance with trade laws, regulations, and agreements (in millions)						
Description of Measure: This measure estimates the amount of uncollected duties, in millions, with an annual target of 1% or less of all collectable revenue (i.e. revenue gap) from commercial imports to the United States due to non - compliance with trade laws, regulations, and agreements. This is projected annually for expected growth in imports and revenues. The revenue gap is a calculated estimate based on a statistically valid sample of the revenue losses and overpayments detected during compliance measurement reviews conducted throughout the year. The estimate is called The Entry Summary Compliance Measurement (ESCM) which provides baseline and trend data for revenue gap estimates and trade compliance. This information is also used to target potential illegal operations and emerging risks.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	\$265	\$310	\$310
Actual:	None	None	None	\$235	N/A	N/A
Measure: International air passengers in compliance with agricultural quarantine regulations (percent compliant)						
Description of Measure: The measure shows CBP's success at maintaining a high level of security in the international air environment by measuring the degree of compliance with U.S. Department of Agriculture (USDA) agricultural quarantine regulations and other mandatory agricultural product restrictions by international air passengers. CBP randomly samples international air passengers for compliance with all USDA laws, rules, and regulations using USDA guidance on sampling procedures.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	97%	97%	97%	96%	95.5%	95.5%
Actual:	95.5%	94.2%	95.8%	96.12%	N/A	N/A

Measure: Land border passengers compliant with laws, rules, and regulations (%)						
Description of Measure: This measure is the Compliance Rate of land border vehicle passengers with all of the laws, rules, regulations that CBP enforces at the Ports of Entry, with the exception of agricultural laws and regulations. It is also referred to as the Land COMPEX rate, includes ALL customs and immigration violations, both category I (major) and category II (relatively minor). Category II violations far out - number category one violations and include all noncompliance with established customs and immigration laws, rules, and regulations, as well as violation of all rules and regulations of other agencies that CBP is tasked by Congress with enforcing. This includes inadmissible alien travelers (for any reason) as well as discovery of prohibited items for other agencies, such as FDA pharmaceutical regulations, confiscation of alcoholic beverages on behalf of state authorities, CPSC product safety alerts, trade violations such as amended declarations resulting in additional revenue or CBP action.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	99.9%	99.9%	99.9%	99.9%	99.6%	99.6%
Actual:	99.9%	99.9%	99.9%	99.8%	N/A	N/A

Measure: Percent of individuals screened against law enforcement databases for entry into the United States						
Description of Measure: This measure identifies the percent of individuals arriving at the ports of entry who have their names and other identification information checked against electronic law enforcement databases. A query is comprised of a review of identification documents such as passports, visas, border crossing cards, military identification, etc., for authenticity and a check of the individual's name and other identification information against the electronic law enforcement databases available through the Traveler Enforcement Communications System (TECS) during the entry process at all ports of entry, including airports, land border ports, and seaports. More thorough screening increases the likelihood that high - risk travelers that might cause harm are not allowed entry into the United States.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	60%	80%	FOUO	FOUO
Actual:	None	None	73.5%	FOUO	N/A	N/A

Measure: Percent of requested cargo examinations conducted at foreign ports of origin in cooperation with host nations under the Container Security Initiative (CSI)						
Description of Measure: Customs and Border Protection (CBP) officials located at foreign ports participating under agreements between the host nations and the Container Security Initiative (CSI) request examinations on containers that have been identified by CBP as higher - risk. This measure is the percent of requested container examinations resolved or conducted by foreign Customs officials meeting CBP examination standards and requirements divided by the total number of examinations requested by CBP CSI officials. These examinations would otherwise have taken place at US ports of entry. The measure is an indication of the extent to which potential higher - risk cargo is satisfactorily inspected before it leaves the foreign port of origin. It also reflects the cooperation of foreign Customs officials, who are not required by law to complete examinations, but do so by arrangement through the Declaration of Principles between CBP and the host country.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	97%	97%	95%	95%
Actual:	None	None	95.1%	93%	N/A	N/A

Measure: Percent of sea containers scanned for contraband and concealed people using imaging for physical inspection						
Description of Measure: The measure shows the progress towards increasing security by tracking the percent of sea containers arriving at seaports that are scanned for contraband and concealed people using non - intrusive inspection (NII) technology and physical inspection. Sea containers that are scanned are those that are identified as high - risk through the Automated Targeting System (ATS) manifest reviews as well as those selected for random review. NII technology consists of x - ray imaging and electro - magnetic imaging equipment that is very effective at inspecting trucks, containers, and packages for shapes, density, and hidden cargo to identify weapons, narcotics, smuggled humans, and concealed cargo. NII equipment is not effective at identifying radioactive or weapons - grade materials which are identified using radiation portal monitors. These two technologies work together to fully screen cargo.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	5.25%	5.5%	5.75%	3.2%	FOUO	FOUO
Actual:	5.25%	4.0%	3.6%	FOUO	N/A	N/A

Measure: Percent of truck containers scanned for contraband and concealed people using imaging for physical inspection						
Description of Measure: The measure shows the progress towards increasing security by tracking the percent of truck containers that were scanned for contraband and concealed people using non-intrusive inspection (NII) technology or physical inspection. Truck containers that are scanned are those that are identified as high-risk through the Automated Targeting System (ATS) as well as those selected for random review. NII technology consists of x-ray imaging and electro-magnetic imaging equipment that is very effective at inspecting trucks, containers, and packages for shapes, density, and hidden cargo to identify weapons, narcotics, smuggled humans, and concealed cargo. NII equipment is not effective at identifying radioactive or weapons-grade materials which are identified using radiation portal monitors. These two technologies work together to fully screen cargo.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	FOUO	FOUO
Actual:	None	None	None	FOUO	N/A	N/A

Measure: Percent of rail containers scanned for contraband and concealed people using imaging for physical inspection						
Description of Measure: The measure shows the progress towards increasing security by tracking the percent of rail containers that were scanned for contraband and concealed people using non-intrusive inspection (NII) technology or physical inspection. NII technology consists of x-ray imaging and electro-magnetic imaging equipment that is very effective at inspecting trucks, containers, and packages for shapes, density, and hidden cargo to identify weapons, narcotics, smuggled humans, and concealed cargo. NII equipment is not effective at identifying radioactive or weapons-grade materials which are identified using radiation portal monitors. These two technologies work together to fully screen cargo.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	FOUO	FOUO
Actual:	None	None	None	FOUO	N/A	N/A

Measure: Percent of worldwide U.S. - destined containers processed through Container Security Initiative (CSI) ports						
Description of Measure: This measure is the percent of worldwide U.S. - destined containers (and their respective bills of lading) processed through CSI ports as a deterrence action to detect and prevent weapons of mass destruction/effect and other potentially harmful materials from leaving foreign ports headed to U.S. ports. Processed may include any of the following: 1) U.S. - destined cargo manifest/bills of lading data reviewed using the Automated Targeting System (ATS); 2) further research conducted; 3) collaboration with host country and intelligence representatives, and 4) physical examination of the container.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	81%	86%	86%	86%	FOUO	FOUO
Actual:	82%	86%	86.1%	FOUO	N/A	N/A

Program: Border Security and Control Between Ports of Entry						
Performance Goal: Gain effective control of the U.S. border in areas deemed as high priority for terrorist threat potential or other national security objectives.						
Secretary's Priority: Securing and Managing our Borders						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$3,041,760	\$3,099,934	\$4,025,611	\$4,994,645	\$4,804,295	\$4,646,159
FTE	14,300	16,221	19,994	23,231	24,620	24,635

Performance Plan Measures

Measure: Border miles under effective control (including certain coastal sectors)						
Description of Measure: This measure depicts the number of border miles under effective control, a condition met when there is reasonable assurance that illegal entries are detected, identified, and classified, and the Border Patrol has the ability to respond and bring these incidents to a satisfactory law enforcement resolution. Our Nation's southwest, northern, and coastal borders extend 8,607 miles through deserts, prairies, forests, mountains, open spaces, waterways, small town settings, and urban centers. This vast area between the legal ports of entry is controlled by deploying the appropriate mix of personnel, technology, and tactical infrastructure to the disparate border environments.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	338 miles	524	674	815	939	939
Actual:	449	599	757	939	N/A	N/A

Measure: Border miles with increased situational awareness aimed at preventing illegal entries per year						
Description of Measure: This measure indicates the number of border miles where the situational awareness has increased, or improved, to prevent illegal entries into the U.S. The Border Patrol uses the following levels to describe border security from the least secure to the most secure: Remote/Low Activity; Less Monitored; Monitored; and Controlled. Border regions classified as Remote/Low Activity are generally characterized by rugged and inaccessible terrain. By raising the border security status to Less Monitored (or higher), the Border Patrol improves its situational awareness and border security.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	136	100	100	141	108
Actual:	None	387	480	555	N/A	N/A

Measure: Percent of apprehensions at Border Patrol checkpoints.						
Description of Measure: Checkpoints are facilities used by the Border Patrol to monitor traffic on routes of egress from areas on the Southwestern and Northern borders. Checkpoints are an integral part of the Border Patrol's defense-in-depth, layered strategy. As such, measurements of activities occurring at checkpoints serve not only to gauge checkpoint operational effectiveness, but also serve as barometers of the effectiveness of the Border Patrol's overall national border enforcement strategy to deny illegal entries into the United States. This measure examines one component of checkpoint activity, the number of persons apprehended by Border Patrol agents, and compares these apprehensions to Border Patrol apprehensions made nationwide.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	5 - 10%	5 - 10%	3 - 8%	>3%	<5%	<5%
Actual:	5.9%	5%	2%	2.85%	N/A	N/A

Program: Automation Modernization						
Performance Goal: Improve the threat and enforcement information available to decision makers to enforce trade rules and regulations and facilitate U.S. trade.						
Secretary's Priority: Securing and Managing our Borders						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$509,632	\$451,440	\$476,609	\$511,334	\$422,445	\$347,575
FTE	62	62	63	63	63	63

Performance Plan Measures

Measure: Number of trade accounts with access to Automated Commercial Environment (ACE) functionality to manage trade information						
Description of Measure: This measures the extent to which the Automated Commercial Environment (ACE) is made available to and used by members of the trade community (importers, brokers, carriers, etc.) to process and manage trade - related information.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	5000	9,000	14,000	15,500	20,000	21,000
Actual:	3,737	11,950	15,465	17,014	N/A	N/A

Measure: Percent of CBP workforce using Automated Commercial Environment (ACE) functionality to manage trade information.						
Description of Measure: The number of Customs and Border Protection people using Automated Commercial Environment (ACE), compared to the targeted adoption rate shows that internal personnel have easier, timelier, access to more complete and sophisticated information than in the past.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	14%	30%	40%	63%	42%	60%
Actual:	23%	30%	38.3%	40%	N/A	N/A

Measure: Percent of network availability.						
Description of Measure: The CBP network provides the basis for linking all IT systems for communications and access to mission critical systems. High levels of system availability are needed to accomplish CBP's mission. The measure represents the percentage of network availability to users.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	98%	98%	98%	98%	98%	98%
Actual:	99.9	99.4%	99.7%	99.068%	N/A	N/A

Measure: Total number of linked electronic sources from CBP and other government agencies for targeting information						
Description of Measure: This measure counts the number of electronic sources to which CBP information technology systems are linked to share information for targeting purposes. The measure reflects the ability to accurately and efficiently identify a potential risk to border security in any conveyance entering the U.S. is improved by linking data sources from CBP automated systems and other government agencies, through the Automated Commercial Environment (ACE), as a single source for border decision makers.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	4	16	16	22	24	26
Actual:	9	16	19	22	N/A	N/A

Measure: Percent of time the Traveler Enforcement Communication System (TECS) is available to end users.

Description of Measure: This measure quantifies the availability of the Traveler Enforcement Communication System (TECS) service to all end - users based on a service level of 24X7 service. TECS is a CBP mission - critical law enforcement application system designed to identify individuals and businesses suspected of or involved in violation of federal law. TECS is also a communications system permitting message transmittal between DHS law enforcement offices and other National, State, and local law enforcement agencies, access to the FBI's National Crime Information Center and the National Law Enforcement Telecommunication Systems (NLETS). NLETS provides direct access to state motor vehicle departments.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	92%	97%	97.5%	98%	98%	99%
Actual:	98%	98.7%	99.9%	99%	N/A	N/A

Program: Air and Marine						
Performance Goal: Deny the use of air, land, and coastal waters for conducting acts of terrorism and other illegal activities against the United States.						
Secretary's Priority: Securing and Managing our Borders						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$598,281	\$864,080	\$796,787	\$804,679	\$829,455	\$801,581
FTE	1,200	1,260	1,513	1,732	1,943	1,895

Performance Plan Measures

Measure: Number of detected conventional aircraft incursions along all borders of the United States						
Description of Measure: This measure shows the number of conventional aircraft that were detected attempting illegal entry into United States airspace. The measure reflects the program's efforts in reducing, with the intent of ultimately denying, the use of border air space for acts of terrorism or smuggling. Strategic air surveillance and tactical responses to incoming threats are used to deter the use of air routes into the U.S. The program gathers and analyzes intelligence on past and current threat patterns to forecast and disseminate information about potential and emerging threats.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	≤ 100	≤ 100
Actual:	None	None	None	None	N/A	N/A

Measure: Percent of air support launches accomplished to support border ground agents to secure the border.						
Description of Measure: A primary and important measure for Air and Marine (AM) is its capability to launch an aircraft when a request is made for aerial support. This measure captures the percent of all requests made for air support to which the program was able to respond.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	>95%	>95%	>95%	>95%	>95%
Actual:	None	98%	98%	99%	N/A	N/A

Measure: Percent of at-risk miles under strategic air surveillance						
Description of Measure: The measure reflects the percent of at - risk miles under strategic air surveillance using Air and Marine personnel, technology, and equipment. At - risk miles is defined as those miles deemed to be of higher risk of illegal border crossing based on intelligence and historical data. Air surveillance assists with the detection, monitoring, and interdiction of terrorists and illegal aliens, and the smuggling of drugs and other contraband. This program assists in securing the border through a multi layer approach using 1) P - 3 and Unmanned Aerial System aircraft, 2) Intelligence driven support for the rapid deployment of forces, and 3) Strategic and tactical support to ground law enforcement.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	50%	60%	70%	80%	FOUO	FOUO
Actual:	55%	60%	84%	FOUO	N/A	N/A

Program: Border Security Fencing, Infrastructure, and Technology						
Performance Goal: Gain and maintain effective control of U.S. land border areas by deploying a combination of technology and tactical infrastructure to enhance the effectiveness of frontline officers and agents.						
Secretary's Priority: Securing and Managing our Borders						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$0	\$1,187,565	\$1,225,000	\$875,000	\$800,000	\$514,173
FTE	0	39	160	185	200	200

Performance Plan Measures

Measure: Total number of cumulative miles of permanent tactical infrastructure constructed						
Description of Measure: This measure shows the total number of cumulative miles of tactical infrastructure constructed. Tactical Infrastructure consists of barriers built to deter or delay illegal entries into the United States. Tactical infrastructure includes pedestrian fencing, all - weather roads, vehicle fence, and permanent lighting installed in the border areas to support border enforcement activities.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	310	600	800	825	825
Actual:	None	400.2	501.6	812	N/A	N/A

E. High Priority Performance Goals

High Priority Performance Goal: Prevent terrorist movement at land ports of entry through enhanced screening while expediting the flow of legitimate travel.

The United States land ports of entry handle hundreds of thousands of arriving and departing travelers each day. As threats to the homeland have increased since 9/11 and border violence has escalated over the past several years, expansion of our capability to screen all travelers at the land ports of entry has required a complex and sophisticated solution that addresses both the need for new technologies and upgrading aging and out-dated facilities. U.S. Customs and Border Protection (CBP) needs to continue to make sure that despite new challenges it continues to meet its twin objectives of security and facilitation of trade and travel.

Beginning in September 2008 upgrades in inbound vehicle primary processing technology and facilities, through the Western Hemisphere Travel Initiative (WHTI), have provided CBP with capabilities to better meet the twin objectives of security and facilitation in that environment. Work remains to leverage these investments by extending these capabilities to additional locations and to continue to get new RFID travel documents into the hands of travelers.

Though inbound vehicle processing capabilities are improved, a need for similar upgrades has been identified in certain outbound, pedestrian, and Border Patrol Checkpoint processing environments. A major benefit in upgrading all mission environments will be the integration of vehicle and passenger information and enhanced sharing among law enforcement operations.

By upgrading capabilities in these environments, and integrating traveler information across all mission environments, CBP will be better equipped to combat the illicit outflow of currency and weapons which fuel the increasingly violent drug trade, improve screening of the millions of pedestrians that annually cross the border, and greatly improve inspection efficiency and effectiveness at checkpoints.

Through integration of these vital land border missions, CBP will be positioned to improve screening, protect the Homeland, and improve the border travel experience for legitimate travelers.

High Priority Performance Goal Measures

FYHSP Program Name	Program Performance Goal	Performance Measure	Secretary's Priority
Border Security Inspections and Trade Facilitation at Ports of Entry	Improve the targeting, screening, and apprehension of high - risk international cargo and travelers to prevent terrorist attacks, while providing processes to facilitate the flow of safe and legitimate trade and travel.	Western Hemisphere Travel Initiative (WHTI) Compliance	Securing and Managing our Borders
Border Security Inspections and Trade Facilitation at Ports of Entry	Improve the targeting, screening, and apprehension of high - risk international cargo and travelers to prevent terrorist attacks, while providing processes to facilitate the flow of safe and legitimate trade and travel.	Personally-Owned Vehicle (POV) processing time	Securing and Managing our Borders
Border Security Inspections and Trade Facilitation at Ports of Entry	Improve the targeting, screening, and apprehension of high - risk international cargo and travelers to prevent terrorist attacks, while providing processes to facilitate the flow of safe and legitimate trade and travel.	Land Border Enforcement Query Rate	Securing and Managing our Borders
Border Security Inspections and Trade Facilitation at Ports of Entry	Improve the targeting, screening, and apprehension of high - risk international cargo and travelers to prevent terrorist attacks, while providing processes to facilitate the flow of safe and legitimate trade and travel.	Radio Frequency Identification (RFID) document utilization rate	Securing and Managing our Borders
Border Security Inspections and Trade Facilitation at Ports of Entry	Improve the targeting, screening, and apprehension of high - risk international cargo and travelers to prevent terrorist attacks, while providing processes to facilitate the flow of safe and legitimate trade and travel.	Average pedestrian processing time	Securing and Managing our Borders
Border Security Inspections and Trade Facilitation at Ports of Entry	Improve the targeting, screening, and apprehension of high - risk international cargo and travelers to prevent terrorist attacks, while providing processes to facilitate the flow of safe and legitimate trade and travel.	Outbound License Plate Reader (LPR) Rate	Securing and Managing our Borders

E. Digest Tables by Future Years Homeland Security Program (FYHSP)

FYHSP Program	FY2009 Revised Enacted ¹		FY2010 Enacted		FY2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Other Changes	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
1. Border Security Inspections and Trade Facilitation at POEs	30,311	4,820,325	31,397	4,593,088	31,782	4,810,530	385	217,442	(10)	(199,204)	395	416,646
Headquarters Management and Administration	2,156	676,608	2,186	520,575	2,190	521,141	4	566	(10)	(8,496)	14	9,062
Inspections, Trade, and Travel Facilitation at Ports of Entry	17,979	2,117,529	18,880	2,262,235	19,614	2,511,463	734	249,228	4	(104,926)	730	354,154
Harbor Maintenance Fee Collection (Trust Fund)	-	3,154	-	3,226	-	3,274	-	48	-	-	-	48
International Cargo Screening	189	149,450	189	162,000	185	84,445	(4)	(77,555)	(4)	(67,328)	-	(10,227)
Other international programs	101	10,984	101	11,181	101	11,308	-	127	-	-	-	127
C-TPAT	207	64,496	207	62,612	207	51,136	-	(11,476)	-	(12,000)	-	524
Trusted Traveler Program	-	11,274	-	11,274	-	10,887	-	(387)	-	-	-	(387)
Inspection and Detection Technology	-	250,944	-	153,563	-	155,153	-	1,590	-	(410)	-	2,000
Systems for Targeting	8	32,550	8	32,560	8	32,565	-	5	-	-	-	5
National Targeting Center	131	24,516	142	26,355	218	36,465	76	10,110	-	(3,394)	76	13,504
Training at the Ports of Entry	-	24,778	-	24,778	-	21,628	-	(3,150)	-	(2,650)	-	(500)
Small Airports (Discretionary)	54	7,057	54	8,000	54	8,164	-	164	-	-	-	164
Mandatory Funding*	9,486	1,446,985	9,630	1,314,729	9,205	1,362,901	(425)	48,172	-	-	(425)	48,172
2. Border Security Inspections and Trade Facilitation between POEs	23,231	4,994,645	24,620	4,804,295	24,635	4,646,159	15	(158,136)	15	(246,051)	-	87,915
Headquarters Management and Administration	1,635	652,550	1,654	495,425	1,646	494,201	(8)	(1,224)	(8)	(8,497)	-	7,273
Border Security and Control between POEs	21,466	3,434,044	22,836	3,535,286	22,884	3,538,208	48	2,922	48	(112,923)	-	115,845
Training Between the Ports of Entry	130	74,850	130	51,751	105	37,209	(25)	(14,542)	(25)	(13,378)	-	(1,164)
Construction	-	833,201	-	-	-	-	-	-	-	-	-	-
Rent	-	-	-	402,263	-	400,573	-	(1,690)	-	(11,481)	-	9,791
Facilities, Construction and Sustainment	-	-	-	282,557	-	139,585	-	(142,972)	-	(99,772)	-	(43,200)
Facilities Program Oversight and Management	-	-	-	37,013	-	36,383	-	(630)	-	-	-	(630)
3. Automation Modernization	63	511,334	63	422,445	63	347,575	-	(74,870)	-	-	-	(74,870)
ACE/ITDS	62	316,851	62	227,960	62	153,090	-	(74,870)	-	-	-	(74,870)
COOPS	1	194,483	1	194,485	1	194,485	-	-	-	-	-	-
4. Air and Marine Interdiction, Operations, Maintenance and Salaries	1,732	804,679	1,943	829,455	1,895	801,581	(48)	-27,874	(120)	(108,757)	72	80,883
Air and Marine Operations - Salaries	1,732	271,679	1,943	309,629	1,895	298,330	(48)	(11,299)	(120)	(18,182)	72	6,883
Operations and Maintenance	-	380,022	-	374,217	-	371,642	-	(2,575)	-	(10,804)	-	8,229
Air and Marine Operations - Procurement	-	152,978	-	145,609	-	131,609	-	(14,000)	-	(79,771)	-	65,771
5. Border Security, Fencing, Infrastructure and Technology	185	875,000	200	800,000	200	574,173	-	(225,827)	-	(248,974)	-	23,147
SBlNet Development and Deployment	-	605,000	-	508,000	-	335,643	-	(172,357)	-	(248,974)	-	76,617
SBlNet Operations and Maintenance	-	150,000	-	200,000	-	169,357	-	(30,643)	-	-	-	(30,643)
Program Management	185	120,000	200	92,000	200	69,173	-	(22,827)	-	-	-	(22,827)
Total budget authority	55,522	12,005,983	58,223	11,449,283	58,575	11,180,018	(73)	(221,093)	(115)	(802,986)	42	581,893

DEPARTMENT OF HOMELAND SECURITY
U.S. Immigration and Customs Enforcement



Fiscal Year 2011
Overview
Congressional Justification

i. Summary of FY Budget Estimates by Appropriation without Emergency Funding

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Summary of FY 2011 Budget Estimates by Appropriation**

**Total Appropriations
(Dollars in Thousands)**

Appropriation	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals ¹		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	17,287	5,069,467	19,557	5,342,134	20,164	5,439,100	607	96,966	120	80,338	487	16,628
Automation Modernization	12	59,456	19	90,000	36	84,700	17	(5,300)	36	84,700	(19)	(90,000)
Construction	9	20,704	-	4,818	-	-	-	(4,818)	-	-	-	(4,818)
Federal Protective Service	1,189	670,868	-	-	-	-	-	-	-	-	-	-
Breached Bond Detention Fund	9	74,895	13	75,000	13	75,000	-	-	-	-	-	-
Student Exchange and Visitor Program	34	81,002	387	120,000	387	120,000	-	-	-	-	-	-
Immigration Inspection User Fees	139	106,285	276	109,800	276	116,387	-	6,587	-	-	-	6,587
Subtotal, Enacted Appropriations and Budget Estimates	18,679	6,082,677	20,252	5,741,752	20,876	5,835,187	624	93,435	156	165,038	468	(71,603)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	18,679	6,082,677	20,252	5,741,752	20,876	5,835,187	624	93,435	156	165,038	468	(71,603)

¹ FY 2009 actuals included obligations of carry-forward balances from prior years. Also, carry-forward balances included \$181 million, which was the remaining balance of the \$200 million provided to Secure Communities in FY 2008 for two-year funding.

ii. Homeland and Non-Homeland Allocation

Department of Homeland Security
U.S. Immigration and Customs Enforcement
 Homeland and Non-Homeland Allocation by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	FY 2009						FY 2010						FY 2011					
	Actuals						Enacted						Request					
	PPA Non-Homeland Per Centage		PPA Homeland Percentage		Total		PPA Non-Homeland Per Centage		PPA Homeland Percentage		Total		PPA Non-Homeland Per Centage		PPA Homeland Percentage		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Personnel Compensation and Benefits, Service, and Other Costs	115	27,224	772	182,189	887	209,413	183	36,279	1224	242,794	1,407	279,073	192	39,048	1284	261,323	1,476	300,371
Headquarters Managed IT Investment	38	21,940	251	146,829	289	168,769	25	30,324	168	202,940	193	233,264	32	27,217	212	182,146	244	209,363
Legal Proceedings	154	27,420	1,029	183,504	1,183	210,924	156	28,817	1044	192,849	1,200	221,666	158	28,817	1055	192,849	1,213	221,666
Domestic Investigations	938	198,518	6,278	1,328,545	7,216	1,527,063	1119	214,442	7487	1,435,109	8,606	1,649,551	1167	224,515	7813	1,502,523	8,980	1,727,038
International Investigations	40	14,271	267	95,509	307	109,780	25	14,673	168	98,199	193	112,872	26	14,780	173	98,909	199	113,689
Visa Security Program	0	2,906	3	19,448	3	22,354	9	3,989	58	26,697	67	30,686	9	3,989	58	26,697	67	30,686
Intelligence	37	7,536	247	50,433	284	57,969	50	9,079	338	60,763	388	69,842	57	9,244	385	61,863	442	71,107
DRO - Custody Operations	638	230,710	4,267	1,543,986	4,905	1,774,696	677	230,252	4533	1,540,916	5,210	1,771,168	667	247,489	4464	1,656,275	5,131	1,903,764
DRO - Fugitive Operations	96	27,024	646	180,855	742	207,879	88	29,859	589	199,823	677	229,682	88	21,898	589	146,551	677	168,449
DRO - Criminal Alien Program	139	24,477	929	163,809	1,068	188,286	121	25,030	811	167,509	932	192,539	122	23,311	820	156,006	942	179,317
DRO - Alternatives to Detention	17	8,154	110	54,568	127	62,722	22	9,089	150	60,824	172	69,913	24	9,370	158	62,705	182	72,075
DRO - Transportation and Removal Program	-	33,250	-	222,523	-	255,773	-	36,644	-	245,234	-	281,878	8	38,302	51	256,330	59	294,632
Comprehensive Identification and Removal of Criminal Aliens	36	35,599	240	238,240	276	273,839	67	26,000	445	174,000	512	200,000	72	19,103	480	127,840	552	146,943
Automation Modernization	-	-	12	59,456	12	59,456	-	-	19	90,000	19	90,000	-	-	36	84,700	36	84,700
Construction	-	-	-	20,704	-	20,704	-	-	-	4,818	-	4,818	-	-	-	-	-	-
Basic Security	-	-	1,181	309,873	1,181	309,873	-	-	-	-	-	-	-	-	-	-	-	-
Building Specific Security	-	-	8	360,995	8	360,995	-	-	-	-	-	-	-	-	-	-	-	-
Breached Bond Detention Fund	-	-	9	74,895	9	74,895	-	-	13	75,000	13	75,000	-	-	13	75,000	13	75,000
Student Exchange and Visitor Program	-	-	34	81,002	34	81,002	-	-	387	120,000	387	120,000	-	-	387	120,000	387	120,000
Immigration Inspection User Fees	-	-	139	106,285	139	106,285	-	-	276	109,800	276	109,800	-	-	276	116,387	276	116,387
Total, U.S. Immigration and Customs Enforcement	2,247	659,031	16,423	5,423,646	18,670	6,082,677	2,542	694,477	17,710	5,047,275	20,252	5,741,752	2,621	707,083	18,255	5,128,104	20,876	5,835,187

iii. Status of Congressionally Requested Studies, Reports, and Evaluation

Department of Homeland Security

U.S. Immigration and Customs Enforcement

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2010	Unspecified	Conference Report 111-298, Title II, p.8	ATD Nationwide Expansion Plan - Withholds from obligation all personnel and non-planning costs for field office collocation until ICE submits a plan for nationwide expansion of ATD program identifying: (1) the funds required for nationwide program implementation; (2) the timeframe for achieving nationwide program implementation; and (3) an estimate of the number of individuals who could be enrolled in a nationwide program	Report was returned to ICE for changes. ICE is currently updating.
2010	Unspecified	Conference Report 111-298, Title II, p.76; Senate Report 111-31, Title II, p. 53	Automation Modernization Expenditure Plan - \$10,000,000 made available for Automation Modernization shall not be obligated until Committees receive FY 2010 expenditure plan.	Report is within ICE.

2010	Unspecified	House Report 111-157, Title II, p.56	Textile Transshipment Enforcement - ICE is directed to provide a report with its fiscal year 2011 budget request on its actual and projected obligations of this funding, covering fiscal years 2005 to 2010; including staffing levels by fiscal year since 2005, and a five-year enforcement plan for transshipment violations.	Report is within ICE.
2009	3/1/2009	Conference Report 110-329, Title II, p.637	Transportation of Unaccompanied Minors - ICE, along with DHS, OMB, and HHS, will issue recommendations on which agency is most appropriate to fund the transportation of unaccompanied alien minors between DHS and HHS custody.	Report was submitted to DHS and is still with OMB.
2009	11/14/2009	Conference Report 110-329, Title II, p.637	DRO 4th Quarter Report - DRO is directed to continue to report quarterly on deportation, exclusion, and removal orders sought and obtained by ICE.	Report is within ICE.
2009	11/14/2009	Conference Report 110-329, Title II, p.635	OI 4th Quarter Report - 'ICE will provide quarterly updates on the OI Spend Plan.	Report is within ICE.
2009	11/14/2009	House Report 110-862, Title II, p.57	Treatment of Children 4th Quarter Report - 'ICE will report quarterly on any incidents involving strip searches of children, or placing	Report is within ICE.

			them in restraints and/or using disciplinary weapons against them.	
2010	11/28/2009	Conference Report 111-298, Title II, p.73	SC Allocation Plan - 'Within 30 days of the enactment of this act, ICE directed to submit to the Committees an explicit plan for how the agency will allocate program resources to the identification and removal of deportable criminal aliens.	Report is within ICE.
2010	12/28/2009	Conference Report 111-298, Title II, p.75	'Deportation of Parents of U.S. Born Citizens - 'ICE directed within 60 days after the date of enactment of this Act, an evaluation of the process and data management system changes necessary to track the information timeline for implementing the required changes in fiscal year 2010.	Report is within ICE.
2010	1/4/2010	House Report 111-157, Title II, p.55	Family Detention Report - ICE is directed to report on the results of OPR's review of families detained in ICE custody since 2007 (as directed in the House Report) no later than the submission of the 2011 budget.	Report is within ICE.

2010	1/15/2010	Conference Report 111-298, Title II, p.74; Senate Report 111-31, Title II, p.51	DRO 1st Quarter Report - ICE is directed to continue to submit quarterly reports on detention and removal statistics; first quarterly report due not later than 1/15/2010.	Report is within ICE.
2010	1/29/2010	House Report 111-157, Title II, p.56	Treatment of Children 1st Quarter Report - ICE is directed to review the necessity of retaining the practices of strip searches of children, placement of children in restraints, or use of disciplinary weapons against children and update the Committee on any changes to these policies by 11/2/09 and ICE is directed to continue to provide reports 30 days after the end of each quarter of the fiscal year on any incidents involving strip searches of children, placement of children in restraints, or use of disciplinary weapons against children.	Report is within ICE.
2010	1/30/2010	House Report 111-157, Title II, p.53	Medical Services to Detainees Report - ICE is directed to report within 30 days of the end of each quarter on actions taken to address inadequacies in medical services to detainees.	Report is within ICE.

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
U.S. Immigration and Customs Enforcement**

Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity

(Dollars in Thousands)

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2011 Request
	Fiscal Year	Amount	Amount	Amount
Salaries and Expenses	2003¹ / 2004³	N/A¹ / \$1,399,592.4³	\$3,032,094²; N/A⁴	\$5,439,100
- Personnel Compensation and Benefits, Service, and Other Costs	2003 ¹ / 2004 ³	N/A ¹ / \$1,399,592.4 ³	\$3,032,094 ² ; N/A ⁴	\$300,371
- Headquarters Managed IT Investment	2003 ¹	N/A	N/A ⁵	\$209,363
- Legal Proceedings	2003 ¹	N/A	N/A ⁵	\$221,666
- Domestic Investigations	2003 ¹ / 2004 ³	N/A	N/A ⁵	\$1,727,038
- International Investigations	2003 ¹ / 2004 ³	N/A	N/A ⁵	\$113,689
- Visa Security Program	2003 ¹	N/A	N/A ⁵	\$30,686
- Intelligence	2003 ¹	N/A	N/A ⁵	\$71,107
- DRO - Custody Operations	2003 ¹	N/A	N/A ⁵	\$1,903,764
- DRO - Fugitive Operations	2003 ¹	N/A	N/A ⁵	\$168,449
- DRO - Criminal Alien Program	2003 ¹	N/A	N/A ⁵	\$179,317
- DRO - Alternatives to Detention	2003 ¹	N/A	N/A ⁵	\$72,075
- DRO - Transportation and Removal Program	2003 ¹	N/A	N/A ⁵	\$294,632
- Comprehensive Identification and Removal of Criminal Aliens	2003 ¹	N/A	N/A ⁵	\$146,943
Automation Modernization	2003¹	N/A	\$380,000	\$84,700
Construction	2003¹	N/A	\$258,637¹	\$0
Total Direct Authorization/Appropriation	N/A	\$0	\$3,412,094	\$5,523,800

¹ Immigration and Naturalization Service--inspection, investigations, Border Patrol, detention and deportation only (8 U.S.C. 1101, note; Immigration and Nationality Act, section 404(a)).

² Includes \$2,862,094,000 from the FY 2003 INS Salaries and Expenses appropriations, and \$170,000,000 included in the FY 2003 Wartime Supplemental Appropriations Act, PL 108-11.

³ Customs Service, including the investigations function (19 U.S.C. 2075(b)(1)).

⁴ No 2004 appropriation for the U.S. Customs Service.

⁵ PPA did not exist in the 2003 INS Appropriations.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses



Fiscal Year 2011
Overview
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Immigration and Customs Enforcement (ICE) Salaries and Expenses

I. Appropriation Overview

A – Mission Statement for Salaries and Expenses

Programs funded through the Salaries and Expenses account contribute to the ICE mission of bringing a unified and coordinated focus to the enforcement of federal immigration and customs laws. Salaries and Expenses resources are used to combat terrorism and illegal immigration activities through investigating, detaining, and prosecuting both criminal and other aliens, and domestic gangs. These activities protect the infrastructure and persons within the United States.

B – Budget Activities:

Management and Administration

The Offices of the Assistant Secretary (OAS), Professional Responsibility (OPR), State and Local Coordination (OSLC), the Chief Diversity Officer, the Chief Financial Officer (OCFO), the Chief Information Officer (OCIO), Acquisition Management, Human Capital, and Freedom of Information Act perform the management and administration (M&A) activities for ICE. The M&A activities include executive and overall leadership direction, strategic planning, policy development, and administrative support for the human, financial, information, and physical resources required to facilitate the operational capabilities of a productive ICE workforce.

Legal Proceedings

The Office of the Principal Legal Advisor (OPLA) provides the legal advice, training, and services required to support the ICE mission. As the legal representative for the U.S. Government at immigration court hearings, OPLA attorneys handle a variety of immigration-related issues that range from contested removals to custody determinations to applications for administrative relief. Additionally, OPLA provides legal advice in customs-related enforcement actions, represents the Government in Merit System Protection Board and Equal Employment Opportunity hearings, provides ethics advice, and handles matters involving commercial and administrative law.

Investigations

The Office of Investigations (OI) is divided into four broad investigative categories: National Security; Financial and Trade; Smuggling and Public Safety; and Investigative Services. OI enforces trade and immigration laws through the investigation of activities, persons, and events that may pose a threat to the safety or security of the United States and its people. OI also investigates illegal trafficking in weapons (including weapons of mass destruction), the smuggling of narcotics and other contraband, human smuggling

and trafficking, money laundering and other financial crimes, fraudulent trade practices, identity and benefit fraud, child pornography, child sex tourism, and health and public safety dangers.

International Affairs

The ICE Office of International Affairs (OIA) represents DHS's largest investigative law enforcement presence abroad and strongest protection beyond the border. ICE OIA has the broadest international footprint in DHS with 61 offices in 44 countries. Through OIA, ICE works with foreign counterparts to identify and combat criminal organizations before they can adversely impact the United States. ICE's international mission is to protect the United States by enhancing its security through international investigations; preventing acts of terrorism by targeting the people, money, and materials that support terrorist and criminal activities; and identifying and eliminating vulnerabilities in the nation's border, economic, transportation, and infrastructure security.

Intelligence

The Office of Intelligence collects, analyzes, and distributes information on critical homeland security vulnerabilities that could be exploited by terrorist and criminal organizations. Intelligence utilizes data and information on the movement of people, money, and materials into, within, and out of the United States to provide accurate and timely reporting to ICE leadership and field agents. Intelligence Operations' Field Intelligence Groups (FIGs) are the agency's primary vehicle for intelligence analysis in support of field operations and enforcement. FIGs link headquarters and field components to facilitate intelligence collection, integration, analysis, and dissemination.

Detention and Removal Operations

The Office of Detention and Removal Operations (DRO) is responsible for ensuring that every alien who has been ordered removed departs the United States through enforcement of the Nation's immigration laws and coordination with foreign governments to ensure countries will accept removable aliens. DRO is comprised of five Program/Project Activities:

Custody Operations Program – This program provides safe, secure, and humane detainment for removable aliens and seeks to ensure that aliens in ICE custody appear for their immigration hearings and subsequent removal from the United States.

Fugitive Operations Program – This program locates and apprehends fugitive aliens in the United States. ICE focuses on criminal aliens, but strives to identify and apprehend all fugitives, creating a deterrent to potential absconders and increasing the integrity of the immigration process.

Criminal Alien Program – This program identifies criminal aliens incarcerated within federal, state, and local correctional facilities. To ensure that these criminal aliens are not released into the community, ICE secures a final order of removal prior to the termination of their sentences. Upon completion of their criminal sentences, aliens are transferred into ICE custody to be removed from the United States.

Alternatives to Detention Program – This program places low-risk aliens under various forms of intensive supervision rather than traditional detention. It is a cost-effective way to ensure individuals’ appearance for an immigration hearing or for removal. This program lowers the risk that aliens will become fugitives through a variety of methods of supervision.

Transportation and Removal Program – This program provides for the safe and secure transportation of aliens in ICE custody and removal of aliens from the United States, as ordered by an immigration judge.

Secure Communities/A Comprehensive Plan to Identify and Remove Criminal Aliens (SC/CIRCA)

Secure Communities/Comprehensive Plan to Identify and Remove Criminal Aliens (SC/CIRCA) is a comprehensive plan to improve community safety by transforming the way the federal government cooperates with state and local law enforcement agencies to identify, detain, and remove criminal aliens held in custody and at large. SC/CIRCA is working to revolutionize immigration enforcement by using technology to share information between law enforcement agencies and by applying risk-based methodologies to focus resources on assisting local communities in the removal of those criminal aliens representing the greatest threat to community safety. SC/CIRCA’s risk-based application of enforcement assets is now being utilized ICE-wide.

C – Budget Request Summary:

U.S. Immigration and Customs Enforcement (ICE) requests 20,550 positions, 20,164 FTE, and \$5,439,100,000 for FY 2011 in the Salaries and Expenses (S&E) account. In order to accomplish the agency’s objectives and mission, ICE requests \$5,358,762,000 and 20,044 FTE to maintain current services and \$80,338,000 and 120 FTE in program enhancements in the S&E account.

Enhancement Requests

ICE requests program enhancements for the Salaries and Expenses account in the following key areas:

- **Detention and Removal Operations\$20.0M (0 FTE)**
This request will help detention and removal operations to maintain current bed space. The funding will covers such items as contract costs, medical care, and oversight.
- **Co-Location of ICE Facilities.....\$19.9M (0 FTE)**
This request funds the third year of the ICE-wide co-location strategy to consolidate ICE personnel and operations scattered across multiple buildings in select metropolitan areas with the intended result of improved operational efficiency and long-term cost savings.

- **Office of Investigations Mission Support.....\$15.0M (84 FTE)**
 This request will fund a total of 84 mission support FTEs to help alleviate administrative functions performed by agents and allow them to focus on their primary function – the investigation of transnational and border crime. This funding will help ensure agents have the necessary mission support so they can focus their efforts on investigations, rather than administrative tasks.
- **Data Center Migration.....\$10.4 M (0 FTE)**
 This request is targeted at migrating data center operations, active online data, and other IT assets from two Department of Justice (DOJ) data centers and multiple processing centers to two new DHS data centers while ensuring near continuous operations of mission-critical IT systems through contingency infrastructure, planning, and testing, to provide systems and data integrity that align with the DHS goal of ensuring that two new DHS Data Centers support fully redundant IT systems.
- **Border Enforcement Security Task Forces (BESTs).....\$10.0M (23 FTE)**
 This request will establish BESTs in three additional locations (Massena, NY; San Francisco, CA and Honolulu, HI) to prevent the illegal smuggling of goods, and the illegal entry of persons, with a priority focus on terrorist groups, gang members, and criminal aliens.
- **Intellectual Property Rights Enforcement.....\$5.0M (13 FTE)**
 This request will fund a total of 13 FTE for the ICE-led National Intellectual Property Rights Coordination Center (IPR Center), a collaborative effort bringing together key US government agencies, to stop intellectual property rights (IPR) violations that threaten our economic stability, restrict the competitiveness of US industry, and endanger the public’s health and safety. Additionally, ICE will focus on disrupting criminal organizations through the internet to facilitate IPR crime and provide support for anti-counterfeiting efforts.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security U.S. Immigration and Customs Enforcement Salaries and Expenses

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Personnel Compensation and Benefits, Service, and Other Costs	887	209,413	1,407	279,073	1,476	300,371	69	21,298	-	19,938	69	1,360
Headquarters Managed IT Investment	289	168,769	193	233,264	244	209,363	51	(23,901)	-	10,400	51	(34,301)
Legal Proceedings	1,183	210,924	1,200	221,666	1,213	221,666	13	-	-	-	13	-
Domestic Investigations	7,216	1,527,063	8,606	1,649,551	8,980	1,727,038	374	77,487	120	30,000	254	47,487
International Investigations	274	109,780	193	112,872	199	113,689	6	817	-	-	6	817
Visa Security Program	36	22,354	67	30,686	67	30,686	-	-	-	-	-	-
Intelligence	284	57,969	388	69,842	442	71,107	54	1,265	-	-	54	1,265
DRO - Custody Operations	4,905	1,774,696	5,210	1,771,168	5,131	1,903,764	(79)	132,596	-	20,000	(79)	112,596
DRO - Fugitive Operations	742	207,879	677	229,682	677	168,449	-	(61,233)	-	-	-	(61,233)
DRO - Criminal Alien Program	1,068	188,286	932	192,539	942	179,317	10	(13,222)	-	-	10	(13,222)
DRO - Alternatives to Detention	127	62,722	172	69,913	182	72,075	10	2,162	-	-	10	2,162
DRO - Transportation and Removal Program	-	255,773	-	281,878	59	294,632	59	12,754	-	-	59	12,754
Comprehensive Identification and Removal of Criminal Aliens	276	273,839	512	200,000	552	146,943	40	(53,057)	-	-	40	(53,057)
Subtotal, Enacted Appropriations and Budget Estimates	17,287	5,069,467	19,557	5,342,134	20,164	5,439,100	607	96,966	120	80,338	487	16,628
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	17,287	5,069,467	19,557	5,342,134	20,164	5,439,100	607	96,966	120	80,338	487	16,628

Note: In order to consolidate ICE's overall cost of beds to allow a clearer depiction of actual costs being incurred, ICE is proposing for FY 2011 that bed costs currently in the base funding for Fugitive Operations, Criminal Alien Program (CAP), and Secure Communities/CIRCA be permanently reprogrammed under Custody Operations, which manages all bed-related activities for ICE. This zero-sum reprogramming between ICE programs results in a \$129.7 million increase to Custody Operations and corresponding decreases to the other three programs. In addition, in order to assure that personnel are appropriately being charged to the program under which they function, ICE is proposing to move funding for a total of 79 positions currently in Custody Operations base to the programs where these positions are performing the bulk of their work: CAP - 10 positions, Alternatives to Detention - 10 positions, and Transportation and Removal Program - 59 positions. This is a zero-sum reprogramming within DRO programs that results in a \$17.1 million decrease to Custody Operations. Net change of these two actions is a \$112.6 million adjustment-to-base increase to Custody Ops.

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Personnel Compensation and Benefits, Service, and Other Costs
Program Performance Justification
(Dollars in Thousands)

PPA: Personnel Compensation and Benefits, Service, and Other Costs

	Perm. Pos	FTE	Amount
2009 Actuals	1,144	887	209,413
2010 Enacted	1,534	1,407	279,073
2011 Adjustments-to-Base	-	69	1,360
2011 Current Services	1,534	1,476	280,433
2011 Program Change	-	-	19,938
2011 Total Request	1,534	1,476	300,371
Total Change 2010 to 2011	-	69	21,298

U.S. Immigration and Customs Enforcement requests \$300.4 million for this activity. This is a \$21.3 million increase from the FY 2010 enacted level, of which \$1.4 million is for annualization of prior year funding, pay inflation, and management and technology efficiencies and \$19.9 million is for program changes. In FY 2011, this PPA is estimated to pay \$30.5 million in servicewide costs (e.g., rent, working capital fund).

CURRENT SERVICES PROGRAM DESCRIPTION:

ICE Management and Administration (M&A) resources provide for top-level agency-wide management in the following areas: the Offices of the Assistant Secretary (OAS), Professional Responsibility (OPR), State and Local Coordination (OSLC), the Chief Diversity Officer, the Chief Financial Officer (OCFO), Acquisition Management, Human Capital, and Freedom of Information Act. The M&A activities include executive and overall leadership direction, strategic planning, policy development, and administrative support for the human, financial, information, and physical resources required to facilitate the operational capabilities of a productive ICE workforce. The following highlights the primary functions of the various M&A activities:

- Office of the Assistant Secretary – The ICE Office of the Assistant Secretary (OAS) is responsible for the advancement of the agency’s objectives outlined in the ICE strategic plan. This includes both operational and management support to

meet day-to-day organizational needs, as well as long-term agency goals. The Operational Division provides leadership and coordination of all of ICE's operational components, to address operational challenges, and to support ICE's continued growth and development as a premier law enforcement agency. The Management Division provides coordination of all administrative and managerial components of ICE. OAS is responsible for OSLC Program Management, Human Capital, Congressional Relations, Public Affairs, Training and the Freedom of Information Act Office.

- Office of Professional Responsibility - The ICE Office of Professional Responsibility (OPR) is assigned a broad range of mission responsibilities. Among the most important duties tasked to OPR is the responsibility to investigate allegations of misconduct involving employees of ICE and Customs and Border Protection (CBP). In addition to maintaining its ability to conduct internal investigations, OPR conducts independent inspections and reviews to ICE offices, operations and processes so as to provide executive management with an independent review of the agency's organizational health and assess the effectiveness and efficiency of the overall ICE mission. OPR ensures that all ICE applicants are properly screened prior to entering on duty by appropriately assessing the security clearance level needed for all ICE federal and contract employees. Finally, OPR Security Management Unit provides the appropriate oversight for all physical, communication and operational security requirements governing ICE employees and facilities world wide.
- Office of the Chief Financial Officer – The ICE Office of the Chief Financial Officer (OCFO) works to effectively manage cost controls, and to determine the availability and efficient use of resources and services. ICE OCFO implements mechanisms to develop performance-budget integration, strategic and competitive sourcing, financial management, and capital asset management to support ICE's mission.
- Acquisition Management - The ICE Office of Acquisition Management (OAQ) is a, customer-focused organization with an enterprise-wide, strategic approach to procurement. OAQ operates as a full business partner with internal and external organizations and serves as a strategic asset dedicated to improving the agency's overall business performance. The mission of the ICE Office of Acquisition Management is to create quality business solutions that accomplish ICE mission goals.

Key Accomplishments

In FY 2009, ICE:

- Received its first Stand Alone Audit of the Balance Sheet in FY 2009. In previous years, ICE did not receive its own audit opinion. ICE was only considered as a subset of the Department's consolidated audit of the entire agency. This change involved significantly more scrutiny by the auditors and ICE was required to prepare and provide extensive data. As a result of our efforts, ICE obtained a Clean Opinion on the FY 2009 Balance Sheet.
- Awarded 11,867 contract actions valued over \$2.9 billion.
- Received over 12,188 allegations of misconduct involving ICE and CBP employees via the ICE/CBP Joint Intake Center. Of those, over 8,210 involved CBP-related allegations. ICE OPR retained 270 of the CBP criminal and serious administrative misconduct allegations. The Joint Intake Case Management System was also enhanced to an Oracle web-based system to improve users access to cases.
- Trained and cross-designated 287(g) agents throughout the country to reduce response times and expand coverage for 287(g) issues.
- Exceeded the government goal for end-to-end processing of initial investigations for Top Secret and Secret security clearances by 16.2%. ICE processed these investigations in 62 days compared to the government goal of 74 days. In addition, ICE processed 12,045 applicants through the suitability and security process with over 53% or 6,324 approved within 8 days, an increase of 2,464 over FY08. ICE also processed 9,477 background investigations, an increase of 2,718 from FY08, and made over 13, 296 final adjudications for suitability, security and reinvestigations resulting in an increase of 2,398 over FY08.

In FY 2010, ICE will:

- Reduce the use of high-risk contracts (noncompetitive, cost-reimbursement, and time-and-materials and labor-hour contracts) by 10% using FY 2008 as a baseline.
- Establish OPR Office of Detention Oversight (ODO) offices in Phoenix and Houston. The ODO office in Phoenix will be co-located with the Management Inspection Unit (MIU). The ODO office in Houston will be co-located with the RAC Houston office. This expansion is an effort to ensure the welfare, safety, and living conditions of ICE detainees and the safety of ICE employees through onsite detention inspections.

- Fully implement the Power Management Initiative for computers, laptops and monitors, which will result in anticipated annual savings of over \$1.2M

In FY 2011, ICE will:

- Expand the use of digital archiving throughout the acquisitions process to improve operational efficiency and effectiveness.
- Focus additional OPR resources in the Laredo area to reduce the opportunity for corruption along one of the busiest commercial ports of entry along the southwest border. ICE plans to place four additional FTEs in this area.
- Support, develop, and implement continued coordination with major local, national and international media outlets regarding the release of official information surrounding ICE's mission and activities worldwide through public affairs outreach efforts.
- Increase ICE stakeholder outreach and engagement, strengthen program stewardship and strengthen internal management capability and while improving internal controls.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Headquarters Managed IT Investment
Program Performance Justification
(Dollars in Thousands)

PPA: Headquarters Managed IT Investment

	Perm. Pos	FTE	Amount
2009 Actuals	308	289	168,769
2010 Enacted	204	193	233,264
2011 Adjustments-to-Base	47	51	(34,301)
2011 Current Services	251	244	198,963
2011 Program Change	-	-	10,400
2011 Total Request	251	244	209,363
Total Change 2010 to 2011	47	51	(23,901)

U.S. Immigration and Customs Enforcement requests \$209.4 million for this activity. This is a \$23.9 million decrease from the FY 2010 enacted level, of which -\$34.3 million is for annualization of prior year funding, pay inflation, and management and technology efficiencies, and \$10.4 million is for program changes. In FY 2011, this PPA is estimated to pay \$10.6 million in servicewide costs (e.g., rent, working capital fund).

CURRENT SERVICES PROGRAM DESCRIPTION:

The ICE Office of the Chief Information Officer (OCIO) provides information technology services and products that enable ICE and DHS to meet their respective missions. In order to meet these goals, the OCIO has developed a number of critical IT initiatives that will help ICE to modernize its IT systems, adapt and conform to modern IT management disciplines, and provide IT solutions throughout ICE.

ICE is in the process of streamlining IT activities to create efficiencies that will result in approximately \$11.7 M or 7 percent in contract savings by the end of FY 2011. In an effort to create efficiencies ICE will:

- Review existing contracts utilizing high risk vehicles such as Time and Materials, and re-compete where feasible to lower risk vehicles such as Firm Fixed Price;
- Target a reduction of 20 contractor FTEs for FY 2010 – FY 11;
- Convert 47 Contractor FTEs to Government FTEs; and
- Assess the OCIO workforce for additional in-sourcing opportunities.

FY 2009 Accomplishments:

- Continued the ongoing technology refresh cycle, to include: E-Mail upgrades, desktop and laptop replacements, Printers upgrades, File Server refresh, DHS One Net implementation, Streaming Video implementation, Local Area Network upgrades, Enterprise Query implementation, Interoperability Hub establishment, Web Farm establishment, Single Sign-On implementation and Audit Log Management capability; and
- Served as a pilot program within ICE to address concerns outlined in OMB Memorandum 09-25, "Improving Government Acquisition" (July 29, 2009), and began developing a plan to save 7 percent of baseline contract spending within the HQ Managed IT account by the end of FY 2011.

FY 2010 Planned Accomplishments:

- Begin migration to DHS Data Centers;
- Complete migration to DHS One Net; and
- Finalize and begin implementing reductions of 7 percent of baseline contract spending within the HQ Managed IT account by the end of FY 2011.

FY 2011 Planned Accomplishments:

- Complete Migration to DHS Data Centers;
- By the end of the fiscal year, save 7 percent of baseline contract spending within the HQ managed IT account by:
 - Review existing contracts utilizing high risk vehicles such as Time and Materials';
 - Re-compete where feasible to lower risk vehicles such as Firm Fixed Price;
 - Target a reduction of 20 Contractor FTEs for FY10 – FY11;
 - Convert 47 Contractor FTEs to Government FTEs in FY10 – FY11;
 - Assess the OCIO workforce for additional in-sourcing opportunities; and
- Continue implementing ongoing three-year cycle technology refresh schedule.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Legal Proceedings
Program Performance Justification
(Dollars in Thousands)

PPA: Legal Proceedings

	Perm. Pos	FTE	Amount
2009 Actuals	1,270	1,183	210,924
2010 Enacted	1,213	1,200	221,666
2011 Adjustments-to-Base	-	13	-
2011 Current Services	1,213	1,213	221,666
2011 Total Request	1,213	1,213	221,666
Total Change 2010 to 2011	-	13	-

U.S. Immigration and Customs Enforcement requests \$221.7 million for this activity. There is no change from the FY 2010 enacted level. In FY 2011, this PPA is estimated to pay \$32.2 million in servicewide costs (e.g., rent, working capital fund).

CURRENT SERVICES PROGRAM DESCRIPTION:

ICE Legal Proceedings (also referred to as the Office of the Principal Legal Advisor or OPLA) provides the legal representation, advice, training, and services required to support the ICE mission. Pursuant to section 442(c) of the Homeland Security Act, OPLA is the exclusive legal representative for ICE and the DHS legal component authorized to represent the government in all exclusion, deportation, and removal proceedings before the Department of Justice’s Executive Office for Immigration Review (EOIR).

As the legal representative for the U.S. Government at immigration court hearings, OPLA attorneys handle a variety of immigration-related issues that range from contested removals to custody determinations to applications for administrative relief. Many of the hearings involve criminal aliens, while others involve terrorists and human rights abusers. Additionally, OPLA provides critical legal support to ICE operational elements concerning customs, worksite enforcement, ethics, employment law, tort claims, and administrative law issues.

OPLA consists of a headquarters component and 26 Chief Counsel Offices (CCOs). The areas of responsibility for these CCOs are consistent with the 26 domestic areas of

responsibility within the ICE Office of Investigations (OI). Additionally, Mission Support Divisions provide administrative services to OPLA's operational elements. The following highlights the primary duties and responsibilities of OPLA's headquarters divisions:

- Appellate and Protection Law Division (APLD). APLD has various primary areas of responsibility, which includes the following: appellate and motions practice before the Board of Immigration Appeals (BIA); federal litigation review; and protection law issues. APLD reviews all ICE appeals to the BIA and plays a lead role in briefing the most significant cases. APLD provides assistance and legal guidance daily to the Chief Counsel Offices and other OPLA/HQ Divisions on appellate and motion practices, as well as protection law issues. In addition, APLD reviews and makes recommendations on adverse federal litigation impacting ICE and provides guidance to the CCOs on developments in the federal courts. APLD works closely with the Department of Justice's Office of Immigration Litigation (OIL), DHS Office of the General Counsel, and U.S. Attorney Offices in developing legal strategy and briefing in significant federal cases. Furthermore, APLD reflects the commitment within ICE and OPLA to the sound and thoughtful handling of protection law issues and cases. The immigration courts and BIA adjudicates tens of thousands of requests for asylum, withholding of removal and for protection under the Convention Against Torture annually. These proceedings play a critical role in the development of U.S. protection law, including the issuance of decisions by the BIA and in federal courts. APLD also has primary responsibility for handling automatic and discretionary stays of immigration court bond decisions, oral arguments before the BIA, and recommendations to certify cases to the Attorney General.
- Commercial and Administrative Law Division (CALD). CALD provides legal advice to ICE and represents ICE in the areas of fiscal law, federal tort claims and Bivens actions, memoranda of understanding and other agreements, contract law, breached bonds, and a range of other administrative law matters in support of ICE operations. CALD also adjudicates administrative tort claims, provides guidance and legal advice concerning procurement actions, and develops and coordinates ICE legal policy in these areas. CALD represents ICE before the Government Accountability Office and the Civilian Board of Contract Appeals in procurement matters. CALD further assists Department of Justice litigation attorneys in representing ICE before the various federal courts in federal tort claims and Bivens cases, procurement matters, and other administrative law matters.
- Enforcement Law Division (ELD). The ELD is responsible for handling traditional immigration enforcement issues, general officer authority issues, and providing legal advice on custom issues. The demand for high quality products from ELD has increased tremendously in recent years. This is illustrated by the dramatic increase in enforcement activities and the need for increased ELD client advice in the areas of detention, expedited removal, stipulated removal, reinstatement of removal and custody determination. ELD plays a significant role

in large enforcement operations, including review of warrant affidavits, providing legal advice to operational planners and agency leadership, traveling to the site to advise on legal issues arising during operations, and working extensively with the Department of Justice in related federal court litigation. Further, ELD provides legal support and counsel to the national security and cybercrimes sections of ICE Offices of Investigations and International Affairs, on highly specialized issues.

Additionally, any proposed legislation or regulation on immigration and customs issues requires ELD attention and expertise, whether to draft, negotiate, advise, or comment. OPLA's Regulatory Counsel has various major functions and plays a significant role in ICE's mission, which includes: drafting and assisting others in drafting ICE regulations, including changes in response to comments received during the clearance process, or public comments on a proposed or interim rule; guiding ICE regulations through the clearance process to the publication in the Federal Register of a proposed rule and ultimately a final rule; and reviewing regulations proposed by other agencies that affect ICE's operations.

- Ethics Division. The Ethics Division administers the ICE federal government Standards of Conduct Program, providing training, counseling, and management of the ethics financial disclosure process for all ICE employees. The Ethics Division provides legal professional responsibility advice to ICE attorneys and oversees management inquiries into OPLA employee misconduct complaints.
- Human Rights Law Division (HRLD). HRLD coordinates ICE's litigation efforts nationwide to pursue criminal prosecutions and judicial orders of removal against human rights abusers. HRLD team members work closely with the Office of Investigations and Office of Detention and Removal (DRO) to provide legal advice to agents and officers in the identification, investigation, prosecution, and removal of individuals involved in human rights abuses such as genocide, extrajudicial killings, and torture. HRLD works closely with the Departments of State and Justice, intelligence agencies, and non-governmental organizations to ensure that the United States does not become a safe haven for human rights abusers. HRLD currently has a caseload of 800 cases in various stages of litigation involving individuals from 85 different countries.
- Knowledge Management Division (KMD). KMD is responsible for assuring that information relating to the critical issues of the day is available and rapidly developed into knowledge for decision-making processes. This includes obtaining and managing access to all critical databases, such as TECS, Consular Consolidated Database (CCD), and the new systems of agencies and other DHS components, such as U.S. Citizenship and Immigration Services (USCIS) Enterprise Document Management System (EDMS). KMD develops and provides the organizational processes for a synergistic combination of the data and information-processing capacity of information technologies and the creative and innovative capacity of human beings. Toward this end, the KMD has developed and deployed the General Counsel Electronic Management System

- (GEMS) – a case and document management system. KMD develops, monitors compliance of users, and analyses OPLA workload and performance data. KMD is OPLA’s liaison with the Office of the Chief Information Officer (OCIO) on all issues, including field office support, deployment of new systems and hardware, information sharing and system compatibility, and e-discovery. KMD staff serves as subject matter experts for OPLA IT in the field.
- Labor and Employment Law Division (LELD). LELD provides legal advice and represents ICE in the areas of employment and labor law. LELD represents ICE before the Equal Employment Opportunity Commission, the Merit Systems Protection Board, and the Federal Labor Relations Authority in employment and labor matters. LELD assists Department of Justice litigation attorneys in representing ICE before the various federal courts in Freedom of Information Act and Privacy Act cases and other labor law matters.
 - Legislative Counsel. Legislative Counsel drafts and reviews legislative proposals for ICE, including coordinating the legislative proposals with the ICE Office of Congressional Relations, Office of Policy, and ICE Executive Secretariat, as well as coordinating with the DHS Office of the General Counsel and DHS Policy Office.
 - National Security Law Division (NSLD). NSLD provides legal advice and oversees litigation involving special interest cases, including those involving international terrorism, counter-terrorism, espionage, and other national security matters. The legal work performed by the NSLD is critical to ICE’s efforts to protect the nation’s security. NSLD attorneys are involved in a fast-paced practice, working closely with other federal law enforcement and intelligence agencies, including the FBI and CIA, and routinely make decisions that have an immediate impact on national security. Specifically, NSLD attorneys oversee and coordinate removal proceedings involving terrorists and foreign intelligence agents, provide legal support and training to ICE’s OI (especially the Counter Terrorism Unit, National Security Integration Center, and Visa Security Unit) and Office of Intelligence, and liaison with the Civil and Criminal Divisions of the Department of Justice.
 - Strategic Management Division (SMD). SMD serves as the central point for the general planning, budgeting, and managing of OPLA. SMD administers OPLA’s strategic plan ensuring OPLA maintains a trained, professional, highly motivated, and client-focused staff who effectively and efficiently handle legal matters in support of the ICE mission. SMD ensures that OPLA’s objectives are consistent with the ICE Assistant Secretary’s strategic vision and coordinates refinements as necessary to OPLA’s three to five year plan objectives. Additionally, SMD leads OPLA’s risk management activities with ICE planning work groups. By incorporating the activities of strategic planning and risk management, SMD formulates future budget requests for OPLA that are based on Senior Leadership’s vision for the organization. SMD conducts on-site reviews of Chief Counsel

Offices and coordinates implementation of recommended “best practice” improvements. To help ensure consistency throughout OPLA, SMD drafts new or revised program policy and serves as the central repository for all OPLA policies.

- Training Division (TD). OPLA’s TD is responsible for a variety of training events such as, Management Meetings, New Attorney Training, and specialty law training specifically tailored for OPLA staff such as National Security, Human Rights, Labor Law, and Leadership Development Training Program. The TD coordinates and facilitates training with other federal, state, and local government agencies (i.e., 287(g) training). Finally, the TD tracks training for all OPLA employees and ensures compliance with mandatory ICE training requirements.

Key Accomplishments

In FY 2009, OPLA was very successful in achieving program staffing goals. At the end of FY 2009 the on-board attorney staffing level was approximately 97 percent of the approved level of 914 attorneys. This represents an increase of approximately 23 percent above FY 2008 levels.

In FY 2009, the total number of new matters received by the EOIR was 389,352 and the total matters completed were 351,234. Additionally, the Board of Immigration Appeals received 33,000 appeals filed from decisions made by the immigration judges.

In an effort to increase efficiency of the removal process, OPLA, in conjunction with DRO and EOIR, focused legal support and stakeholder training efforts on the stipulated removal program to eliminate the need to have an in-person hearing before an immigration judge. A total of 29,012 cases were completed through the stipulated removal process.

The successful staffing of the 21 Special Assistant U.S. Attorney (SAUSA) positions in FY 2009 had proved to be a positive program resource. The Special Assistant U.S. Attorneys (SAUSAs) primarily focus on criminal cases brought by the Office of Investigations, thereby increasing the number of ICE cases prosecuted by the US Attorney’s Office.

During FY 2009, OPLA realigned attorney resources to provide increased support and assistance to ICE components and external stakeholders. OPLA filled 73 newly created Senior Attorney positions in the field offices. Senior Attorneys provided a myriad of services, but their main duties include: providing training to other ICE components, handling national security and special interest cases, and providing specialized legal advice to the Special Agents-in-Charge (SACs) and Field Office Directors (FODs).

In FY 2009, OPLA played a significant role providing legal advice and training to OI in support of worksite operations. In some of the larger, more significant operations, OPLA deployed attorneys to provide on-site advice to ICE agents and officers.

OPLA's workload also increased due to enhanced enforcement capabilities such as 287(g), Secure Communities, Criminal Alien Program, and other efforts. For example, at the end of FY 2009, there were 67 signed Memorandum of Agreements (MOAs) located in 23 states. This led to the 1,075 state and local law enforcement officers who were 287(g) trained, encountering over 133,000 aliens that were amenable for placement into removal proceedings.

OPLA's plan for FY 2010 builds upon the FY 2009 accomplishments by expanding support of immigration enforcement actions such as 287 (g), worksite, stipulated removals, and criminal prosecutions. Additionally, OPLA will implement the results of the High Performing Organization (HPO) study that concentrated on the legal support services performed in OPLA's field offices. By increasing efficiencies in field legal support services, support staff will be able to provide additional services in support of the attorneys.

ICE strategic planning indicators for FY 2011 and beyond suggest that ICE will continue to focus casework on immigration enforcement efforts, bulk cash smuggling, contraband smuggling, and aliens committing violent crimes against persons. In support of these ICE initiatives, OPLA will direct resources toward these efforts. Additionally, OPLA's broad objectives for FY 2011 include further enhancing OPLA's capabilities to effectively and efficiently prosecute immigration and customs law violations by further refining and improving efficiencies in how workload is managed.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Domestic Investigations
Program Performance Justification
(Dollars in Thousands)

PPA: Domestic Investigations

	Perm. Pos	FTE	Amount
2009 Actuals	7,748	7,216	1,527,063
2010 Enacted	9,028	8,606	1,649,551
2011 Adjustments-to-Base	-	254	47,487
2011 Current Services	9,028	8,860	1,697,038
2011 Program Change	237	120	30,000
2011 Total Request	9,265	8,980	1,727,038
Total Change 2010 to 2011	237	374	77,487

U.S. Immigration and Customs Enforcement requests \$1,727.0 million for this activity. This is a \$77.5 million increase from the FY 2010 enacted level, of which \$47.5 million is for annualization of prior year funding, pay inflation, and management and technology efficiencies, and \$30.0 million is for program changes. In FY 2011, this PPA is estimated to pay \$270.2 million in servicewide costs (e.g., rent, working capital fund).

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of Investigations (OI) enforces customs and immigration laws through the investigation of activities, persons, and events that may pose a threat to the safety or security of the United States and its citizens. Investigations lead to the arrest and prosecution of perpetrators and/or result in the removal of individuals posing risks to national security or public safety. OI investigates: illegal trafficking in weapons and procurement of sensitive U.S.-origin technology, including weapons of mass destruction; the smuggling of narcotics and other contraband; human smuggling and trafficking; money laundering and other financial crimes; fraudulent trade practices; identity and benefit fraud; child pornography; child sex tourism; employers that hire illegal and undocumented workers; and health and public safety dangers.

The following five investigative components of OI use immigration and customs authorities to address vulnerabilities and prevent violations that threaten national security and public safety.

National Security Investigations: OI works to deter and dismantle terrorist groups, individuals, and companies involved in the illegal procurement and movement of weapons of mass destruction and their materials and components. National Security Investigations personnel work closely with the Federal Bureau of Investigation's Joint Terrorism Task Forces (JTTFs). JTTFs utilize the collective resources of the participating agencies for the prevention, deterrence, and investigation of terrorism and related activities occurring in or affecting the United States.

The Counter Proliferation Unit (CPU) leads U.S. Government efforts to prevent foreign adversaries from illegally obtaining U.S. military products and sensitive technology, including weapons of mass destruction components. ICE special agents possess the U.S. Government's most extensive expertise, longest ranging experience, and broadest export-related authorities.

Project Shield America is ICE's public and industry outreach program. Under this program, ICE special agents visit U.S. manufacturers and exporters of arms and sensitive goods to educate them about U.S. export laws and solicit their assistance in identifying potential illegal exports. Since late 2001, ICE special agents have conducted more than 14,000 presentations, resulting in tips that have led to ICE criminal investigations.

Millions of nonimmigrant aliens enter the United States every year to visit, work, and attend school. An estimated 100,000 of these aliens annually will overstay or violate the terms of their authorized period of admission, for economic, personal, and criminal reasons. In an effort to combat this threat, the federal government has implemented the National Security Entry Exit Registration System (NSEERS), the Student and Exchange Visitor Information System (SEVIS), and U.S. Visitor and Immigrant Status Indicator Technology (US-VISIT) to track nonimmigrant aliens in the United States. The responsibility for enforcing these systems lies with the Compliance Enforcement Unit (CEU).

The Threat Analysis Section (TAS), a part of the National Security Unit (NSU), is a specialized group of agents and intelligence analysts who proactively identify persons of interest from within the non-immigrant community of visitors, students, and temporary workers in the United States. The TAS uses the latest computer technology and access to immigration, law enforcement, and intelligence information to identify hidden links and associations between persons and events that could indicate a previously unknown threat.

National Security Investigations personnel participate in the Human Smuggling and Trafficking Center (HSTC), which combines ICE's resources with other Federal agency representatives from the policy, law enforcement, intelligence and diplomatic arenas to work together to achieve increased progress in addressing the problems of human smuggling, human trafficking, and clandestine terrorist mobility.

Financial Investigations: OI identifies, investigates, disrupts, and dismantles criminal organizations and the complex systems used to launder funds generated from smuggling, human trafficking, financial scams, commercial fraud and intellectual property rights

violations, forced child labor, and other criminal activity. In coordination with private sector partners, OI reduces the vulnerability of U.S. financial systems to exploitation by terrorist and other criminal organizations, and seizes illicit proceeds derived from and used for criminal activity. In view of the significant role that financial assets and money laundering play in sustaining criminal organizations and criminal activity, all ICE investigations include a financial component.

The Cornerstone Initiative focuses on coordination and cooperation with other domestic and foreign law enforcement agencies and the private sector to eliminate vulnerabilities in U.S. financial systems and disrupt and dismantle alternative financing mechanisms that terrorists and other criminals use to earn, move, and store illicit funds.

The domestic Trade Transparency Unit (TTU) and Money Laundering Coordination Center (MLCC) provide the analytical infrastructure to support financial and trade investigations. The TTU provides the capability to identify and analyze complex trade-based money laundering systems, such as the estimated \$5 billion-per-year drug money-laundering scheme known as the Black Market Peso Exchange (BMPE).

OI actively participates in collaborative investigative task forces with other federal, state, local, and international law enforcement agencies (e.g., High Intensity Financial Crime Area programs, Joint Vetting Units, Financial Action Task Forces) targeting terrorist financing and transnational money laundering.

Smuggling/Public Safety Investigations: OI identifies, deters, interdicts, and investigates activities associated with the unlawful movement of people and goods into and out of the country. In addition to conducting investigations targeted at disrupting and dismantling activities of groups and individuals engaged in the smuggling of humans and contraband, OI investigates human rights violations, exploitation of individuals, importation of hazardous and prohibited items, identity and benefit fraud, critical infrastructure protection/worksites enforcement, and violent criminal aliens.

Agents are confronted with numerous challenges in the effort to combat drug traffickers and, ultimately, significantly reduce the amount of illegal drugs introduced into the United States each year. Drug smuggling organizations continue to develop new and sophisticated methods to smuggle drugs into the United States by developing new concealment techniques, organizing internal conspiracies (i.e., criminals target corrupt personnel within a company or transportation industry to introduce contraband into otherwise legitimate cargo or conveyances), using various transshipment routes, and attempting to corrupt law enforcement officers.

Using programs such as the Maritime Port Security Program, OI eliminates the threats posed by internal conspiracies and smuggling organizations. Operation Safe Harbor focuses on investigative initiatives in the maritime port environment as well as non-investigative initiatives including cooperative programs with CBP and other DHS agencies.

Resources and support for these investigative efforts are enhanced through increased coordination and cooperation with other federal, state, tribal, local, and foreign law enforcement agencies and through participation in task forces such as the Organized Crime Drug Enforcement Task Force, the High Intensity Drug Trafficking Area, and the High Intensity Financial Crime Area programs.

The Commercial Fraud Unit and National Center for Intellectual Property Rights (IPR Center) target predatory and unfair trade practices that threaten our economic stability, restrict the competitiveness of U.S. industry in world markets, and place the public health and safety of the American people at risk. ICE is the only federal agency that investigates predatory and unfair trade practices under title 19 of the U.S.C.

Identity and benefit fraud is a vulnerability of national security because it enables terrorists and criminals to exploit the legitimate immigration process and obtain “legal” status in the United States via fraudulent means. Benefit fraud is an extremely lucrative form of organized white-collar crime; it is complex and challenging to investigate, and often involves sophisticated, multi-layered schemes with multiple co-conspirators that take years to investigate and prosecute. OI focuses on identifying and targeting the most significant, prolific, and egregious violators, and individuals and organizations that pose a risk to national security or public safety.

Violent criminal aliens, such as sexual predators and street gang members, pose a significant threat to public safety. In partnership with state and local law enforcement, OI investigates foreign-born sex offenders for violations of laws in order to remove them from the country. Likewise, OI coordinates investigations with domestic and international law enforcement to disrupt and dismantle street gangs with foreign-born members, which have been involved in various crimes with a nexus to the border, such as drug and human smuggling, weapons trafficking, document fraud, and the export of stolen goods. OI also works to deny safe haven to human rights violators in the United States by investigating their violations of U.S. criminal and immigration laws.

Through worksite enforcement initiatives, OI works with the federal and private sector to prevent criminals and terrorists from penetrating and harming the U.S. economy by gaining employment in critical and sensitive areas. OI enforcement operations prioritize and target the most important, and vulnerable, facilities for enforcement activity, and identify and remove unauthorized facility workers through multi-agency screening and arrest operations. Furthermore, OI is applying sanctions to criminal employers whose employment practices constitute worker exploitation or have a nexus to alien smuggling or fraud. OI also conducts enforcement operations and I-9 audits on egregious violators that are not complying with the Employment Eligibility Verification requirements and have adopted the use of unauthorized workers as part of their business strategy. OI also conducts proactive outreach presentations and seminars under the ICE Mutual Agreement between Government and Employers (IMAGE) program to educate employers and trade associations as to their legal responsibilities that will help them remain in or achieve compliance with immigration and related laws.

Investigative Services: OI provides investigative support services to all categories of investigations, including Asset Forfeiture and the Law Enforcement Support Center (LESC). Asset Forfeiture laws allow ICE agents to store and maintain seized property and forfeit illicit proceeds and other criminally derived assets from critical infrastructure cases. Illicit proceeds are gained by organizations utilizing undocumented workers at Ports of Entry and/or In-Bond warehouses and are used to sustain the criminal activity and to fund other criminal endeavors. The LESL is an ICE 24-hour national enforcement operations facility that provides real-time immigration status assistance to federal, state, and local LEAs on aliens suspected, arrested, or convicted of criminal activity. The LESL responds to inquiries from state and local law enforcement partners who have apprehended individuals suspected of being in the country illegally. The LESL processes biometric information on criminal arrestees generated through interoperability between the FBI IAFIS database and the US-VISIT IDENT database to identify removable criminal aliens and research the severity of the subject's criminal history for prioritization of enforcement actions. These efforts also directly support the ICE Secure Communities Initiative.

Law Enforcement Support & Information Management: OI provides investigative support services to all categories of investigation, including the Cyber Crimes Center (C3), Technical Operations, and the Forensic Document Laboratory (FDL). The C3 manages Operation Predator and investigates and provides computer forensics on domestic and international criminal activities occurring on, or facilitated by, the Internet, including document and benefit fraud, arms and strategic technology, money laundering, counterfeit pharmaceuticals, child pornography, and child sex tourism investigations.

The FDL is the only federal crime laboratory dedicated exclusively to detecting and deterring travel and identity document fraud. This capacity is critical to finding and eliminating the root causes of immigration fraud. Technical Operations assists the field by providing support for technical equipment needs including tracking devices, video equipment, body wires, covert entry, Title III equipment, Telecommunications Linking System as well as supporting all ICE OI Title III telephone, email and IP intercepts, and pen registers. Technical Operations provides training in undercover (UC) classes, designated technical agent (DTA) classes, technical enforcement officer (TEO) classes, Title III classes, Penlink software classes, and to foreign governments.

Key Accomplishments

In addition to ongoing activities, OI accomplished the following in FY 2009:

- Executed operations in seven additional Border Enforcement Task Force (BEST) locations in FY 2009 to bring the total number to 17; new BEST seaport operations in Los Angeles/Long Beach, Miami, and New York/New Jersey; southwest border BEST operations in Las Cruces and Deming, New Mexico; northern border BEST operations in Detroit, Michigan; and an overseas BEST in Mexico City;

- Managed the Armas Cruzadas Surge Operation consisting of a three month enforcement period to utilize all available assets to conduct enforcement activities which will maximize weapons interdictions including targeting of known weapons proliferation networks and conducting roving southbound operations with CBP at the ports of entry (POEs);
- Temporarily enhanced Southwest Border investigative resources to address border violence along the U.S./Mexico border and focus on cross border and threats in the region including contraband smuggling, money laundering and bulk cash smuggling, human smuggling and trafficking, transnational criminal gangs, and tunnel detection;
- Updated MOU with ATF and DEA to clearly establish how the two agencies investigative resources will work together on investigations of international firearms trafficking and possession of firearms by illegal aliens;
- Executed the Visa Waiver Enforcement Program (VWEP) to address vulnerabilities inherent in the Visa Waiver Program;
- Coordinated with Census, the State Department, and U.S. Customs and Border Protection (CBP) to put in place the necessary regulation changes so that the serial numbers on all firearms exported from the U.S. will be captured at the time of export;
- Continued to participate in efforts to establish a formal Trade Transparency Unit in Panama;
- Conducted Operation Stamp Out in collaboration with CBP and the U.S. Postal Inspection Service (USPIS) to combat the rise in the importation and distribution of counterfeit U.S. Postal money orders, stamps, and meter stamps into the U.S.;
- In coordination with CBP, implemented HQ-initiated Fraud Investigative Strike Team Operations to ten ports/ICE offices;
- Expanded the ability of the Cyber Crimes Center (C3) to address the increases in digital data forensics volumes, while developing new tools and methods to manage and improve the analysis of derived digital information;
- Conducted training to promote the use of Title III intercepts to combat crime along the Southwest border;
- Directed a Rapid Deployment Team (RDT) to assist with the initiation of Title III intercepts;
- Operated a wire-room to facilitate Title III operations in small Southwest border offices;
- Reduced vulnerabilities in U.S. critical infrastructure, unlawful acquisition of export restricted technology, and unlawful entry of unauthorized non-immigrants into the United States;
- Expanded Operation Guardian to incorporate additional agency partners and increase the scope of targeting, interdiction, and investigation of the importation of substandard, tainted and counterfeit products being imported into the U.S.;
- Operated a Human Rights Violator and War Crimes Center within the office of investigation to lead the efforts to prevent human rights violators from entering the U.S. or being issued immigration benefits, provide direct support to on-going criminal and administrative investigations and court proceedings involving human

- rights violators along with generating and disseminating investigative referrals to the field for investigation;
- Continued to identify, locate, arrest, criminally prosecute and ultimately remove transnational criminal street gang members from the U.S., as part of Operation Community Shield;
 - Managed the Bulk Cash Smuggling Center (BCSC), an around the clock intelligence and operations facility to provide real-time tactical intelligence to federal, state and local officers involved in enforcement and interdiction of bulk cash smuggling and the transportation of illicit funds.
 - Conducted Cornerstone's outreach and training for the trade and financial business communities; and
 - Directed the Jamaican Operations Linked to Telemarketing (JOLT) and continued to further telemarketing fraud investigations, to include the support and enhancement of the existing Project Canadian Operations Linked to Telemarketing (COLT), identifying, disrupting and dismantling organizations perpetrating this fraudulent scheme and seizing the proceeds as well as returning money to victims of such crimes.

In addition to ongoing activities, OI plans to accomplish the following in FY 2010:

- Permanently expand investigative resources at the Southwest Border to address border violence along the U.S./Mexico border and focus on cross border and threats in the region including contraband smuggling, money laundering and bulk cash smuggling, human smuggling and trafficking, transnational criminal gangs, and tunnel detection;
- Expand the BEST program to additional seaport locations in San Juan, Puerto Rico, New Orleans, Louisiana, Charleston, South Carolina, Boston, Massachusetts, Houston, Texas, and Honolulu, Hawaii;
- Expand Operation Armas Cruzadas to incorporate additional agency partners and increase the scope of targeting, interdiction, and investigation of the smuggling of weapons from the U.S. into Mexico and continue to effectively respond to and support the task of investigating the illegal smuggling of weapons from the U.S. into Mexico;
- Increase compliance enforcement efforts while increasing efficiency, and build on interagency partnerships to ensure efforts remain focused on emerging national security threat streams;
- Coordinate with CBP to expand the "security bond" initiative targeting the illegal diversion of commercial goods transported globally via the in-bond process;
- Continue export enforcement programs dedicated to specific dual-use and military technology;
- Continue the roll-out of Operation TECH Defense, an initiative intended to disrupt and deny suspect non-immigrants access to sensitive U.S. technologies through either immigration or export enforcement actions;
- Develop additional commercial fraud based initiatives in coordination with CBP that focus on revenue protection and other import violations;

- Build on the successful partnerships that have been created through the IMAGE program with exemplary businesses within the area of immigration compliance;
- Upgrade information technology to enhance trade-based money laundering and other commercial fraud investigations;
- Continue partnerships with the Department of Labor, Department of State, Social Security Administration, U.S. Postal Service, USCIS, and other federal, state and local agencies to address document and benefit fraud and vulnerabilities in the immigration process;
- Continue IPR Center outreach efforts both nationally and internationally;
- Disrupt, dismantle, and eliminate vulnerabilities within Internet financial sectors and services before terrorists and other criminal organizations can exploit them;
- Continue asset forfeiture investigations by identifying, seizing, and forfeiting illegal proceeds;
- Continue to support the Human Rights Violator and War Crimes Center and attempt to expand by partnering with other agencies that have a role in the domestic and overseas investigation, prosecution, and removal of human rights violators and war criminals;
- Continue to coordinate with Census, the Department of State, and CBP to put in place the necessary regulation changes so that the serial numbers on all firearms exported from the U.S. will be captured at the time of export;
- Continue to roll-out Operation High Road, an ICE-led, multi-agency initiative to investigate U.S.-based automobile exporters to the Middle East and the flow of associated funds from these exports back to the U.S.;
- Continue to utilize Title III intercepts to disrupt and dismantle criminal organizations;
- Conduct training to promote the use of Title III intercepts to combat crime along the Southwest and Northern borders;
- Infiltrate, disrupt and dismantle transnational criminal street gang organizations through the use of RICO, VICAR, CCE, Hobbs Act and other statutory violations in furtherance of Operation Community Shield;
- Establish partnerships with CBP, TSA and the U.S. Postal Service aimed at disrupting efforts of criminal organizations involved in cross-border crimes to move their illicit proceeds;
- Continue Cornerstone's outreach and training for the trade and financial business communities; and
- Continue to further telemarketing fraud investigations, Project JOLT and Project COLT, to identify, disrupt and dismantle organizations perpetrating this fraudulent scheme and seize the proceeds of their operations, as well as return money to victims of such crimes.

In FY 2011, OI will:

- Continue to expand Operation Armas Cruzadas to incorporate additional agency partners and increase the scope of targeting, interdiction, and investigation of the smuggling of weapons from the U.S. into Mexico to reduce the flow of weapons trafficking through U.S. borders;

- Expansion of mission support FTEs to help alleviate administrative functions performed by agents and allow them to focus on their primary function – the investigation of transnational and border crime. This funding will help ensure agents have the necessary mission support so they can focus their efforts on investigations, rather than administrative tasks.
- Establish BESTs in three additional locations (Massena, NY; San Francisco, CA and Honolulu, HI) to prevent the smuggling of goods and the illegal entry of persons, with a priority focus on terrorist groups, gang members, and criminal aliens.
- Hire 13 FTEs for the ICE-led National Intellectual Property Rights Coordination Center (IPR Center), a collaborative effort bringing together key U.S. Government agencies, to stop intellectual property rights (IPR) violations that threaten our economic stability, impact the competitiveness of U.S. industry, and endanger the public's health and safety. Additionally, ICE will focus on disrupting criminal organizations through the Internet to facilitate IPR crime and provide support for anti-counterfeiting efforts.
- Reduce the nation's vulnerability to exploitation of nonimmigrant visas/programs by increasing compliance enforcement actions;
- Continue coordination with CBP to expand the "security bond" initiative targeting the illegal diversion of commercial goods transported globally via the in-bond process;
- Continue export enforcement programs dedicated to specific dual-use and military technology;
- Expand training and targeting of potential violators in support of Operation TECH DEFENSE through the identification of sensitive technologies, the manufacturers of those technologies and determining whether the companies are compliant with immigration and export regulations and laws;
- Develop additional commercial fraud based initiatives in coordination with CBP that focus on revenue protection and other import violations. Initiatives would include investigations of antidumping evasion, misclassified textiles, forced labor products, and restricted endangered species imports;
- Further enhance national security violation investigations that involve smuggling or trafficking of aliens or some other form of worker exploitation;
- Upgrade information technology to enhance trade-based money laundering and commercial fraud investigations;
- Partner with the Department of Labor, Department of State, Social Security Administration, U.S. Postal Service, USCIS, and other federal, state and local agencies to address document and benefit fraud and vulnerabilities in the immigration process;
- Continue IPR Center outreach efforts both nationally and internationally;
- Disrupt, dismantle, and eliminate vulnerabilities within internet financial sectors and services before terrorists and other criminal organizations can exploit them;
- Continue asset forfeiture investigations by identifying, seizing, and forfeiting illegal proceeds;
- Continue to review current operations to ensure resources are targeted based on risk;

- Continue to develop plans that will provide continuity for critical ICE enforcement activities currently conducted at the LESC; and
- Continue to support the activities, goals, and plans of Secure Communities working with federal, state and local law enforcement agencies.
- The Office of Investigations expects approximately 392 Investigative FTE and \$100 million to be spent in support of the following overarching goals of the SWB Counter-Narcotics Strategy:
 - Investigations and Prosecutions - Targeting and attacking criminal organizations through effective investigations and prosecutions
 - Money - The processes of moving bulk cash out of the country and its eventual repatriation present vulnerabilities and intelligence which U.S. law enforcement can exploit to identify and dismantle illicit drug organizations.
 - Weapons - develop an effective, coordinated, and comprehensive response to the threat of illegal weapons smuggling/trafficking from the United States into Mexico, and to support Mexico's broader efforts to deny drug trafficking organizations access to arms from other international sources.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
International Investigations
Program Performance Justification
(Dollars in Thousands)

PPA: International Investigations

	Perm. Pos	FTE	Amount
2009 Actuals	269	274	109,780
2010 Enacted	218	193	112,872
2011 Adjustments-to-Base	-	6	817
2011 Current Services	218	199	113,689
2011 Total Request	218	199	113,689
Total Change 2010 to 2011	-	6	817

U.S. Immigration and Customs Enforcement requests \$113.7 million for this activity. This is a \$0.8 million increase from the FY 2010 enacted level, which is for annualization of prior year funding, pay inflation, and management and technology efficiencies. In FY 2011, this PPA is estimated to pay \$6.6 million in servicewide costs (e.g., rent, working capital fund).

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of International Affairs (OIA) protects the United States by enhancing its security through proactive international investigations overseas involving transnational criminal organizations responsible for the illegal movement of people, goods, and technology. As the forward element of ICE, OIA works with foreign counterparts to identify and combat criminal organizations *before* they can adversely impact the United States. OIA serves as the primary component of DHS international law enforcement operations presence and must maintain operational flexibility in order to meet the dynamic challenges and threats in the global environment. OIA personnel collaborate with foreign counterparts in joint efforts to deter, disrupt, and dismantle transnational criminal organizations engaged in contraband smuggling, human smuggling and trafficking, immigration violations, money laundering, arms and technology trafficking, child sexual exploitation (child pornography and child sex tourism), forced child labor, and financial and cyber crimes overseas.

The primary mission of an OIA Attaché office is to conduct ICE investigations and critical law enforcement operations and to provide investigative support to domestic offices in combating transnational crime. Attaché offices coordinate international law

enforcement operations and build relationships with foreign law enforcement, immigration and customs counterparts; support other DHS, ICE and U.S. government components and initiatives; refer requests from host country agencies to domestic offices; serve as advisors to U.S. missions; and provide training and conduct outreach to foreign officials on ICE international priorities. OIA also coordinates with foreign counterparts to share information under negotiated bilateral agreements and Customs Mutual Assistance Agreements. OIA conducts and coordinates international training of law enforcement counterparts overseas resulting in enforcement outcomes and coordinates training through International Law Enforcement Academies (ILEA). OIA's activities also support the goals set forth by the DOS in the areas of regional stability, counter-terrorism, homeland security, weapons of mass destruction, international crime and drugs, economic prosperity, and public diplomacy.

International Removals and Repatriations

One of ICE's primary strategic goals is to promote public safety and combat immigration-related crimes by removing individuals, especially criminals and other threats to public safety that are unlawfully present in the United States. OIA facilitates the timely removal and return of aliens from the United States to host countries, and strengthens and supports legal migration. Through the use of dedicated Assistant Attaché for Removals overseas, OIA is able to coordinate returns with host governments and to facilitate transits and country clearances. The newly deployed Assistant Attachés are integrated with and supported by the ICE Attaché offices. Where there is no Assistant Attaché for Removals deployed, the ICE Attachés still bears the ultimate responsibility for the host country acceptance of aliens from the United States. The removal and repatriation activities are focused in areas where liaison will have the greatest enforcement benefit and regional impact, such as the Caribbean, the Americas, Asia, and Africa.

Through its newly-established Repatriations and International Agreements Unit (RIA), OIA coordinates with the ICE Office of Detention and Removal Operations (DRO) to effect the removal of aliens from the United States who have final orders of removal. These functions speed the removal process and reduce related detention costs. The DOS also benefits from ICE support at the U.S. embassies through assistance in sensitive removal discussions with receiving and transit countries. Close foreign coordination is required to gain cooperation from foreign governments on return of aliens and coordination of Justice Prisoner and Alien Transport System flights, country clearances, escorts, and charters. The RIA also furthers law enforcement coordination through development of international agreements, and in addition to acting as liaison with ICE DRO, coordinates information sharing through and ICE negotiation on Customs Mutual Assistance Agreements, Mutual Legal Assistance Treaties and other international agreements as needed. These bilateral agreements and activities are centrally controlled and coordinated under OIA to provide one voice for ICE.

Key Accomplishments

In FY 2009, OIA:

- Opened new Attachés offices in several strategic locations, including Brussels, Belgium, Cartagena, Colombia, Guayaquil, Ecuador, and Amman, Jordan;
- Received the INTERPOL Secretary General's concurrence on placement of a Senior ICE executive at INTERPOL headquarters in Lyon, France;
- Established the RIA Unit within OIA to work with DRO and DOS to negotiate and maintain removal agreements with foreign countries. This unit develops approaches for working with recalcitrant countries which do not allow the repatriation of their citizens and works with other U.S. Government agencies to negotiate various mutual assistance agreements and other international agreements;
- Deployed Assistant Attaché for Removals to six additional Attaché offices overseas to coordinate with host governments to facilitate removals of aliens under orders from the U.S.;
- Received authority to establish an Attaché office in Kabul, Afghanistan in support of the "civilian surge" initiative;
- Received funding from the Department of Defense (DOD) to support U.S. Central Command (CENTCOM), U.S. Southern Command (SOCOM), and U.S. mission interests, and to support DHS and DOD priorities regionally;
- Continued to work with DOD partners to support efforts in the Global War on Terror (GWOT) and established Senior ICE Representative positions at SOCOM, Africa Command (AFRICOM), and United States European Command (USEUCOM);
- Supported the Southwest Border Initiative Surge to combat the ongoing and increasing cross-border violence by sending 12 additional personnel on temporary assignment to four existing offices in Monterrey, Hermosillo, Juarez, and Tijuana to achieve a quantitative increase in operational investigations, seizures, arrests, and investigative leads to domestic field offices;
- Established a Border Enforcement Security Task Force (BEST) in Mexico City in cooperation with Mexican law enforcement agencies to facilitate the exchange of information and rapid bilateral investigation of violations on both sides of the border through coordination with the 17 existing Southwest border BESTs and the Armas Cruzadas Virtual Web Portal;
- As part of the Merida Initiative, sent 14 criminal investigators and 1 intelligence analyst to teach Basic Investigative Methods to approximately 1,350 students and continued to support the training;
- Concluded Counter Proliferation Investigations (CPI) in child pornography, human smuggling and trafficking, illegal arms exports, child sex tourism, and financial crimes cases, leading to the arrest/indictment of the people/networks attempting to acquire U.S. controlled technology/goods bound for prohibited destinations;
- Provided logistical support/coordination for 16 Textile Production Verification Team (TPVT) visits and investigated leads for potential transshipment violations;

- Continued participation and support of Project Center for Operations Linked to Telemarketing (COLT), a very successful program within Royal Canadian Mounted Police's (RCMP) Commercial Crimes Unit. With ICE assistance with the research, investigation and ultimate extradition to the U.S. of the perpetrators, funds intercepted by Canada Post from U.S. victims have been returned to the victims in an efficient and timely manner;
- Began participation in the 41K Project, a bilateral information sharing initiative between the Canadian and U.S. Governments aimed at determining how many of the approximate 41,000 persons ordered removed from Canada have absconded to the U.S. and to locate, apprehend, and prosecute the individuals who entered the U.S. under false pretenses;
- Assigned personnel to the RCMP – National Child Exploitation Coordination Center NCECC, a national clearinghouse for all international requests to conduct investigations in Canada related to child sexual exploitation on the Internet;
- Entered into a Memorandum of Agreement with Jamaica, which established Project Jamaican Operations Linked to Telemarketing (JOLT) that serves to identify, disrupt, and dismantle the severe increase in Jamaican based telemarketing fraud operations that prey on U.S. citizens, many of whom are senior citizens;
- Assisted in the formulation of Operation Arena in Jamaica, a multinational operated undercover anti-corruption taskforce, that consists of international law enforcement partners working in a non-disclosed location with the goal of identifying, disrupting, extraditing, and prosecuting high-level Jamaican police and government officials. Operation Arena will focus on cross-border financial crimes committed by identified targets;
- Conducted joint OIA, Office of Investigations, Customs and Border Protection (CBP), and DHS bilateral Bulk Cash Smuggling (BCS) operations in furtherance of the ICE Hands Across the World (HAW) initiative utilizing real-time exchange of cash declaration information and intelligence to combat the threat of international BCS by assisting foreign customs administrations in targeting cash couriers. FY09 HAW operations in Italy, Spain, the United Kingdom, Taiwan, Israel, and the Kingdom of Bahrain resulted in dozens of currency seizures totaling more than \$600,700,000 in U.S. currency;
- Co-sponsored, with Australian Customs, the Asia Pacific Economic Cooperation (APEC) Workshop on Detecting and Deterring Cash Couriers and Bulk Cash Smugglers in Sydney, Australia for 80 participants from 20 APEC economies, featuring presentations from international customs and law enforcement experts, case studies, and practical exercises and visited the Sydney International Airport to see how Australian Customs targets illicit cash couriers;
- Coordinated an unprecedented multilateral BCS operation with Group of Eight (G8) member countries, targeting illicit cash couriers traveling on commercial airlines to locations in the Middle East and Asia resulting in simultaneous BCS interdictions and forced declarations in airports in member countries, examination of approximately 515 international flights, and at least 63 cash seizures with an approximate aggregate value of \$3 million U.S.; joint US/Australian South East Asia Regional BCS training representing 8 nations and 26 government agencies

- that resulted in simultaneous BCS interdiction and training at airport locations in 2 different countries and a cash seizure at one airport and multiple forced declarations at the other;
- Deployed 13 Biometric Data Collection Kits and trained over 200 Philippine National Police personnel on their use and benefits in the fight against global terrorism, which led to the identification of over 120 individuals that were added to the Terrorist Identities Datamart Environment;
 - Established closer working relationship with the Cambodian Government, which has allowed for the expeditious expulsion of US citizens charged in the U.S. for violations of the Protect Act;
 - Facilitated the removal of high level/value detainees, i.e., Nazi guard Ivan Demanjuk, Irish Republic Army member Pol Brennan, Palestinian Liberation Organization (PLO) member Khaled Aljasem;
 - Obtained the conviction of Andrew Mogliansky on Child Sex Tourism charges; Attaché Moscow was instrumental in securing evidence, locating victim/witnesses, and Russian cooperation;
 - Successfully investigated an international alien smuggling and document fraud organization in Colombia;
 - Produced the Annual Report of the Task Force on the Prohibition of Importation of Products of Forced or Prison Labor from the People's Republic of China (PRC), a mandatory annual report summarizing the activities of the China Prison Labor Task Force established by Congress to promote the effective enforcement of section 307 of the Tariff Act of 1930 with respect to the PRC and chaired by the Assistant Secretary of ICE;
 - Provided Export Control and Related Border Security (EXBS) training to authorities in 6 countries and over 180 foreign law enforcement officials;
 - Provided BCS overseas training to over 1,245 foreign law enforcement officers in 27 countries;
 - Coordinated ILEA training for approximately 850 local and national police, customs and immigration officers and prosecutors from 56 countries in human smuggling and trafficking, financial crimes, commercial fraud, child exploitation, intellectual property rights, fraudulent documents, and arms trafficking; and coordinated 146 visits and/or hosted briefings for 631 officials from 64 countries through the International Visitors Program (IVP);
 - Conducted cultural repatriations of 450 objects to five different countries.

In FY 2010, OIA will:

- Deter, dismantle, and disrupt transnational criminal organizations;
- Expand presence in Central America to assist in the reduction of narcotics trafficking through ICE's existing strong partnerships with Central American law enforcement and efforts to building capacity to investigate and interdict narcotics and bulk cash shipments;
- Continue to support investigations of child exploitation/child sex tourism, human smuggling and trafficking, illegal arms exports, financial crimes, proliferation networks, and transnational criminal organizations;

- Explore and expand opening new Attaché offices in several strategic locations; and expand OIA presence in Mexico to combat the ongoing and increasing cross-border violence;
- Deploy a Senior ICE executive at INTERPOL headquarters in Lyon, France;
- Deploy three additional personnel to Attaché office locations overseas to coordinate with host governments to facilitate removals of aliens under orders from the U.S.;
- Continue to work with DOD partners to support efforts in GWOT and continue working to fully standup the Attaché office in Kabul, Afghanistan in support of CENTCOM, SOCOM, and U.S. mission interests and to support DHS and DOD priorities in the region;
- Deploy Senior ICE Representatives to the CENTCOM and NORTHCOM;
- Continue to support Project COLT which is expected to increase the amount of funds returned to U.S. victims. This increase will be attributed to ICE's continued victim outreach efforts and application of viable targeting strategies;
- Expand involvement and investigation of 41K Project leads by increasing the amount of leads received from the Canadian government;
- Continue involvement in the RCMP - NCECC;
- Continue involvement in the Operations Arena Task Force;
- Continue to provide EXBS training to foreign law enforcement officials, BCS training to designated countries with a heavy emphasis on operational and regional training, and ILEA training, as well as hosting/coordinating IVP visits for foreign officials; and
- Continue operational training of foreign law enforcement officials in undercover techniques and CPI; task force efforts to identify and investigate Politically Exposed Persons (PEP) in coordination with foreign governments; and efforts to establish permanent, formal TTUs.

In FY 2011, OIA will:

- Deter, dismantle, and disrupt transnational criminal organizations;
- Improve and expand the global reach in the investigative areas of child exploitation/child sex tourism, human smuggling and trafficking, illegal arms exports, financial crimes, proliferation networks, and transnational criminal organizations, and reduce threats associated with foreign nationals transiting the U.S.;
- Increase working relationships and coordination with DOD elements and other U.S. and foreign partners in the GWOT, and combat transnational criminal organizations;
- Continue efforts to identify and investigate PEPs in coordination with foreign governments;
- Support investigative initiatives by identifying emerging patterns and national security threats of increased risk from terrorists, criminals, and other ineligible visa applicants;
- Continue to coordinate TPVT visits, international EXBS and BCS training and ILEA training of foreign law enforcement officials in a wide range of

- investigative areas; and conduct resulting investigations and joint ICE and DHS operations to reduce violations;
- Augment its current presence in Mexico to a total of 40 U.S. direct-hire enforcement personnel by adding personnel to existing offices. This includes 12 special agents funded by an FY 2010 enhancement and 3 special agents funded by a reprogramming of base appropriated funds.
 - Increase coordination with host governments to remove aliens from the U.S. and reduce the time to secure the removal overseas; and
 - Continue to support ICE and other DHS law enforcement related programs overseas.
 - ICE OIA proposes to expend \$1.3 million in support of the National Southwest Border Counter-Narcotics Strategy. These investigative resources will:
 - Enhance interagency and interdisciplinary efforts between ICE and Mexico: OIA partners with domestic ICE components and with U.S. law enforcement agencies overseas to leverage overseas sources to counter global narcotics threats to the U.S. including utilizing investigative and intelligence techniques to support domestic cases and interagency cross-border initiatives.
 - Increase coordination with Mexico to target and reduce vulnerabilities and criminal organizations that threaten our security: OIA supports U.S. drug control policy by supporting the overall ICE mandate to detect, disrupt, and dismantle organizations smuggling contraband (including narcotics) into the United States.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Visa Security Program
Program Performance Justification
(Dollars in Thousands)

PPA: Visa Security Program

	Perm. Pos	FTE	Amount
2009 Actuals	39	36	22,354
2010 Enacted	71	67	30,686
2011 Current Services	71	67	30,686
2011 Total Request	71	67	30,686
Total Change 2010 to 2011	-	-	-

U.S. Immigration and Customs Enforcement requests \$30.7 million for this activity. This constitutes no change from the FY 2010 enacted level. In FY 2011, this PPA is estimated to pay \$1.7 million in servicewide costs (e.g., rent, working capital fund).

CURRENT SERVICES PROGRAM DESCRIPTION:

Authorized by the Homeland Security Act of 2002, the Visa Security Program (VSP) and Security Advisory Opinion Unit (SAOU) reduce the potential for criminals, terrorists, and persons of interest to exploit the legal visa process to enter the U.S. The VSP identifies potential terrorist or criminal threats before they reach the United States by conducting targeted, in-depth vetting of individuals who apply for visas overseas. The VSP and SAOU foster coordinated decision-making across DHS and DOS to utilize law enforcement expertise and analysis to maximize the enforcement benefit to the visa process.

In implementing the VSP, OIA is working closely with DOS to enhance national security by providing an additional level of review and security, along with the unique law enforcement expertise necessary to identify terrorists, other criminals, and persons of special interest from 14 posts in 12 countries before they enter the U.S.

The Visa Security Program enhances the security of visa issuance at high-risk overseas posts by deploying highly skilled and experienced law enforcement officers who conduct in-depth investigative reviews of visa applications that raise security concerns, investigate concerns relating to visa fraud and other criminal activity which can exploit the visa system, and provide advice and training on security issues to DOS consular

officers, thereby enhancing their ability to screen security risks as they adjudicate visas and refuse or revoke applications when warranted.

Key Accomplishments

In FY 2009, VSP:

- Expanded Visa Security Program (VSP) operations to two new highest-risk visa adjudicating posts consistent with the VSP Expansion Plan;
- Exceeded the Government Performance and Results Act (GPRA) performance target for the number of visas recommended for refusal based on derogatory information, by recommending denial for 1,027 visa applicants;
- Expanded SAO Unit (SAOU) operations to CBP's National Targeting Center-Passenger (NTC-P) facility to increase collaboration between ICE and CBP and support our common goal to prevent terrorists and criminal suspects from entering the U.S.;
- Completed the initial development of the VSP Tracking System (VSPTS-Net), a globally accessible, intranet-based system that manages the workflow associated with visa security reviews and provides the necessary analytical, reporting, and data storage capabilities that the VSP requires;
- Collaborated with DOS in revising the rules governing the sharing of TECS data with DOS' Consular Lookout and Support System (CLASS). Initial revisions to the rules in FY 2009 provided over 500,000 records related to international war criminals and other individuals inadmissible under U.S. law to DOS, to prevent those individuals from receiving visas to travel to the United States; and
- Trained 63 ICE Special Agents as Visa Security Officers (VSOs).

In FY 2010, VSP will:

- Continue to expand the VSP, consistent with the VSP Expansion Plan, by opening two Visa Security Units (VSUs) in high-risk locations; conducting in-depth visa applicant reviews/investigations, and providing advice and training to DOS Consular Officers. ICE is mandated by Congress to use the remaining two-year enhancement funds of \$3.437 million it received for expansion by the close of FY 2010 pursuant to its Expansion Plan or the funds will be lost;
- Continue to increase the number of visa applications in which VSP discovered derogatory information and provided the information to the Department of State;
- Continue to expand the Security Advisory Opinion Unit (SAOU) to screen and vet additional categories of SAOs;
- Continue to develop and refine the VSP Tracking System (VSPTS-Net) to connect to a more comprehensive targeting tool to facilitate vetting activities and provide direct communication with the necessary interagency systems;
- Continue to train ICE Special Agents as Visa Security Officers (VSOs).

In FY 2011, VSP will:

- Continue increasing the number of visas reviewed, and increasing the number of visa applications in which VSP discovers derogatory information and provides the information to DOS building from offices opened in FY 2009 and FY 2010;
- Support investigative initiatives by identifying emerging patterns and national security threats of increased risk from terrorists, criminals, and other ineligible visa applicants; and
- Continue to support DHS and other U.S. Government agencies and programs overseas.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Intelligence
Program Performance Justification
(Dollars in Thousands)

PPA: Intelligence

	Perm. Pos	FTE	Amount
2009 Actuals	365	284	57,969
2010 Enacted	453	388	69,842
2011 Adjustments-to-Base	-	54	1,265
2011 Current Services	453	442	71,107
2011 Total Request	453	442	71,107
Total Change 2010 to 2011	-	54	1,265

U.S. Immigration and Customs Enforcement requests \$71.1 million for this activity. This is a \$1.3 million increase from the FY 2010 enacted level, which is for annualization of prior year funding, pay inflation, and management and technology efficiencies. In FY 2011, this PPA is estimated to pay \$10.3 million in servicewide costs (e.g., rent, working capital fund).

CURRENT SERVICES PROGRAM DESCRIPTION:

Intel is responsible for managing the ICE intelligence system and its operational functions, including the activities of the headquarters staff, and field offices co-located with ICE enforcement offices throughout the country. The overall aim is to ensure that intelligence developed or received is processed, analyzed, and disseminated to ICE executive management and to operational units as it pertains to homeland security and ICE strategic goals, which include anti-terrorism infrastructure protection and investigating the illegal movement of people, money, and cargo entering, exiting, transitioning, or moving within the Nation’s borders.

The staff, assets, and resources of Intel operate across the U.S. and at several overseas posts, and respond to intelligence needs, based on formal, documented requirements from its customers, in support of the following programmatic and functional areas:

- Southwest Border Violence, where Intel provides a wide spectrum of intelligence support to enforcement entities on the Southwest Border including state, tribal, local and other Federal law enforcement and Intelligence Community partners;

- Human Smuggling and Public Safety, focusing on human smuggling, trafficking in persons, immigration benefit fraud, mass migration, and threats to public safety emanating from street gangs and other criminal aliens;
- Contraband Smuggling, where Intel provides intelligence to assist in the disruption of the activities related to the trafficking of international narcotics and other prohibited goods;
- Illicit Finance and Trade Fraud, involving illicit movements of money or financial instruments, and other commerce-related crime issues such as international trade violations, protection of intellectual property rights, and public health threats that cross our borders;
- Counter-Proliferation Intelligence, focusing on the identification and disruption of individuals and organizations involved in the unauthorized movement and procurement of critical technology, dual-use goods, chemical, biological, radiological, nuclear/conventional weapons, and unauthorized U.S. exports to prohibited countries;
- Field Intelligence Groups (FIGs), which yield fiscal efficiencies through collocation with other elements of ICE. The 26 FIGs foster relationships between Intel analysts and the customers they support. This structure also allows for flexibility to support customers as the FIG can be augmented with analysts temporarily deployed from around the country as needed;
- Intel analysts provide support to Secure Communities by exploiting classified reporting, conducting Human Intelligence (HUMINT), and conducting research to develop actionable information on biometric “no match” hits. Intel also produces alerts and reports that enhance officer safety and provide situational awareness to personnel participating in removal operations overseas;
- The International Intelligence Unit (IIU) provides intelligence support to ICE’s Office of International Affairs worldwide with emphasis on regions having significant levels of transnational criminal activity affecting ICE operations;
- Collections and Requirements works to increase responsiveness to customer and executive leadership, emphasizing requirement-driven intelligence service and improving internal and external information sharing.

Key Accomplishments

In FY 2009, the Office of Intelligence:

- Satisfied over 820 requirements associated with violent criminal organizations on the Southwest Border by providing regular assessments of the most troubled areas of the region;
- Provided customers such as the Border Enforcement Security Task Forces (BESTs) along the Southwest Border with over 150 Homeland Security Intelligence Reports, and 218 investigative leads that resulted in arrests and seizures. These products provided valuable information enabling law enforcement actions associated with border tunnel operations, the arrest of a 15 mid-to high-level Sinaloa Cartel members and seizure of their weapons,

- investigations into a major Houston area Money Laundering Drug Trafficking Organization (MLDTO) and multiple Alien Smuggling Organization (ASO) investigations in the Dallas area;
- Received 12,725 customer requirements and satisfied 8,417 of them, representing a ten fold increase in both requirements intake and requirements satisfied over the previous year;
 - Identified and interviewed 81 suspected criminal aliens in support of a Secure Communities initiative at correctional facilities near Tiptonville, Tennessee. Of those interviewed, Intel identified 68 as deportable criminal aliens with convictions that included murder, aggravated assault, rape, rape of a child, and distribution of narcotics;
 - Deployed Intel analysis and the Document Exploitation Unit to support an ICE investigation related to a \$100 million U.S. Government contract fraud scheme; this resulted in three indictments, two convictions and \$250,000 in fines;
 - Contributed products that enabled SAC NY to identify the source of their target's means for acquiring shell companies which imported hundreds of ocean containers used to smuggle counterfeit/trademark items into the U.S.;
 - Identified two separate ephedrine shipments from India during the summer of 2009 which facilitated seizure of the shipments at John F Kennedy Airport; the total amount of ephedrine seized exceeded 6,245,000 grams;
 - Produced 54 Homeland Security Intelligence Reports in direct support of the National Export Enforcement Coordination Network of the Office of Investigations. One third of these leads led to new open cases, including the indictment and subsequent arrest of a Chinese national in violation of the Arms Export Control Act;
 - Provided support to SAC Chicago during Community Shield Surge Operations, which targeted suspected criminal aliens involved in street gangs. During FY09, Intel produced 153 target folders, which contributed to the arrest of 89 suspected illegal alien gang members;
 - Produced over 140 products that targeted 130 individuals engaged in human smuggling and alien trafficking, significantly disrupting three foreign based Alien Smuggling Organizations with ties to Special Interest Aliens;
 - Piloted with the Office of Investigations a new methodology for predicting patterns in contraband smuggling and identifying high risk shipments in cooperation with Customs and Border Protection. This new initiative focuses on dismantling contraband smuggling organizations that utilize commercial shipping, package delivery services, trucking, and air freight in furtherance of their criminal activities. The first month of this pilot yielded seizures of over 180 kilograms of narcotics, so Intel plans to expand this effort in FY2010;
 - Moved expeditiously to assign people to the Organized Crime Drug Enforcement Task Force (OCDETF) Fusion Centers and the Special Operations Division consistent with the General Accounting Office's recent recommendation; and
 - Placed liaison officers within partner agencies of DOJ and other departments such as the FBI, and is exploring new ways to provide additional support to partners at the state and local Fusion Centers.

In FY 2010, the Office of Intelligence will:

- Continue to employ the Intelligence Requirement Intake System and requirements management process to support our customer's needs for intelligence products in line with the strategic objectives of ICE and customer demand is expected to continue to outstrip capacity;
- Continue to mitigate this shortfall by information sharing with other intelligence partners, and is seeking to expand resources at State and Local Fusion Centers via the DHS Joint Fusion Center Program Management Office;
- Significantly increase activity involving Southwest Border violence and satisfy at least 20 additional requirements for each analyst full time equivalency that enters on duty during the year under the enhancement;
- Continue to work with DOJ and other partners to ensure that each agency's collection and reporting assets complement each other and that information is shared in an efficient and effective manner; and
- Identify and implement efficiency measures to avoid duplication of capabilities and leverage the complimentary capabilities of Intelligence Community and Law Enforcement partners to ensure that Intel continues to work to close intelligence gaps.

In FY 2011, the Office of Intelligence will continue to:

- Seek efficiencies through collocation, information sharing partnerships with other Federal, state, tribal and local partners;
- Develop innovative approaches to yield a five percent increase in production per analyst FTE each year through business process improvements;
- Adapt to changing operational requirements levied by its customers; and
- Pilot innovative methodologies that enhance our ability to better support customers in executing law enforcement actions such as arrests, seizures, and the return of criminal aliens.
- In FY11, ICE Office of Intelligence will apply \$7.9M and 47 positions out of the FY10 Southwest Border Enhancement towards the National Southwest Border Counter-Narcotics Strategy. These resources will contribute to the Strategy by:
 - Working within the DHS Intelligence Enterprise to enhance coordination and harmonization of intelligence and information collection, analysis and dissemination among the Intelligence Community and law enforcement agencies with Southwest border counterdrug intelligence responsibilities through coordinating activities of entities such as the Border Violence Intelligence Cell and Reports Officers who share information with partners to include Border Enforcement Security Task Forces, State and Local Fusion Centers, Department of Justice's Bureau of Alcohol, Tobacco, Firearms and Explosives, and partner agencies of the Government of Mexico.
 - Providing direct support to ICE investigations and prosecutions focused on disrupting and dismantling drug trafficking organizations and their activities to include, weapons being smuggled south, narcotics smuggling

and illicit financial activities through dissemination of such products as threat assessments and target folders identifying individuals, organizations, and other entities that constitute the enablers of these illicit activities.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Custody Operations
Program Performance Justification
(Dollars in Thousands)

PPA: DRO - Custody Operations

	Perm. Pos	FTE	Amount
2009 Actuals	4,994	4,905	1,774,696
2010 Enacted	5,210	5,210	1,771,168
2011 Adjustments-to-Base	(79)	(79)	112,596
2011 Current Services	5,131	5,131	1,883,764
2011 Program Change	-	-	20,000
2011 Total Request	5,131	5,131	1,903,764
Total Change 2010 to 2011	(79)	(79)	132,596

U.S. Immigration and Customs Enforcement requests \$1,903.8 million for this activity. This is a \$132.6 million increase from the FY 2010 enacted level. \$20.0 million is for program changes. In addition, in order to consolidate ICE's overall cost of beds to allow a clearer depiction of actual costs being incurred, ICE is proposing for FY 2011 that bed costs currently in the base funding for Fugitive Operations, Criminal Alien Program (CAP), and Secure Communities/CIRCA be permanently reprogrammed under Custody Operations, which manages all bed-related activities for ICE. This zero-sum reprogramming between ICE programs results in a \$129.7 million increase to Custody Operations and corresponding decreases to the other three programs. In addition, in order to assure that personnel are appropriately being charged to the program under which they function, ICE is proposing to move funding for a total of 79 positions currently in Custody Operations base to the programs where these positions are performing the bulk of their work: CAP - 10 positions, Alternatives to Detention - 10 positions, and Transportation and Removal Program - 59 positions. This is a zero-sum reprogramming within DRO programs that results in a \$17.1 million decrease to Custody Operations. Net change of these two actions is a \$112.6 million adjustment-to-base increase to Custody Ops. In FY 2011, this PPA is estimated to pay \$162.0 million in servicewide costs (e.g., rent, working capital fund).

CURRENT SERVICES PROGRAM DESCRIPTION:

Custody Operations provides safe, secure, and humane conditions of detention for aliens taken into custody or arrested by ICE and other law enforcement entities, such as the Office of the Border Patrol, and state, county, and local law enforcement jurisdictions within the United States.

Current Bedspace Management

ICE owns and operates seven secure detention facilities called Service Processing Centers (SPCs) located in: Aguadilla, Puerto Rico; Batavia, New York; El Centro, California; El Paso, Texas; Florence, Arizona; Miami, Florida; and Los Fresnos, Texas. ICE implemented a design-build approach to enhance the physical plan of SPCs and support facilities. With the addition of two administration and processing complexes at the Krome SPC in Miami and the Port Isabel SPC in Texas, operational efficiency at these locations has greatly improved due to improving internal logistics and meeting the national standards for conditions of confinement. ICE is currently reviewing whether owning SPCs is in the best interest of the Federal government. Recent analysis has shown that, on average, SPC detention beds cost more to operate than beds utilized in other types of facilities.

ICE also currently utilizes seven contract detention facilities (CDFs), which are run by contractors solely for ICE. These facilities are located in: Aurora, Colorado; Houston, Texas; Tacoma, Washington; Elizabeth, New Jersey; Broward County, Florida; Pearsall, Texas; and San Diego, California. In addition, ICE contracts for additional bed space with state and local facilities through Inter-governmental Service Agreements (IGSAs) with counties and municipalities throughout the United States. Furthermore, ICE supplements detention capacity through an arrangement with the Federal Bureau of Prisons' (BOP) Federal Detention Center in Oakdale, Louisiana.

Key to ICE's success in managing a growing detention population is the use of ICE's Detention Operations Coordination Center (DOCC) to manage detention and transportation resources on a national level. The national management of these resources has allowed ICE to support arrests in field offices with limited detention capacity by transporting cases to field offices with larger capacities.

Detention Standards Compliance Oversight

ICE monitors detention facilities for compliance with National Detention Standards. These standards specify the living conditions appropriate for detainees and ensure that detainees are treated with dignity and respect, and that they receive the best possible care while they are housed at a facility. A core group within the ICE Office of Professional Responsibility monitors conditions where ICE detainees are held in order to assure that facilities utilized by ICE maintain appropriate conditions of confinement consistent with correctional industry standards and practices.

Additional detention facility oversight mechanisms to assure compliance with the National Detention Standards include annual inspections and on-site monitoring at all of our facilities, and ongoing quality assurance compliance monitoring at our largest facilities. Both the inspections and compliance monitoring are performed by outside contractors who maintain considerable detention facility program and operational service expertise.

DRO's Detention Standards Compliance Unit is in the final stages of modernizing ICE's National Detention Standards (NDS) to update agency policy regarding detention and bring ICE DRO practices in alignment with industry standards. The new standards are Performance-Based Standards (PBS), which focus on the results or outcomes that the required procedures are expected to accomplish.

Healthcare

Primary healthcare for alien detainees is managed by the Division of Immigration Health Services (DIHS), which became a component of DRO operations in FY 2008. Through comprehensive health screening and the provision of direct patient care and managed care services to approximately 20,000 detainees, DIHS directly impacts the globalization of communicable disease and serves as a model for global health services delivery. A managed healthcare program is available system-wide to ensure adequate and appropriate care is provided to all detainees at the lowest possible cost.

The breadth of the responsibilities within the detention program requires a readiness to respond to a wide variety of emergency situations. As part of planning for a mass migration or disaster, the DRO Incident Response Unit has created contingency plans for DRO resources to remain readily available for deployment in the event of a natural disaster, terrorist attack, or mass immigration emergency and these plans are reviewed and modified based on lessons learned from recent occurrences.

Bond Management Unit

The Bond Management Unit (BMU) is responsible for developing and implementing uniform bond policies and procedures. The BMU provides uniform guidance to DRO field offices and ensures that bond-related issues are addressed and resolved in a timely manner. The BMU works with the Debt Management Center (DMC), Burlington Finance Center, Department of Justice attorneys, and the Administrative Appeals Office (AAO) regarding bond-related litigation issues.

Detention Reforms

In FY 2009, ICE undertook a review of how to improve the current system of detention which resulted in the announcement of several major reforms to ICE's detention system. These reforms are intended to address the vast majority of complaints about the current immigration and detention system, while allowing ICE to maintain a significant, robust detention capacity to carry out serious immigration enforcement. ICE is committed to taking the steps that will lead the agency away from the present decentralized, jail-oriented approach to a system wholly designed for and based on ICE's needs.

Steps will include housing detainees in a set of facilities designed, located and operated for immigration detention purposes and increasingly relying on ICE employees instead of contractors for more of the core operational decisions and no longer relying primarily on

excess capacity in penal institutions. These reforms will bring improved custodial conditions, ICE oversight, medical care, and fiscal prudence.

In FY 2010, through the newly created Office of Detention Policy and Planning (ODPP), ICE has initiated the following Detention Reform activities:

- Revision of immigration detention standards to reflect the conditions appropriate for various immigration detainee populations while keeping costs neutral.
- Systematic review of high cost detention space to maximize the use of less expensive detention resources, and encourage the private sector to develop innovative and less expensive civil detention facilities.
- Improving detention by reviewing contracts for all detention facilities to identify opportunities to centralize all detention contracts managed by field offices. ICE plans to achieve a cost savings via centralized procurement management and its work with the Office of the Federal Detention Trustee (referenced below).
- ICE is refining a risk assessment instrument that will improve custody decisions and ensure bed space is being used prudently.
- Development of medical care risk assessment system to assist in the appropriate placement of detainees with medical and mental health issue to avoid unnecessary and costly transfers.
- ICE is developing a program to utilize federal employees as detention services monitors. By federalizing this function and developing a corps of specialized detention experts, ICE will reduce its dependency on private sector resources and eliminate its contract costs by an estimated \$13M annually.

ICE & Office of the Federal Detention Trustee Collaboration

In FY 2010, ICE has begun to collaborate closely with the Office of the Federal Detention Trustee (OFDT) on a number of joint actions aimed at improving the efficiency and cost effectiveness of ICE's detention program in FY 2011.

Specifically under consideration are:

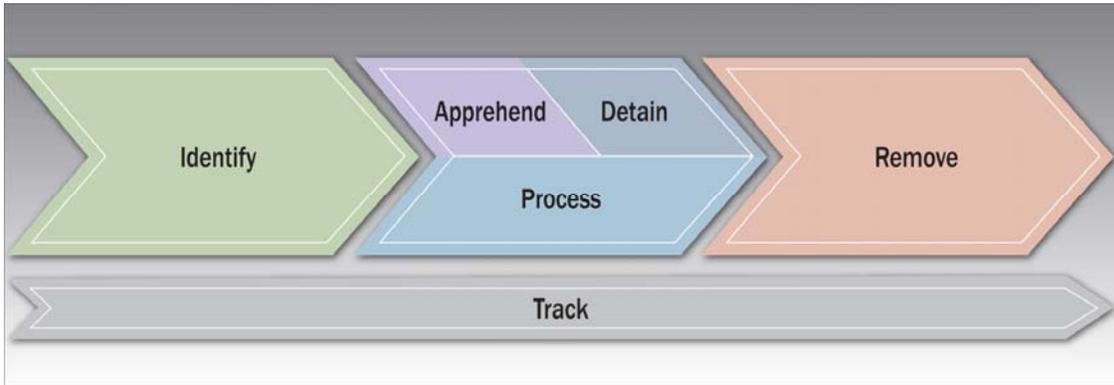
- The establishment of common Federal per diem rates to leverage Federal buying power in an effort to reduce ICE's daily bed costs;
- The sharing and cross utilization of ICE, OFDT, and U.S. Marshal Service facility inspections to ensure consistent conditions of confinement and reduce ICE's inspection costs; and
- Joint population projections and capacity planning to optimize the size, type, location, utilization and acquisition of Federal detention space.

Reducing the Average Length of Stay (ALOS) in FY 2011

In FY 2011, ICE is projecting that 80 percent of the ICE-detained population will be comprised of criminal aliens encountered through ICE's criminal and fugitive alien efforts. The remaining 20 percent will be primarily made up of aliens apprehended by U.S. Customs and Border Protection.

In FY 2010, ICE launched two initiatives with the objective of reducing the ALOS for the detained population to a target of 28 days in FY 2011 from 33.6 days in FY 2010 (as of 12/28/09). The reduction in ALOS will allow ICE to increase the number of aliens it can detain to potentially 430,000 in FY 2011 while utilizing the same number of beds. In FY 2009, ICE detained over 380,000 aliens.

There are six phases in the criminal alien enforcement lifecycle. They are as follows:



Phase	Description
Identify	This phase consists of the processes that allow ICE to use automated biometric queries to identify, classify, and prioritize criminal aliens.
Apprehend	This phase consists of the processes ICE uses to arrest or otherwise take custody of criminal aliens for detention and, if judged removable, removal from the country.
Detain	This phase consists of the processes required to detain a criminal alien once in ICE custody.
Process	This phase consists of the due process legally required to authorize the removal of a criminal alien from the United States.
Remove	This phase consists of all the processes required to affect the removal of a criminal alien from the United States, once the individual is judged or otherwise determined to be removable.
Track	Track is a supporting information process that continues throughout all phases of the Criminal Alien Enforcement Lifecycle. Each step of the alien's progress is carefully tracked and recorded, from identification through removal.

In FY 2011, ICE will continue to focus on reducing the amount of time a criminal alien spends in the "Process" phase of the criminal alien enforcement lifecycle. On average, a detained alien whose case appears before an immigration judge can spend approximately 41 days in custody whereas a detained alien not requiring a hearing will spend 16 days. ICE is working with the Executive Office of Immigration Review (EOIR) to reduce this amount of time by reducing the number immigration hearing continuances and the length

between them. As the current ALOS data suggests, ICE has identified a higher percentage of detained aliens who are processed through a more expedited removal processes – e.g. stipulated removals. In July of 2009, the Department of Justice and the Department of Homeland Security identified a number of policy and procedural impediments which contributed to increasing the length of the hearing process. One impediment discussed was the inconsistent application or acceptance of the stipulated removal process. Both DHS and DOJ have agreed to commission an intra-agency workgroup which will begin in 2nd quarter of FY 2010 to resolve the issues which will allow all eligible detained aliens to request stipulated removal orders.

The next area ICE will focus on is in the “Removal” phase of the criminal alien enforcement lifecycle. A detained alien spends approximately 10 – 14 days in the “Removal” phase of the lifecycle. Because of various country requirements and interagency procedures, a detained alien cannot immediately be removed from the United States as soon as a removal order is final. Beginning in FY 2010, working with DOS and ICE OIA, ICE will seek to reduce or even eliminate country notification timeline requirements. If DOS and ICE are successful in making changes to existing requirements, ICE would still notify the receiving and transiting countries of removal efforts, but removal would not be contingent upon receipt of acceptance from the countries involved.

Bed Cost Realignment

Several different ICE PPAs have funded detention bed procurement in the past. For FY 2011, ICE is proposing to fund all detention beds from the Custody Operations PPA, providing better transparency into the cost of detention bed procurement. The usage by detainee type can still be tracked but bringing all funding for bedspace under one PPA eliminates the need for artificial division of funding as bedspace is procured by facility rather than source of detainee.

Key Accomplishments

In FY 2009, Custody Operations began taking the steps toward reforming the immigration detention system and implementing initiatives to achieve greater program efficiency. Among the steps accomplished, DRO:

- Created the Office of Detention Policy and Planning (ODPP) to improve the design and long-term oversight of the detention system, to ensure more uniform conditions of confinement and medical care and to design and create a civil detention system tailored to the needs of ICE;
- Discontinued use of family detention at the T. Don Hutto Family Residential Facility in Texas;
- Hired an expert in healthcare administration and a medical expert to provide an independent review of medical complaints and denials of requests for medical services;

- Recruited 23 ICE detention managers to work in DRO, supporting the Field Office Directors and stationed at 23 significant facilities, to substantially increase direct federal oversight.
- Established an Office of Detention Oversight (ODO) within the Office of Professional Responsibility (OPR), replacing and expanding upon the current Detention Field Inspection Group; and
- Formed two advisory groups of local and national organizations interested in ICE's detention system. These groups will provide feedback and input to the Assistant Secretary. One will focus on general policies and practices, while the other will focus on detainee health care.

In addition, in FY 2009, DRO achieved greater efficiencies and program improvements, including the following:

- Continued its support of the Secure Communities/Comprehensive Plan to Remove Criminal Aliens (SC/CIRCA);
- Continued development and refinement of a customized bed space forecast model based upon transportation routes, arrest forecasts, and historical length of detention data and case type;
- Continued the development and refinement of the Bed Space Tracking and Transportation (BST&T) system to increase the process efficiency of locating available beds and transporting detainees;
- Entered into a new annual detention compliance inspection contract with MGT. MGT replaced the former Creative Corrections contract that was in place during FY 2008 to conduct annual reviews of detention facilities housing ICE detainees and assist with program management, inspection schedules, reports.
- Entered into a new contract with the Nakamoto Group for on-site detention standards compliance. The Nakamoto Group provides on-site compliance verification for detention facilities housing ICE detainees, including an automated reporting function to allow DRO to monitor the current compliance status of any particular facility.
- Continued the design and deployment of the eBONDS System. In FY 2009, BMU continued working closely with the ICE Office of the Chief Information Officer (OCIO) and the Office of Acquisition Management (OAQ) to aggressively pursue the design, build, and deployment of the eBONDS Project. The BMU held Registration Authority Training where a member from each field office was granted registration authority, thus allowing them to grant access to other personnel in their respective field office to use digital signature pads to complete eBonds transactions. Signature pads have been distributed to each field office in anticipation of the deployment of eBonds. The eBONDS application supports the DHS bond management process and the Bond Management Information System. The basic function of eBONDS is to:
 - Reduce data entry costs by enabling customers to begin the bond process by providing the capability for surety companies to complete the I-352 Immigration Bond form using web-based technology;
 - Provide the capability to analyze and report on bond metrics associated

with bond management and reduce the time spent on manually fulfilling report requests from field users; and

- Develop a workflow dashboard for surety companies to view the status of active and historical bond processing.
- Provide the ability to enroll and update user information (names, roles, permissions, and associated digital signatures) for use by a third party surety, surety contact information, including managing agent, tax identification number, address, and telephone number, and generate a PDF bond form documentation package, complete with a power of attorney form, I-352, and digital signature capability.

In FY 2010, Custody Operations will continue efforts towards improving the quality and care for detainees, increasing program efficiencies, and addressing congressional priorities as follows:

- Continue to support Secure Communities initiatives to identify and remove all criminal aliens amenable to removal in jails and prisons throughout the United States. Secure Communities risk-based application of resources will continue to inform the use of enforcement activities as well as detention space.
- Continue the refinement of the bed space forecast model and Bed Space Tracking and Transportation system;
- Implement an electronic policy management system to centralize publication of policies, facilitate development and modification of new policies, and allow collaboration across DRO and with other ICE programs;
- Continue to support state and local jurisdictions through the provision of detention space for detainees arrested by municipal law enforcement jurisdictions and brought to DRO custody; and
- Sustain American Correctional Association (ACA) accreditation for all DRO-operated facilities.
- Deploy the eBONDS initiative;

In FY 2011, Custody Operations aims to build on prior successes to:

- Continue to support any additional bed space requirements generated by Secure Communities; as ICE's focus on criminal alien identification and removal intensifies, work to ensure current resources can strategically be focused on those efforts;
- Continue the refinement of the bed space forecast model;
- Continue the refinement of the BST&T system;
- Custody Operations will continue efforts towards improving the quality and care for detainees while increasing program efficiencies.
- Continue to support state and local jurisdictions through the provision of detention space for detainees arrested by municipal law enforcement jurisdictions and brought to DRO custody;
- Continue its detention inspection program; and

- Sustain American Correctional Association (ACA) accreditation for all DRO-operated facilities.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Fugitive Operations
Program Performance Justification
(Dollars in Thousands)

PPA: DRO - Fugitive Operations

	Perm. Pos	FTE	Amount
2009 Actuals	705	742	207,879
2010 Enacted	677	677	229,682
2011 Adjustments-to-Base	-	-	(61,233)
2011 Current Services	677	677	168,449
2011 Total Request	677	677	168,449
Total Change 2010 to 2011	-	-	(61,233)

U.S. Immigration and Customs Enforcement requests \$168.5 million for this activity. In order to consolidate ICE's overall cost of beds to allow a clearer depiction of actual costs being incurred, ICE is proposing for FY 2011 that bed costs currently in the base funding for Fugitive Operations, Criminal Alien Program (CAP), and Secure Communities/CIRCA be permanently reprogrammed under Custody Operations, which manages all bed-related activities for ICE. This zero-sum reprogramming between ICE programs results in a \$61.2 million decrease to Fugitive Operations. In FY 2011, this PPA is estimated to pay \$20.9 million in servicewide costs (e.g., rent, working capital fund).

CURRENT SERVICES PROGRAM DESCRIPTION:

The National Fugitive Operations Program (NFOP) is responsible for reducing the fugitive alien population in the United States. At the end of FY 2008, there were an estimated 557,761 fugitive aliens at large in the United States, according to the DRO Deportable Alien Control System (DACS). As of August 24, 2009, there were 540,505 fugitive aliens-at-large. ICE works to reduce the fugitive alien population by using Fugitive Operations Teams (FOTs), which consist of:

- One Supervisory Detention and Deportation Officer (SDDO);
- Four Deportation Officers (DOs);
- One Immigration Enforcement Agent (IEA); and
- One Deportation and Removal Assistant (DRA).

DRO created the Fugitive Operation Support Center (FOSC) to enhance the efficiency and effectiveness of the NFOP. The FOSC reviews and updates ICE fugitive alien cases in the Enforce Alien Removal Module (EARM), provides comprehensive leads to the FOTs, closes cases as appropriate, and facilitates the overall efforts to arrest fugitives.

As a component of the NFOP, the goal established for the FOSC is to eliminate 26,000 cases from the fugitive population each fiscal year.

The FOSC conducts analysis, screening, background checks, and related support activities for the vetting of ICE fugitive aliens. The FOSC then reconciles data from external government and private sources. A significant number of cases are closed as a result of data analysis performed at the FOSC, resulting in more focused FOT operations. After analyzing, vetting, and compiling data, actionable information is disseminated to FOTs.

Fugitive Operations also supported the overall ICE goal to identify and remove criminal aliens as outlined below.

Key Accomplishments

In FY 2009, Fugitive Operations had the following successes:

- Of the ICE fugitives arrested in FY 2009, as of August 24, 11,289 were criminal aliens. Of the non-fugitive arrests, 4,655 were criminal aliens. In FY 2008, these figures were 5,652 criminal fugitives and 2,267 non-fugitive criminals.
- ICE increased the total number of arrests made by ICE Fugitive Operations teams by eight percent as compared to the same period in FY 2008.
- ICE reduced the fugitive case backlog. As of August 24, 2009, ICE's fugitive case backlog was 540,505 fugitive aliens, which are 17,256 fewer fugitives than the backlog recorded on October 1, 2008.
- All of the 104 funded Fugitive Operations Teams (FOTs) are operational and conducting enforcement activities across the United States. Presently, each of the 24 DRO Field Offices has at least one operational FOT.
- As of August 24, 2009, 23,653 fugitive aliens have been arrested and another 7,786 non-fugitive aliens have been arrested.
- As of August 24, 2009, the FOSC resolved 55,416 fugitive cases, assisting in the reduction of the fugitive backlog.

In FY 2010 and FY 2011:

- Fugitive Operations will continue to conduct targeted fugitive alien operations to reduce the fugitive alien backlog as directed by Congress. Fugitive alien enforcement operations conducted by 104 FOTs will primarily target criminal aliens and those found to be a threat to community safety or national security;
- Through the use of technology and partnerships with law enforcement agencies, the FOSC will continue to enhance procedures to process and analyze EARM fugitive data;
- The FOSC Resolution Unit will continue to develop and augment procedures in an effort to analyze the nature and characteristics of the fugitive alien population. This effort will aid in reducing the reported number of fugitives by reconciling the

records of those fugitive aliens who have left the country, adjusted their status, immigrated, or were discovered to be incarcerated;

- As ICE's focus on criminal alien identification and removal intensifies, work to ensure NFOP can support the Secure Communities Program's targeting criminal aliens and fugitives; and
- The FOOSC Leads Unit will continue to enhance and incorporate technologies such as the analysis of government and commercial databases to prepare leads on fugitive aliens for transmission to the field.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Criminal Alien Program
Program Performance Justification
(Dollars in Thousands)

PPA: DRO - Criminal Alien Program

	Perm. Pos	FTE	Amount
2009 Actuals	1,127	1,068	188,286
2010 Enacted	935	932	192,539
2011 Adjustments-to-Base	10	10	(13,222)
2011 Current Services	945	942	179,317
2011 Total Request	945	942	179,317
Total Change 2010 to 2011	10	10	(13,222)

U.S. Immigration and Customs Enforcement requests \$179.3 million for this activity. In order to consolidate ICE's overall cost of beds to allow a clearer depiction of actual costs being incurred, ICE is proposing for FY 2011 that bed costs currently in the base funding for Fugitive Operations, Criminal Alien Program (CAP), and Secure Communities/CIRCA be permanently reprogrammed under Custody Operations, which manages all bed-related activities for ICE. This zero-sum reprogramming between ICE programs results in a \$15.3 million decrease to CAP. In addition, in order to assure that personnel are appropriately being charged to the program under which they function, ICE is at the same proposing to move funding for a total of 79 positions currently in Custody Operations base to the programs where these positions are performing the bulk of their work; through this zero-sum reprogramming within DRO programs, CAP receives funding for 10 positions, resulting in an increase to CAP of \$2.1 million. Net change of these two actions is a \$13.2 million decrease to CAP. In FY 2011, this PPA is estimated to pay \$38.9 million in servicewide costs (e.g., rent, working capital fund).

CURRENT SERVICES PROGRAM DESCRIPTION:

The Criminal Alien Program (CAP) conducts ICE-wide operations to identify and arrest criminal aliens who are incarcerated within federal, state, and local prisons and jails. ICE ensures that all efforts are made to arrest and remove these individuals from the community by securing a final order of removal prior to the termination of their period of imprisonment. The identification and processing of incarcerated criminal aliens, prior to release from jails and prisons, decreases or eliminates the time spent in ICE custody, reducing the overall cost to the U.S. Government. Additionally, integral to the effective execution of this program is the aggressive prosecution of criminal offenders identified by DRO officers.

DRO, in conjunction with the United States Attorney's office, actively pursues criminal prosecutions when offenses of the nation's criminal code and immigration laws are discovered. This further ensures public safety and provides a significant deterrent to recidivism. ICE has also continued deployment of Video Teleconference (VTC) systems to CAP programs throughout the country. These tools further the effectiveness of the Criminal Alien Program.

A CAP team is composed of:

- One Supervisory Deportation Officer;
- One Deportation Officer;
- Six Immigration Enforcement Agents; and
- Two Deportation Assistants.

Throughout the United States, state and local correctional departments provide ICE with inmate rosters maintained through independent data systems. ICE works with state and local governments to analyze their data and verify prisoners' identities against ICE immigration databases.

In FY 2008, ICE received funding for an additional 30 CAP teams – for a total of 119. Secure Communities funding added seven additional teams in FY 2009 for a new total of 126. ICE is supported through the Secure Communities Initiative to implement interoperability with the law enforcement agencies in order to match biographical data against ICE databases that will help assist in the identification of criminal aliens more efficiently and effectively in federal, state and local facilities. CAP has expanded its enforcement activities with the Joint Criminal Alien Taskforce (JCART), Violent Criminal Alien Section (VCAS), and the Phoenix Law Enforcement Area Response (LEAR).

Key Accomplishments

In FY 2009, CAP:

- Encountered, through interviews or screenings, over 771,000 people and issued over 204,000 charging documents;
- Presented 11,144 cases to the U.S. Attorney's office for criminal prosecution and, of those, 7,256 cases were accepted;
- Strategically allocated 336 Secure Communities-funded positions to enhance existing JCART, VCAS, and CAP nationwide based on the risk-based assessment;
- Deployed 57 VTC units, including three Bureau of Prison sites.
- Assisted in the deployment and expansion of Interoperability under the Secure Communities plan. As an operational partner of Secure Communities, CAP provides the required manpower to ensure successful operation of Interoperability.

In FY 2010, CAP will:

- Strategically allocate 80 additional Secure Communities funded positions nationwide;
- Continue the deployment of VTC systems to CAP programs throughout the country;
- Work to increase the level of screening nationally to achieve 100 percent in all identified facilities. This will enhance the mission of pursuing a final order of removal prior to the termination of a person's sentence. Upon completion of criminal sentences, aliens are transferred into ICE custody to remove them from the United States; and
- Increase the number of criminal prosecutions presented to the U.S. Attorney's office.

In FY 2011, ICE will:

- Continue to increase efforts to identify, screen and interview criminal aliens incarcerated in federal, state, and local facilities, and the additional personnel will help to ensure that these criminals are not released into the community while preparing for immigration proceedings;
- Continue to increase the number of criminal prosecutions of violent recidivist criminal aliens;
- Continue to further the advancement of the Secure Communities plan within the law enforcement community across the United States;
- Ensure current resources are strategically focused on criminal alien identification and removal as well as specific SC/CIRCA appropriations; and
- Develop new advancements and best practices to ensure full screenings of institutional facilities; and
- Utilize three Interoperability Response Centers (IRCs) to assist with the deployment of Interoperability throughout the country. CAP special programs will strategically allocate 60 Secure Communities funded contractors between the three IRCs.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Alternatives to Detention
Program Performance Justification
(Dollars in Thousands)

PPA: DRO - Alternatives to Detention

	Perm. Pos	FTE	Amount
2009 Actuals	174	127	62,722
2010 Enacted	171	172	69,913
2011 Adjustments-to-Base	10	10	2,162
2011 Current Services	181	182	72,075
2011 Total Request	181	182	72,075
Total Change 2010 to 2011	10	10	2,162

U.S. Immigration and Customs Enforcement requests \$72.1 million for this activity. In order to assure that personnel are being appropriately being charged to the program under which they function, ICE is proposing to move funding for a total of 79 positions currently in Custody Operations base to the programs where these positions are performing the bulk of their work; through this zero-sum reprogramming within DRO programs, Alternatives to Detention receives funding for 10 positions, resulting in an increase to ATD of \$2.2 million. In FY 2011, this PPA is estimated to pay \$5.5 million in servicewide costs (e.g., rent, working capital fund).

CURRENT SERVICES PROGRAM DESCRIPTION:

National security and public safety are ICE’s first priorities. To that end, ICE detains all aliens who pose a threat to community safety or national security, as well as those ICE is required to detain under U.S. immigration law. The Alternatives to Detention (ATD) Program enables ICE to remove people from detention who, if monitored on ATD, will appear for hearings and removal. ATD is comprised of two primary programs: the Intensive Supervision Appearance Program (ISAP) and the Enhanced Supervision/Reporting (ESR) Program.

Intensive Supervision Appearance Program

The ISAP program provides community-based supervision services for aliens while in the removal process. The program employs case specialists who closely supervise the enrolled aliens, utilizing a variety of tools to ensure successful completion of the program. ISAP relies on electronic monitoring devices (e.g., telephonic reporting, radio

frequency and global positioning satellite monitoring), unannounced home visits, and required office visits. In addition, the contractor assists the enrollees in obtaining travel document information and utilizes community-based organizations to provide services such as housing, health, and employment services for those participants authorized to work.

ISAP provides services in 12 locations: Baltimore, MD; Delray Beach, FL; Denver, CO; Kansas City, MO; Los Angeles, CA; Miami, FL; New York, NY; Orlando, FL; Philadelphia, PA; Portland, OR; St. Paul, MN; and San Francisco, CA.

ISAP currently has a maximum participant limit of 6,000 aliens, and 5,900 are currently participating in the program. Since its inception, ISAP has served over 13,500 participants. ISAP currently reports an overall compliance rate with administrative removal orders of 91 percent.

Enhance Supervision/Reporting Program

The ESR is similar to ISAP in that supervision specialists closely supervise aliens utilizing electronic monitoring, residence verification, home visits, in-person reporting, and travel document information collection. ESR is distinct from ISAP in that it requires fewer home visits, in-person reporting¹, and does not incorporate community-based organizations referral requirements. The contractor also provides support during large-scale operations. The Electronic Monitoring (EM) component requires the officers in the field to enroll the alien participant into the program and to respond to violation notifications. EM technologies available for use are telephonic reporting, radio frequency and global positioning satellite (GPS) monitoring.

ESR provides services within all 24 DRO Field Offices and three Sub-Offices (Charlotte, NC; Hartford, CT; and Orlando, FL). The current maximum participant limit for ESR is 7,000 and there are currently over 6,200 active participants enrolled. EM has no participant limit and is available nationwide. The ESR program currently reports an overall compliance rate with administrative removal orders of 65 percent.

Key Accomplishments

In FY 2009, ICE:

- Solicited a new contract², which was awarded in August 2009. However, a protest was filed and is currently with the Government Accountability Office (GAO) for decision. The current ESR and ISAP contracts will continue pending the outcome

¹ The frequency of In-Person Office and Unannounced Home Visits range from two times per month to one time every other month.

² The contract will be awarded through the means of “full and open” competition as required by the Competition in Contracting Act (CICA), which was enacted as Title VII of the Deficit Reduction Act of 1984, Public Law 98-369.

of the protest. The new contract is similar to the current ISAP contract and will allow for phased openings of ISAP programs nationwide as funding permits. The expansion of ATD services will continue into FY 2010 as stipulated in the contract to achieve coverage of all field and main sub-offices as funding permits during that year. The goal of this expansion is the successful transition of all current ESR, EM, and ISAP participant population to the new contract;

In FY 2010, ATD will:

- Conduct a feasibility study to implement “kiosk-type” technology nationwide. This initiative would assist the field office with the enormous task of supervising non-removable aliens who do not pose a risk to the community, by reducing face-to-face meetings with aliens to potentially realign many man-hours to perform in other critical DRO mission areas; and
- Continue with the staggered opening of ISAP program nationwide with the goal of increasing coverage of ATD services to up to 82 new locations and increase the participant capacity up to 24,000.

In FY 2011, ATD will:

- Continue with the phased opening of ISAP program to new offices and increase participant capacity; and
- Review feasibility of “kiosk-type” technology and secure funding study the potential costs and benefits of for entering into a contract for nationwide implementation if appropriate.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Transportation and Removal Program
Program Performance Justification
(Dollars in Thousands)

PPA: DRO - Transportation and Removal Program

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	255,773
2010 Enacted	-	-	281,878
2011 Adjustments-to-Base	59	59	12,754
2011 Current Services	59	59	294,632
2011 Total Request	59	59	294,632
Total Change 2010 to 2011	59	59	12,754

U.S. Immigration and Customs Enforcement requests \$294.6 million for this activity. In order to assure that personnel are being appropriately being charged to the program under which they function, ICE is proposing to move funding for a total of 79 positions currently in Custody Operations base to the programs where these positions are performing the bulk of their work; through this zero-sum reprogramming within DRO programs, the Transportation and Removal Program receives funding for 59 positions, resulting in an increase to TRP of \$12.8 million. In FY 2011, this PPA is estimated to pay no servicewide costs (e.g., rent, working capital fund).

CURRENT SERVICES PROGRAM DESCRIPTION:

Appropriations to the Transportation and Removal Program fund safe and secure transportation of aliens in ICE custody and removals of aliens from the United States, as ordered by an immigration judge.

The Removal Management Division (RMD) is comprised of the Case Management Unit, Flight Operations Unit, and the Removals Coordination Unit. RMD provides oversight through its three component units, to all 24 Field Offices. RMD conducts air transportation and removal planning, and develops and implements strategies to support the removal of all removable aliens. RMD oversees and supports Field Office Directors' execution of air transportation and removal funding. RMD, through these units, ensures the Transportation and Removal Program funds are efficiently and effectively used.

Case Management Unit (CMU) - The CMU provides nationwide guidance and oversight relating to aspects of case management of detained aliens who have received a final order of removal. This includes oversight of the Post Order Custody Review

(POCR) process, deferred action, conducting field office site visits and training, monitoring monthly custody reports and the Weekly Inventory List of Detained Cases (WILDC). CMU also supports field offices and overseas entities on travel document and removal issues to ensure the safe and orderly removal of persons from the United States. CMU has oversight of the electronic Travel Document System (eTD) and conducts liaison with governmental and non-governmental organizations, over 200 embassies and consulates within the United States, foreign governments, and law enforcement organizations world wide.

The Removal Coordination Unit (RCU) manages commercial airline removals (Centralized Ticketing, CENTIX) and the Detention Operations Coordination Center (DOCC). RCU facilitates:

- Commercial escorted and unescorted removal operations in coordination with DRO Field Offices and Omega Travel Management Center. Services include requesting country clearances via the electronic Country Clearance system (eCC) and sending removal notifications via a secure messaging system (cable), both of which interface with the Department of State.
- The DOCC ensures capacity equilibrium among detention locations. The DOCC identifies available space to meet field office requirements and coordinates available transportation options. The DOCC also provides detention and transportation support for ICE Enforcement Operations.

The **Flight Operations Unit (FOU)** manages all DRO mass airlift operations through a combination of ICE-chartered aircraft and a partnership with the Justice Prisoner and Alien Transportation System (JPATS). In conducting its mission of transporting aliens with a removal order, the FOU oversees domestic and foreign scheduling of all DRO-managed aircraft based on the operational requirements of the 24 field offices along with coordination with each respective receiving country and ICE Attaché office. The FOU also coordinates the procurement of ICE charters involved with the removal of aliens to Central Asia, the Pacific Rim, Africa, and the Middle East.

Key Accomplishments

In FY 2009:

- DRO continued to engage other government agencies and embassies to accelerate travel documents issuance for aliens pending removal from the United States. DRO continued to develop and expand the eTD system and encouraged other foreign governments to use the system; FOU operated seven charters outside of the Americas returning 495 alien passengers to Albania, Cambodia, Egypt, Indonesia, Jordan, Morocco, Nigeria, Pakistan, the Philippines, Palestinian Authority, and Liberia while also supporting the policies of “catch and return” and increased interior enforcement operations. FOU moved nearly 200,000

aliens, domestic and foreign; by increasing the number of ICE chartered aircraft and simultaneously augmenting JPATS aircraft.

- In FY 2009, RCU coordinated and effected the commercial removal of 21,163 aliens. In addition, RMD moved 220,083 aliens through ICE managed aircraft during FY2009. By comparison, ICE movements for all of FY 2008 totaled 67,219.
- RCU continued to expand the use and success of the Pennsylvania Transportation Hub (PATH) program to transport a total of 16,529 aliens.
- CMU implemented case management efficiencies such as weekly and monthly reporting requirements, and expanded field office site visits to ensure field office compliance with regulations and procedures. CMU successfully developed and ensured successful implementation of the November 2007 policy titled Parole of Aliens Found to have a 'Credible Fear' of Persecution or Torture.

In FY 2010, DRO will:

- Increase removals 1% over the same time period in FY09 to meet the FY10 goal of 391,677 removals (including Voluntary Returns);
- Increase the overall number of FOU transported passengers by 1% over the same time period in FY09 to meet the FY10 goal of 230,116;
- Deploy the Electronic Travel Document (eTD) program to one additional country by the end of FY10;
- Employ four ICE charter aircraft operating six days per week to support foreign removals;
- Use the ICE chartered aircraft as a long-range platform capable of supporting special removal missions to South America, Eastern Europe, Africa, Middle East and Pacific Rim;
- Use JPATS contract aircraft to support shorter-range domestic movements with four airplanes—two each located in Alexandria, Louisiana and Phoenix, Arizona; and
- Place Immigration Enforcement Agents and Division of Immigration Health Services medical personnel on all DRO-managed aircraft, both foreign and domestic.

In FY 2011, DRO will:

- Continue to expand CMU activities; and
- Develop a strategic air plan for DRO flight operations based on a mission needs statement, operational requirements document, concept of operations plan, and an acquisition strategy that supports increased enforcement activity, decreased detention time, and increased removal operations to suit FY 2011 needs.
- DRO anticipates coordinating the movement of over 240,000 aliens through the use of eight large and one medium sized aircraft in FY 2011. Accordingly, DRO plans to log 13,000 flight hours or more.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Comprehensive Identification and Removal of Criminal Aliens
Program Performance Justification
(Dollars in Thousands)

PPA: Comprehensive Identification and Removal of Criminal Aliens

	Perm. Pos	FTE	Amount
2009 Actuals	545	276	273,839
2010 Enacted	552	512	200,000
2011 Adjustments-to-Base	-	40	(53,057)
2011 Current Services	552	552	146,943
2011 Total Request	552	552	146,943
Total Change 2010 to 2011	-	40	(53,057)

U.S. Immigration and Customs Enforcement requests \$146.9 million for this activity. This is a \$53.1 million decrease from the FY 2010 enacted level, which is for annualization of prior year funding, pay inflation, and management and technology efficiencies. In FY 2011, this PPA is estimated to pay \$11.0 million in servicewide costs (e.g., rent, working capital fund).

In order to consolidate ICE's overall cost of beds to allow a clearer depiction of actual costs being incurred, ICE is proposing for FY 2011 that bed costs currently in the base funding for Fugitive Operations, Criminal Alien Program (CAP), and Secure Communities/CIRCA be permanently reprogrammed under Custody Operations, which manages all bed-related activities for ICE. This zero-sum reprogramming between ICE programs results in a \$53.1 million decrease to Secure Communities.

CURRENT SERVICES PROGRAM DESCRIPTION:

In FY 2008, Congress appropriated \$200 million to “improve and modernize efforts to identify aliens convicted of a crime, sentenced to imprisonment, and who may be deportable, and remove them from the United States once they are judged deportable.” In FY 2009, Congress appropriated an additional \$150 million for SC/CIRCA to continue meeting the program’s goals. Congress further required ICE to utilize an additional \$850 million of existing programs’ resources “to identify aliens convicted of a crime, and who may be deportable, and to remove them from the United States once they are judged deportable.”

ICE continues to work to achieve the three SC/CIRCA strategic goals:

- Identify criminal aliens through modernized information sharing;
- Prioritize enforcement actions to ensure apprehension and removal of dangerous criminal aliens; and

- Transform criminal alien enforcement processes and systems to achieve lasting results.

In FY 2010, ICE will continue to integrate and harmonize all of its efforts to identify, prosecute and remove criminal aliens across its program offices. Secure Communities has promoted key enforcement initiatives that have led to record levels of criminal alien removals. Specifically, through Secure Communities oversight, DRO's Fugitive Operations program and CAP, and OI's LESC, ICE aims to reduce the population of criminal aliens in the United States. These efforts are successful, but in FY 2010 ICE will work to make them even more successful and efficient. One way may be to integrate the Secure Communities into the DRO program. This shift would ensure the programs' efforts are centralized and streamlined. With SC linked more directly to DRO operations, ICE will be able to apply a risk-based approach consistently across all funding sources. This will further the ICE goal of identifying and removing criminal aliens and strengthening the overall effort to do so.

Key Accomplishments

In FY 2009, ICE exceeded congressional requirements by obligating an estimated \$1.681 billion toward criminal alien enforcement, including \$275 million in SC/CIRCA appropriations. Expanded ICE criminal alien enforcement operations achieved the following results in FY 2009:

- Identified and issued charging documents on approximately 230,250 criminal aliens, representing nearly a four percent increase over FY 2008;
- Removed approximately 135,880 criminal aliens, representing nearly a 19 percent increase over FY 2008;
- Reduced criminal alien detention times by nine percent compared to FY 2008, to approximately 42 days;
- Collaborated with U.S. Attorneys to initiate prosecutions against approximately 6,200 violent, recidivist criminal aliens for felony violations of U.S. immigration law;
- Continued outreach to the national law enforcement community to communicate SC/CIRCA goals and objectives and strengthen information sharing partnerships for identifying and removing criminal aliens;
- Completed the hiring of an additional 59 personnel that serve on CAP teams to expand ICE screening for criminal aliens to additional local jails and prisons;
- Expanded ICE's operational capacity for completing threat assessments and alien status determinations on suspected criminal aliens by hiring 82 additional LESC personnel and by improving IT systems supporting criminal alien identifications;
- Piloted methods to identify and apprehend at-large criminal aliens, whether fugitives or not, based upon threat to the community by hiring 22 enforcement agents;

- Aggressively prosecuted over 5,180 violent, recidivist criminal aliens in coordination with U.S. Attorney offices, thus deterring removed criminal aliens from re-entering the country;
- Increased ICE's capacity to process greater numbers of criminal alien removal cases by hiring 173 removal case management personnel;
- Initiated development of systems to track the exact location of criminal aliens from the time they enter ICE custody until the time they are removed from the United States, improving officer safety and intelligence gathering efforts on detainees among other benefits;
- Funded 1,246 detention beds and costs of removing criminal aliens taken into ICE custody;
- Deployed biometric identification capability (integration of DOJ and DHS biometric databases) to 88 jurisdictions in nine States and covering approximately 31 percent of the estimated nationwide number of the foreign born non citizen population;
- Processed over 825,000 fingerprints submitted through interoperability; 100,328 of these have resulted in an IDENT match, of which 9,486 identified criminal aliens charged with or convicted of Level 1 offenses and 86,111 of which identified Level 2 and 3 offenses (see table that follows); and
- Removed 2,105 criminal aliens charged with or convicted of Level 1 offenses and identified through interoperability (see table that follows).

In FY 2010, ICE plans to use current ICE resources, prior year carry-forward balances of SC/CIRCA appropriations, and the President's budget request, to:

- Continue moving toward nationwide identification, apprehension and removal of all Level 1 (those convicted of violent felonies and major drug crimes) criminal aliens in accordance with the SC/CIRCA strategic plan, program goals and program objectives by extending criminal alien biometric identification capabilities to over 180 jurisdictions, covering approximately 84 percent of the estimated nationwide number of the alien population;
- Identify approximately 20,000 Level 1 IDENT matches;
- Process approximately 4,000 Level 1 removals due to IDENT matches (removal of Level 1 criminal aliens is expected to significantly lag identification due to extended incarceration sentences that many must serve prior to their removal);
- Continue submitting a greater number of violent criminal aliens who repeatedly enter the United States illegally to U.S. Attorneys for aggressive prosecution under felony immigration charges; and
- Work with other ICE programs to determine how existing activities and capacity can better support SC/CIRCA goals.

In FY 2011, ICE plans to use current ICE resources, prior year carry-forward balances of SC/CIRCA appropriations, and the President's FY 2011 request to incorporate SC/CIRCA's risk-based application of resources ICE-wide, including:

- Continue FY 2010 progress toward nationwide identification, apprehension and removal of all Level 1 (those convicted of violent felonies and major drug crimes) criminal aliens by operating criminal alien biometric identification capabilities in over 897 additional jurisdictions (1175 cumulative) covering approximately 96 percent of the estimated nationwide number of the foreign born non citizen population;
- Identify approximately 20,000 Level 1 IDENT matches;
- Detain and remove all criminal aliens who are subject to the mandatory detention provisions of the Immigration and Nationality Act (INA) by prioritizing use of finite enforcement resources over approximately 200,000 lower priority aliens encountered by CAP, 287(g), CBP, and USCIS; and
- Continue submitting violent criminal aliens who repeatedly enter the United States illegally to U.S. Attorneys for aggressive prosecution under felony immigration charges.

SC/CIRCA, in cooperation with Federal, State and local law enforcement agencies, will provide a safeguard to American communities by removing those criminal aliens from the United States that represent the greatest threats to community safety and by deterring their re-entry through aggressive prosecution of recidivists.

2009 Interoperability Statistics

Performance Measures	Q1 FY 2009	Q2 FY 2009	Q3 FY 2009	Q4 FY 2009	Total
Additional Jurisdictions Deployed	14	34	22	18	88
Interoperability Submissions	29,756	163,794	251,507	380,706	825,763
IDENT Matches	3,249	19,355	33,448	44,276	100,328
Arrested or Detainers Issued after Interoperability Hit*	1,294	5,219	7,562	10,897	24,972
Level 1 Matches±	187	1,752	3,292	4,255	9,486
Removals and Returns**	95	481	694	835	2,105
In Removal Proceedings	54	728	1,201	1,377	3,360
Level 2 / Level 3 Matches±	2,941	16,839	28,683	37,648	86,111
Removals and Returns**	1,092	3,662	4,701	5,710	15,165
In Removal Proceedings	182	1,349	2,166	3,443	7,140

As of September 30, 2009

± Aliens who are charged with or convicted of a Level 1 offense

* Number of detainers issued is based on the month that the individual was checked via Interoperability, not the month the detainer was issued

** Aliens who are charged with or convicted of a Level 1, Level 2, or Level 3 crime

*** Other Cases Closed includes cases that are resolved by ICE Granting Relief, Terminating Proceedings, Canceling a Charging Document, or Granting Permanent Residence

IV. Program Justification Changes

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Personnel Compensation and Benefits, Service, and Other Costs
Justification of Program Changes
(Dollars in Thousands)

Program Increase 1: Co-Location of ICE Facilities
PPA: Personnel Compensation and Benefits, Service, and Other Costs
Program Increase: Positions 0.0, FTE 0.0, Dollars \$19,938

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							28	28	51,073
Program Increase							-	-	19,938
Total Request	2	1	7,000	28	15	49,461	28	28	71,011

Description of Item

This request funds the third year of the ICE-wide co-location strategy to consolidate ICE personnel and operations scattered across multiple buildings in 55 metropolitan areas, resulting in improved operational efficiencies and long-term cost savings. The Secretary has made ICE co-location a top Departmental priority, noting that failure to consolidate ICE’s legacy INS and Customs facilities since the merger impedes its effectiveness and efficiency as well as efforts to build a cohesive unified agency.

The FY 2006 House Congressional Appropriations Committee Report 109-79 cited “ICE’s need to co-locate all of ICE’s legacy personnel...Physical co-location is needed to unify personnel and manage a cohesive workforce...within a significantly shorter period than five to seven years.” In 2008, ICE identified 237 locations in 55 U.S. metropolitan areas suitable for co-location. Of these cities, ICE identified 27 possible prospectus-level (two in Northern Virginia) projects and 29 non-prospectus-level projects. Eight of the non-prospectus-level projects are scheduled to begin in FY 2010.

Given the imminent expiration of *72 percent of ICE leases by 2014*, representing 475 leases in 3.9 million square feet of space, this initiative represents a unique opportunity, since renewing existing leases would come at a steep cost, while failing to address integration issues or the many shortcomings with existing office space. Co-location

continues to offer the best strategy for containing future growth in lease costs, with additional savings through consolidated administrative and security functions.

Approach

To develop the plan, ICE engaged a real estate consultant and worked closely with GSA.

As part of the development of the ICE co-location plan, an analysis of five acquisition alternatives was developed for each city and incorporated into ICE's co-location plan:

- GSA inventory: This preferred alternative would house ICE in existing GSA-owned buildings.
- Market inventory: The next most preferred alternative would locate ICE in existing space in each city.
- Federal construction: In the relatively small number of cities where the first two options are not feasible, new buildings would be developed for ICE but the buildings would be Federally owned and operated.
- Inventory consolidation: This alternative would have ICE consolidate in space it already leases.
- Special: In rare cases, special circumstances require a customized solution which is not easily captured in any of the above alternatives.

The analysis included a financial summary of the alternatives showing the cash flow for estimated tenant costs, construction costs, and full-service rent based on the size of the consolidation and the consolidation year. The consolidation year was selected by examining operational needs, expiring leases, current projects, and program needs to determine the most efficient year to co-locate in a city.

A preferred acquisition solution for each city was selected from among the alternatives based on cost estimates for each and local real estate conditions.

Non-Personnel Costs (\$19.938 million)

- ICE will implement six additional non-prospectus projects in FY 2011 with an anticipated completion timeline of one to three years.
- The funds will be used to acquire and occupy office space in secure facilities that meet ICE mission and law enforcement requirements.
- Funds will also be used for interior construction ("build-out" costs), voice and data cabling, furniture, fixtures, equipment, and outfitting expenses for special spaces such as holding cells and secured spaces.
- Given the long-term nature of the effort, and higher net cost that will result from any lease option ICE pursues, the plan is based on a consistent need for recurring funds each year.

Justification

The budget includes a \$19.938 million request to further ICE’s plan to co-location 351 leases in 55 U.S. metropolitan areas to support operational effectiveness.

- This funding would allow ICE to fund 6 additional non-prospectus-level projects in FY 2011. ICE would be able to consolidate 35 leases in the following locations:

1	Minneapolis	MN
2	Las Vegas	NV
3	St Louis	MI
4	Fresno	CA
5	Austin	TX
6	Guam	

- The request builds upon the FY 2010 funding that was provided to consolidate leases in the following cities: El Centro, CA; Portland, OR; Spokane, WA; Columbus, OH; Reno, NV; Jacksonville, FL; Salt Lake City, UT; and Raleigh, NC.

ICE Leases

ICE currently has 655 (6.4 million square feet) leases; however, 475 leases (72%) will expire in the next four years (by 2014) impacting 3.9 million square feet. The co-location plan will reduce 351 leases of these leases (248 locations) to 55.

For example:

- In Houston, TX, ICE is currently housed in eight different locations with the Office of Investigations in six of those eight locations.
- In Phoenix, AZ, ICE is currently housed in six different locations with the Office of Investigations and Detention and Removal in four of those six locations.
- In Burlington, VT, ICE is currently housed in seven different locations with the Office of Investigations in five of those seven locations.
- In New York, NY, ICE is currently housed in seven different locations with the Office of Investigations in four of those seven locations.
- In El Paso, TX, ICE is currently housed in seven different locations with the Office of Investigations in four of those seven locations.
- In San Francisco, CA, ICE is currently housed in nine different locations with the Office of Investigations in three of those nine locations.
- In San Antonio, TX, ICE is currently housed in five different locations with the Office of Investigations in three of those five locations.

This consistent inefficiency across ICE’s real property portfolio directly affects operations.

ICE Rent

ICE will realize a significant annual increase in its rent over the next four years. The average rental rate for the majority of leases set to expire is approximately \$25.40 per square foot. The median market rental rate is \$36.75 per square foot, resulting in a 31% increase per square foot when the existing leases are renewed. If ICE remains in its current existing space and renews its existing leases, ICE will incur an estimated \$60 million increase in lease costs over the next four years. These costs would be offset by the strategic implementation of co-location. Co-location builds efficiencies in space by using a shared space work environment. The ICE rent will continue to grow as the agency develops due to an increase in work force, however by properly designing efficient and sustainable buildings the cost of this rent would be reduced from the alternative of having to continue to duplicate costly special spaces by adding additional facilities within each city to accommodate growth.

ICE Growth and Current Initiatives

The ICE mission is to protect national security by enforcing our national customs and immigration laws and is the largest investigative agency in DHS. In an effort to keep up with the growing need for security on the nation's borders, ICE has significantly expanded its workforce by over the past four years. The growth in personnel associated with increased enforcement initiatives has strained existing ICE infrastructure, but will be mitigated by the right sizing inherent to co-location.

The cost to build out specialty space, such as holding cells and processing areas, costs on average \$300 per square foot. It is important that this type of space not be duplicated in metro areas. Co-location is based on shared space among all of the ICE programs for these types of spaces.

Co-location addresses operational inefficiencies, barriers to building one ICE culture, and other deficiencies in the many older buildings where Federal employees are presently located. It also supports efforts to raise the morale of ICE's employees. In addition to funding the build-out of ICE space, the plan would also update IT infrastructure.

Impact on Performance (Relationship of Increase to Strategic Goals)

This initiative supports the DHS Goal #5: Strengthen and unify DHS Operations and Management as it will allow ICE to consolidate personnel and manage a cohesive workforce. The program increase will help to advance ICE co-location efforts and to realize potential savings associated with FPS security, administrative support costs, rent through shared building support spaces and shared utility costs, costs for above-standard build-out, GSA overhead, and operational efficiencies.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Headquarters Managed IT Investment
Justification of Program Changes**

Program Increase 1: Data Center Migration
PPA: Headquarters Managed IT Investment
Program Increase: Positions 0.0, FTE 0.0, Dollars \$10,400

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	10,400
Total Request	-	-	-	-	-	-	-	-	10,400

Description of Item

FY 2011 data center development funding, managed through the DHS Working Capital Fund (WCF), will be used for the continuation of system and application migration to the two DHS enterprise data centers for central DHS management in FY 2011. This includes: (1) discovery, migration planning, and scheduling activities specifically related to systems/applications that will transition to the DHS data centers in FY 2010; (2) purchase of new equipment for placement in the DHS data centers as part of migration/transition efforts; (3) installation of equipment racks at the DHS data centers; (4) migration-related build-out of DHS data center infrastructure; (5) transition of disaster recovery/backup/COOP (continuity of operations) capability to DHS data centers; and (6) installation of infrastructure support as part of system migrations at the DHS data centers.

The ICE FY 2011 data center migration (DCM) funding request of \$10.4 million will provide for the following activities:

Non-Personnel Costs (\$10.4 million):

- Migrate 17 ICE sites (10 in the Washington, D.C. area, 7 outside) - \$4.4 million
- Migrate ICE mainframe assets - \$3.3 million
- Test equipment and conduct disaster recovery exercises - \$1.2 million
- Conduct project planning, execution, and oversight - \$1.5 million

Justification

The data center consolidation efforts will standardize IT resource acquisitions across DHS components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

Impact on Performance (Relationship of Increase to Strategic Goals)

Data Center Migration (DCM) supports Maturing and Unifying DHS. The DCM project focuses on transition of data center operations from multiple facilities to the new DHS consolidated data centers. The migration of disparate and complex ICE data center infrastructure is necessary to ensure compliance with the DHS enterprise infrastructure program consolidation effort; provide survivability of the data center, a common operating environment, and integrated logistics support processes.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Domestic Investigations
Justification of Program Changes**

Program Increase 1: Border Enforcement Security Task Forces (BESTs)
PPA: Domestic Investigations
Program Increase: Positions 45.0, FTE 23.0, Dollars \$10,000

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							45	23	10,000
Total Request	-	-	-	-	-	-	45	23	10,000

Description of Item and Justification

With the requested funding, ICE OI will establish BESTs in three additional locations (Massena, NY; San Francisco, CA; and Honolulu, HI) to prevent smuggling and illegal entry of persons, with a priority on terrorist groups, gang members, and criminal aliens. Vulnerabilities along the Northern Border such as Massena, NY, include many remote regions with limited situational awareness and law enforcement presence, limited low-altitude radar coverage in many areas, high-volumes of legitimate cross-border traffic, and the adaptability of transnational criminal networks to law enforcement operations. The seaport BESTs in San Francisco and Honolulu will focus on vulnerabilities such as, vessels and their cargo which can potentially contain weapons of mass destruction, potential access to sensitive areas by stowaways, potential threats from foreign crewmembers and undocumented aliens; and the potential exploitation of vulnerabilities in seaport security.

Investigative efforts of the BESTs target human smuggling, narcotics and contraband smuggling, weapons smuggling and counter-proliferation, money laundering, bulk cash smuggling, criminal gangs, critical infrastructure protection, identity theft and benefit fraud, commercial fraud and intellectual property rights enforcement, and any other vulnerabilities that pose an immediate or imminent threat to public safety or national security. BEST is a critical cornerstone of the Secure Border Initiative program. It integrates Federal, foreign, State and local law enforcement efforts and partners in the field that are focused on the identification, disruption and dismantling of cross-border criminal organizations. It also fulfills the President's commitment to Security Prosperity Partnership Goal Six.

\$7.602 million of this increase will fund 45 positions (23 FTEs):

- 27 GS-1811-7/13 Special Agents
- 06 GS-1811-14 Supervisory Special Agents/ASAC/DSAC
- 03 GS-1801-13/14 Criminal Research Specialists
- 03 GS-1802-5/7 Investigative Assistants
- 03 GS-0301-13 Mission Support Specialists
- 03 GS-0343-14 Management and Program Analysts

The remaining \$2.398 million in general expenses will fund facility requirements for new BESTs, travel, training, and associated costs.

Impact on Performance (Relationship of Increase to Strategic Goals):

BEST activities support the following goals:

Goal 2.1 Effectively Control U.S. Air, Land, and Sea Borders; and Goal 2.3 Disrupt Criminal Organizations

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Domestic Investigations
Justification of Program Changes**

Program Increase 1: Intellectual Property Rights Enforcement
PPA: Domestic Investigations
Program Increase: Positions 25.0, FTE 13.0, Dollars \$5,000

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							25	13	5,000
Total Request	-	-	-	-	-	-	25	13	5,000

Description of Item

This request will fund a total of 25 positions for the IPR Center, The IPR Center is a collaborative effort by U.S. Government agencies to stop intellectual property right violations that threaten our economic stability, restrict the competitiveness of U.S. industry, and endanger public health and safety. The IPR Center brings together key U.S. agencies engaged in combating intellectual property crime.

\$4.268 million of this increase will fund 25 positions:

- 03 GS-1811-14/15 Supervisory Special Agents/Unit Chiefs
- 16 GS-1811-7/13 Special Agents
- 02 GS-1801-13/14 Criminal Research Specialists
- 02 GS-1802-5/7 Investigative Assistants
- 01 GS-0301-13 Mission Support Specialists
- 01 GS-0343-14 Management and Program Analysts

The remaining \$0.732 million in non-personnel resources will fund facilities, travel, and training.

Justification

The IPR Center integrates domestic and international law enforcement intelligence with private industry information relating to IPR crime and works closely with foreign law

enforcement in the exchange of tactical intelligence and joint operations. Intelligence is disseminated for appropriate investigative and tactical use.

The IPR Center utilizes a three-pronged approach of interdiction, investigation and outreach/training to combat IP crime. To accomplish this, the Center is organized around three units: Operations, Programs, and Outreach & Training. In addition, a Government of Mexico Attaché embedded at the IPR Center coordinates targeting, interdiction, and enforcement efforts to identify and dismantle cross-border organizations that manufacture and distribute counterfeit items harmful to both U.S and Mexico markets. Particular emphasis will be placed on major criminal organizations and those using the Internet to facilitate IPR crime.

During FY 2009, ICE generated more than 1,944 investigations involving counterfeit, unapproved or harmful merchandise. ICE and CBP conducted more than 14,841 seizures of counterfeit merchandise, with a domestic value of more than \$260.7 million.

Further, the IPR Center coordinates with the World Customs Organization and the U.S. Departments of Commerce, Justice and State, to conduct training and provide support for anti-counterfeiting efforts with foreign customs administrations and law enforcement agencies.

Impact on Performance (Relationship of Increase to Strategic Goals)

The IPR Center supports the following goals:

- Goal 2.1 Effectively Control U.S. Air, Land, and Sea Borders;
- Goal 2.2 Safeguard Lawful Trade and Travel; and
- Goal 2.3 Disrupt Criminal Organizations.

In addition, the increases for FY 2011 will allow ICE to address critical infrastructure vulnerabilities through a holistic investigative approach leveraging Title 8 and export enforcement authorities as well as analytical capabilities unique to ICE.

Funding this initiative will increase effectiveness in addressing vulnerabilities that could be exploited by criminals and other persons of suspect violating our national intellectual property rights laws and bringing in goods and materials that would adversely harm the American public and economic infrastructure.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Domestic Investigations
Justification of Program Changes**

Program Increase 1: Office of Investigations Mission Support
PPA: Domestic Investigations
Program Increase: Positions 167.0, FTE 84.0, Dollars \$15,000

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							167	84	15,000
Total Request	-	-	-	-	-	-	167	84	15,000

Description of Item and Justification

The Office of Investigations analyzed the impact of having only a limited number of investigative mission support positions to support the Special Agent workforce in field offices across the country. It was determined that the current deficit of investigative mission support positions causes Special Agents to perform 2 to 4 hours a day of non-investigative work. Adding the additional mission support staff included in this request will provide the equivalent of at least 102 Special Agents a year.

OI applied a workforce model to all budgetary requests to ensure that agents have the necessary mission support personnel to support agents in the field. In order to address the existing shortfall in mission support personnel, for the 2011 submission, OI requested funds for 167 positions or 84 FTEs to augment staffing request within OI. The 167 positions will be distributed among all 26 SAC offices nationwide (not including headquarters or Southwest Border positions).

\$12.452 million of this increase will fund 167 positions (84 FTEs):

- 46 GS-1801-7/13 Criminal Research Specialists
- 30 GS-1802-5/7 Investigative Assistants
- 07 GS-301-13 Mission Support Specialists
- 08 GS-301-9/12 Mission Support Specialists
- 03 GS-301-9/11 Mission Support Specialists
- 18 GS-303-5/7 Mission Support Assistants
- 06 GS-301-11 Enforcement Operation Specialists
- 22 GS-326-4 Office Automation Clerks

- 03 GS-301-7/9 Staff Assistants
- 17 GS-301-5/7 Secretaries
- 03 GS-1801-13 Technical Enforcement Officers
- 04 GS-101-13 Victim Witness Specialists

The remaining \$2.548 million in non-personnel resources will fund facility requirements for the new personnel.

Impact on Performance (Relationship of Increase to Strategic Goals):

OI mission support promotes DHS Strategic Management mission and the following goals:

- Goal 2.1 Effectively Control U.S. Air, Land, and Sea Borders,
- Goal 2.3 Disrupt Criminal Organizations; and
- Goal 3.2 Prevent Unlawful Immigration.

In addition, adding more mission support to the field will make available agents to do more investigative work as many agents are doing administrative collateral duties that should be done by a professional mission support staff.

In the event that this initiative is not funded there will be potential adverse consequences as agents will be doing more administrative functions, thus taking time away from investigating transnational border crime.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Custody Operations
Justification of Program Changes**

Program Increase 1: Detention and Removal Operations
PPA: DRO - Custody Operations
Program Increase: Positions 0.0, FTE 0.0, Dollars \$20,000

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	20,000
Total Request	-	-	-	-	-	-	-	-	20,000

Justification

The FY 2011 increase will allow ICE to maintain the detention space it needs in support of its enforcement programs. No additional detention beds are being requested. ICE must detain aliens in facilities that strike the right balance between the civil nature of their detention and the risk of flight and the danger that they present. Part of that mandate includes the medical processing and oversight of adherence to detention standards.

In FY 2011, costs will increase that necessitate this funding increase. For example, ICE will

- Ensure an independent review of medical complaints and denials of requests for medical services and develop a medical care risk assessment system to place detainees with medical and mental health issues in appropriate facilities; and
- Substantially increase direct federal oversight of facilities that detain aliens in ICE custody.

Also, historically, medical care costs have risen at rates higher than inflation.

But, simultaneously, to manage overall costs, ICE is working to become more efficient to reduce detention costs and minimize the average length of stay. For example, ICE is reducing the average daily cost of a detention bed by:

- utilizing facilities with lower daily per diem rates by moving detainees out of facilities with high detention costs;
- possibly suspending detention operations at certain facilities that no longer fit within the DRO cost reduction strategy and simultaneously studying whether future use of each facility is necessary; and

- re-evaluating the minimum number of detainees required on certain detention facility contracts to cut operational costs.

Impact on Performance (Relationship of Increase to Strategic Goals):

DRO Custody Operations supports the following goals:

Goal 3.1 Strengthen and Effectively Administer the Immigration System; and
Goal 3.2 Prevent Unlawful Immigration

In addition, funding this enhancement will

- Ensure sufficient and appropriate bed space is available based on detention category, characteristics, and conditions of release.

Enhance partnership with other Federal detention agencies for better use of their resources to include facilities and training.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

For necessary expenses for enforcement of immigration and customs laws, detention and removals, and investigations; and purchase and lease of up to 3,790 (2,350 for replacement only) police-type vehicles; [\$5,342,134,000]\$5,439,100,000, of which not to exceed \$7,500,000 shall be available until expended for conducting special operations under section 3131 of the Customs Enforcement Act of 1986 (19 U.S.C. 2081); of which not to exceed \$15,000 shall be for official reception and representation expenses; of which not to exceed \$1,000,000 shall be for awards of compensation to informants, to be accounted for solely under the certificate of the Secretary of Homeland Security; of which not less than \$305,000 shall be for promotion of public awareness of the child pornography tipline and anti-child exploitation activities; of which not less than \$5,400,000 shall be used to facilitate agreements consistent with section 287(g) of the Immigration and Nationality Act (8 U.S.C. 1357(g)); and of which not to exceed \$11,216,000 shall be available to fund or reimburse other Federal agencies for the costs associated with the care, maintenance, and repatriation of smuggled aliens unlawfully present in the United States: Provided, That none of the funds made available under this heading shall be available to compensate any employee for overtime in an annual amount in excess of \$35,000, except that the Secretary, or the designee of the Secretary, may waive that amount as necessary for national security purposes and in cases of immigration emergencies: Provided further, That of the total amount provided, \$15,770,000 shall be for activities in fiscal year [2010]2011 to enforce laws against forced child labor, of which not to exceed \$6,000,000 shall remain available until expended: [Provided further, That of the total amount available, not less than \$1,500,000,000 shall be available to identify aliens convicted of a crime who may be deportable, and to remove them from the United States once they are judged deportable, of which \$200,000,000 shall remain available until September 30, 2011: Provided further, That the Secretary, or the designee of the Secretary, shall report to the Committees on Appropriations of the Senate and the House of Representatives, not later than 45 days after the end of each quarter of the fiscal year, on progress in implementing the preceding proviso and the funds obligated during that quarter to make that progress:]Provided further, That the Secretary shall prioritize the identification and removal of aliens convicted of a crime by the severity of that crime: [Provided further, That funding made available under this heading shall maintain a level of not less than 33,400 detention beds through September 30, 2010:]Provided further, That of the total amount provided, not less than [\$2,545,180,000]\$2,618,237,000 is for detention and removal operations, including transportation of unaccompanied minor aliens: Provided further, That of the total amount provided, \$7,300,000 shall remain available until September 30, [2011]2012, for the Visa Security Program: Provided further, That none of the funds provided under this heading may be used to continue a delegation of law enforcement authority authorized under section 287(g) of the Immigration and Nationality Act (8 U.S.C. 1357(g)) if the Department of Homeland Security Inspector General determines that the terms of the agreement governing the delegation of authority have been violated:

[Provided further, That none of the funds provided under this heading may be used to continue any contract for the provision of detention services if the two most recent overall performance evaluations received by the contracted facility are less than “adequate” or the equivalent median score in any subsequent performance evaluation system:]Provided further, That nothing under this heading shall prevent U.S. Immigration and Customs Enforcement from exercising those authorities provided under immigration laws (as defined in section 101(a)(17) of the Immigration and Nationality Act (8 U.S.C. 1101(a)(17))) during priority operations pertaining to aliens convicted of a crime[: Provided further, That none of the funds provided under this heading may be obligated to collocate field offices of U.S. Immigration and Customs Enforcement until the Secretary of Homeland Security submits to the Committees on Appropriations of the Senate and the House of Representatives a plan for the nationwide implementation of the Alternatives to Detention Program that identifies: (1) the funds required for nationwide program implementation; (2) the timeframe for achieving nationwide program implementation; and (3) an estimate of the number of individuals who could be enrolled in a nationwide program].(Department of Homeland Security Appropriations Act, 2010.)

B. FY 2010 to 2011 Budget Change

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
 FY 2010 to FY 2011 Budget Change
 (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2009 Actuals	18,688	17,287	5,069,467
FY 2010 Enacted	20,266	19,557	5,342,134
Adjustments-to-Base			
Increases			
2011 Pay Raise	-	-	24,799
Annualization of 2010 Pay Raise	-	-	10,825
Annualization of Prior Year Funding	-	440	43,643
Total Increases	-	440	79,267
Decreases			
Management and Technology Efficiencies	47	47	(34,378)
Termination of One-Time Costs	-	-	(28,261)
Total Decreases	47	47	(62,639)
Total, Adjustments-to-Base	47	487	16,628
FY 2011 Current Services	20,313	20,044	5,358,762
Program Changes			
Increases/(Decreases)			
Detention and Removal Operations	-	-	20,000
Co-Location of ICE Facilities	-	-	19,938
Office of Investigations Mission Support	167	84	15,000
Data Center Migration	-	-	10,400
Border Enforcement Security Task Forces (BESTs)	45	23	10,000
Intellectual Property Rights Enforcement	25	13	5,000
Total, Program Changes	237	120	80,338
FY 2011 Request	20,550	20,164	5,439,100
FY 2010 to FY 2011 Total Change	284	607	96,966

C. Summary of Requirements

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
 Summary of Requirements
 (Dollars in Thousands)

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	18,688	17,287	5,069,467
FY 2010 Enacted	20,266	19,557	5,342,134
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	126	566	355,319
Decreases	(79)	(79)	(338,691)
Total, Adjustments-to-Base	47	487	16,628
FY 2011 Current Services	20,313	20,044	5,358,762
Program Changes	-	-	-
Total, Program Changes	237	120	80,338
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	20,550	20,164	5,439,100
Total Change 2010 to 2011	284	607	96,966

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Personnel Compensation and Benefits, Service, and Other Costs	1,534	1,407	279,073	1,534	1,476	300,371	-	69	21,298	-	-	19,938	-	69	1,360
Headquarters Managed IT Investment	204	193	233,264	251	244	209,363	47	51	(23,901)	-	-	10,400	47	51	(34,301)
Legal Proceedings	1,213	1,200	221,666	1,213	1,213	221,666	-	13	-	-	-	-	-	13	-
Domestic Investigations	9,028	8,606	1,649,551	9,265	8,980	1,727,038	237	374	77,487	237	120	30,000	-	254	47,487
International Investigations	218	193	112,872	218	199	113,689	-	6	817	-	-	-	-	6	817
Visa Security Program	71	67	30,686	71	67	30,686	-	-	-	-	-	-	-	-	-
Intelligence	453	388	69,842	453	442	71,107	-	54	1,265	-	-	-	-	54	1,265
DRO - Custody Operations	5,210	5,210	1,771,168	5,131	5,131	1,903,764	(79)	(79)	132,596	-	-	20,000	(79)	(79)	112,596
DRO - Fugitive Operations	677	677	229,682	677	677	168,449	-	-	(61,233)	-	-	-	-	-	(61,233)
DRO - Criminal Alien Program	935	932	192,539	945	942	179,317	10	10	(13,222)	-	-	-	10	10	(13,222)
DRO - Alternatives to Detention	171	172	69,913	181	182	72,075	10	10	2,162	-	-	-	10	10	2,162
DRO - Transportation and Removal Program	-	-	281,878	59	59	294,632	59	59	12,754	-	-	-	59	59	12,754
Comprehensive Identification and Removal of Criminal Aliens	552	512	200,000	552	552	146,943	-	40	(53,057)	-	-	-	-	40	(53,057)
Subtotal, Estimates Program Project Activity	20,266	19,557	5,342,134	20,550	20,164	5,439,100	284	607	96,966	237	120	80,338	47	487	16,628
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	20,266	19,557	5,342,134	20,550	20,164	5,439,100	284	607	96,966	237	120	80,338	47	487	16,628

D. Summary of Reimbursable Resources

Department of Homeland Security U.S. Immigration and Customs Enforcement Salaries and Expenses Summary of Reimbursable Resources (Dollars in Thousands)

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
DHS Office of Intelligence and Analysis	-	-	3,630	-	-	3,448	-	-	3,448	-	-	-
DHS Working Capital Fund	-	-	25,091	-	-	23,831	-	-	23,831	-	-	-
Department of Energy	-	-	20	-	-	18	-	-	18	-	-	-
Department of Justice	-	-	1,101	-	-	1,046	-	-	-	-	-	(1,046)
Department of State	-	-	9,641	-	-	9,157	-	-	-	-	-	(9,157)
Executive Office of the President	-	-	53	-	-	51	-	-	51	-	-	-
Federal Air Marshal Service	-	-	20	-	-	18	-	-	18	-	-	-
National Protection and Program Directorate (NPPD)	-	-	156	-	-	-	-	-	-	-	-	-
Office of the Director of National Intelligence	-	-	1,366	-	-	1,297	-	-	1,297	-	-	-
U.S. Citizenship and Immigration Services	-	-	4,966	-	-	4,717	-	-	4,717	-	-	-
U.S. Customs and Border Protection	-	-	58,914	-	-	55,956	-	-	55,956	-	-	-
US-Visit	-	-	1,727	-	-	1,640	-	-	1,640	-	-	-
Federal Emergency Management Agency	-	-	194	-	-	185	-	-	185	-	-	-
Federal Law Enforcement Training Center	-	-	60	-	-	58	-	-	-	-	-	(58)
Federal Law Enforcement Training Center	-	-	-	-	-	-	-	-	58	-	-	58
National Protection and Programs Directorate	-	-	-	-	-	148	-	-	148	-	-	-
Department of Justice	-	-	-	-	-	-	-	-	1,046	-	-	1,046
Department of State	-	-	-	-	-	-	-	-	9,157	-	-	9,157
Department of Treasury	-	-	48,665	-	-	46,221	-	-	46,221	-	-	-
VARIOUS	-	-	(11,498)	-	-	-	-	-	-	-	-	-
Total Budgetary Resources	-	-	144,106	-	-	147,791	-	-	147,791	-	-	-

Obligations by Program/Project Activity	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
DRO - Custody Operations	-	-	3,282	-	-	3,325	-	-	3,325	-	-	-
DRO - Transportation and Removal Program	-	-	1,145	-	-	1,145	-	-	1,145	-	-	-
Detention and Removal Operations	-	-	2,673	-	-	-	-	-	-	-	-	-
Domestic Investigations	-	-	-	-	-	80,050	-	-	-	-	-	(80,050)
Domestic Investigations	-	-	79,043	-	-	-	-	-	80,050	-	-	80,050
Headquarters Managed IT Investment	-	-	13,059	-	-	13,100	-	-	13,100	-	-	-
Intelligence	-	-	1,968	-	-	2,000	-	-	2,000	-	-	-
International Investigations	-	-	10,000	-	-	12,000	-	-	12,000	-	-	-
Investigations	-	-	96,010	-	-	-	-	-	-	-	-	-
Legal Proceedings	-	-	170	-	-	171	-	-	171	-	-	-
Management and Administration	-	-	18,058	-	-	-	-	-	-	-	-	-
Personnel Compensation and Benefits, Service, and Other Costs	-	-	35,439	-	-	36,000	-	-	36,000	-	-	-
Total Obligations	-	-	260,847	-	-	147,791	-	-	147,791	-	-	-

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,310,665	1,413,278	1,454,743	41,465
11.3 Other than full-time permanent	22,034	23,761	25,429	1,668
11.5 Other personnel compensation	300,288	318,184	324,640	6,456
11.8 Special Service Pay	370	370	586	216
12.1 Benefits	628,414	672,450	684,405	11,955
21.0 Travel	238,714	254,093	258,842	4,749
22.0 Transportation of things	18,261	19,136	19,229	93
23.1 GSA rent	228,892	244,255	254,956	10,701
23.2 Other rent	1,933	2,364	2,365	1
23.3 Communications, utilities, and misc. charges	77,530	81,466	82,661	1,195
24.0 Printing	56	59	61	2
25.0 Other services	-	-	66,718	66,718
25.1 Advisory and assistance services	303,073	320,128	486,437	166,309
25.2 Other services	635,616	682,745	423,900	(258,845)
25.3 Purchases from Gov't acct.	25,979	29,047	968,963	939,916
25.4 O&M of facilities	951,135	943,624	32,065	(911,559)
25.5 R&D of contracts	-	-	89,619	89,619
25.6 Medical care	82,059	81,796	17,795	(64,001)
25.7 Operation and maintenance of equipment	53,985	59,192	45,196	(13,996)
25.8 Other services	311	310	48,436	48,126
26.0 Supplies and materials	84,873	90,171	67,008	(23,163)
31.0 Equipment	96,740	96,551	75,751	(20,800)
32.0 Land & structures	328	345	1,131	786
33.0 Loans	-	9	-	(9)
41.0 Grants/Subsidies/Contributions	358	333	408	75
42.0 Insurance Claims and Indemnity	1,843	1,950	987	(963)
43.0 Interest and Dividends	37	32	1	(31)
43.0 Immigration Fees	-	6	4	(2)
91.0 Unvouchered	5,973	894	6,764	5,870
93.1 Limitation on expenses	-	5,585	-	(5,585)
Total, Object Class	5,069,467	5,342,134	5,439,100	96,966
Unobligated Balance, start of year	(211,511)	(151,425)	(151,425)	-
Unobligated Balance, end of year	151,425	151,425	151,425	-
Recoveries of Prior Year Obligations	(13,467)	-	-	-
Total, Adjustments	(73,553)	-	-	-
Total, Direct Obligations	4,995,914	5,342,134	5,439,100	96,966

F. Permanent Positions by Grade

Department of Homeland Security U.S. Immigration and Customs Enforcement Salaries and Expenses Permanent Positions by Grade

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	52	46	46	-
Total, EX	1	1	1	-
GS-15	767	681	681	-
GS-14	2,464	2,502	2,502	-
GS-13	5,422	4,978	4,978	-
GS-12	2,039	1,868	1,868	-
GS-11	1,220	1,284	1,284	-
GS-10	22	29	29	-
GS-9	3,017	2,701	2,701	-
GS-8	182	207	207	-
GS-7	2,513	2,313	2,313	-
GS-6	219	204	204	-
GS-5	741	1,571	1,571	-
GS-4	116	90	90	-
GS-3	24	5	5	-
GS-2	18	10	10	-
Other Graded Positions	62	142	142	-
Total Permanent Positions	18,879	18,632	18,632	-
Unfilled Positions EOY	191	-	-	-
Total Permanent Employment EOY	18,688	-	-	-
Full Time Equivalents	17,287	19,557	20,164	607
Headquarters	1,869	-	-	-
U.S. Field	16,632	-	-	-
Foreign Field	187	-	-	-
Total, Location	18,688	-	-	-
Average ES Salary	162,806	-	-	-
Average GS Salary	81,116	-	-	-
Average Grade	11	-	-	-

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications (object class summary)

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Personnel Compensation and Benefits, Service, and Other Costs
Funding Schedule
(Dollars in Thousands)

PPA: Personnel Compensation and Benefits, Service, and Other Costs	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	82,698	110,207	114,717	4,510
11.3 Other than full-time permanent	993	1,323	1,424	101
11.5 Other personnel compensation	9,072	12,090	12,762	672
12.1 Benefits	29,259	38,992	40,668	1,676
21.0 Travel	4,974	6,628	7,634	1,006
22.0 Transportation of things	234	312	335	23
23.1 GSA rent	8,248	10,992	12,131	1,139
23.2 Other rent	3	4	5	1
23.3 Communications, utilities, and misc. charges	3,875	5,163	6,057	894
24.0 Printing	4	5	5	-
25.1 Advisory and assistance services	13,185	17,571	19,912	2,341
25.2 Other services	40,104	53,446	59,075	5,629
25.3 Purchases from Gov't accts.	7,298	9,726	11,968	2,242
25.4 O&M of facilities	49	65	70	5
25.7 Operation and maintenance of equipment	2,867	3,821	4,213	392
26.0 Supplies and materials	2,530	3,371	3,629	258
31.0 Equipment	3,829	5,103	5,493	390
91.0 Unvouchered	191	254	273	19
Total, Object Class	209,413	279,073	300,371	21,298
Total, Personnel Compensation and Benefits, Service, and Other Costs	209,413	279,073	300,371	21,298
Full Time Equivalents	887	1,407	1,476	69

PPA Mission Statement

ICE Management and Administration (M&A) resources provide for top-level agency-wide management in the following areas: the Offices of the Assistant Secretary (OAS), Professional Responsibility (OPR), State and Local Coordination (OSLC), the Chief Diversity Officer, the Chief Financial Officer (OCFO), Acquisition Management, Human Capital, and Freedom of Information Act. The M&A activities include executive and overall leadership direction, strategic planning, policy development, and administrative support for the human, financial, information, and physical resources required to facilitate the operational capabilities of a productive ICE workforce.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	82,698	110,207	114,717	4,510

Permanent Positions includes salaries and benefits for 69 new FTEs in FY 2011, totaling an increase of

\$4,510 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	993	1,323	1,424	101

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	9,072	12,090	12,762	672

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	29,259	38,992	40,668	1,676

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	4,974	6,628	7,634	1,006

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$1,006 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	234	312	335	23

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes an increase of \$23 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	8,248	10,992	12,131	1,139

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes an increase of \$1,139 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	3	4	5	1

Other Rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request includes an increase of \$1 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	3,875	5,163	6,057	894

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes an increase of \$894 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	4	5	5	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes no change for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	13,185	17,571	19,912	2,341

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes an increase of \$2,341 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	40,104	53,446	59,075	5,629

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes an increase of \$5,629 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	7,298	9,726	11,968	2,242

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 requests an increase of \$2,242 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	49	65	70	5

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$5 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	2,867	3,821	4,213	392

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of

equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$392.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	2,530	3,371	3,629	258

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an increase of \$258 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	3,829	5,103	5,493	390

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes an increase of \$390.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
91.0 Unvouchered	191	254	273	19

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement to informants, which are not subject to detailed vouchering or reporting. The FY 2011 request includes an increase of \$19 thousand.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement**

Salaries and Expenses
Headquarters Managed IT Investment
Funding Schedule
(Dollars in Thousands)

PPA: Headquarters Managed IT Investment	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	30,992	38,524	42,432	3,908
11.3 Other than full-time permanent	143	177	259	82
11.5 Other personnel compensation	519	645	755	110
12.1 Benefits	7,978	9,917	10,971	1,054
21.0 Travel	2,049	2,547	2,542	(5)
22.0 Transportation of things	81	101	101	-
23.1 GSA rent	3,441	4,278	4,269	(9)
23.2 Other rent	1,733	2,154	2,150	(4)
23.3 Communications, utilities, and misc. charges	4,813	5,982	5,627	(355)
25.1 Advisory and assistance services	86,018	106,924	102,294	(4,630)
25.2 Other services	12,058	38,468	14,959	(23,509)
25.3 Purchases from Gov't accts.	282	350	350	-
25.4 O&M of facilities	97	121	120	(1)
25.7 Operation and maintenance of equipment	8,615	10,708	10,190	(518)
26.0 Supplies and materials	6,156	7,652	7,637	(15)
31.0 Equipment	3,729	4,635	4,626	(9)
32.0 Land & structures	65	81	81	-
Total, Object Class	168,769	233,264	209,363	(23,901)
Total, Headquarters Managed IT Investment	168,769	233,264	209,363	(23,901)
Full Time Equivalents	289	193	244	51

PPA Mission Statement

The ICE Office of the Chief Information Officer (OCIO) provides information technology services and products that enable ICE and DHS to meet their mission. The OCIO is committed to providing excellent and efficient service to our customers in order to fulfill their IT needs. In order to meet these goals, the OCIO has developed a number of critical IT initiatives that will help ICE to modernize its IT systems, adapt and conform to modern IT management disciplines, as well as provide IT solutions throughout ICE.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	30,992	38,524	42,432	3,908

Permanent Positions includes salaries and benefits for 51 new FTEs in FY 2011, totaling an increase of \$3,908 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
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11.3 Other than full-time permanent	143	177	259	82
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Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	519	645	755	110

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	7,978	9,917	10,971	1,054

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	2,049	2,547	2,542	(5)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes a decrease of \$5 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	81	101	101	-

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	3,441	4,278	4,269	(9)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes a decrease of \$9 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	1,733	2,154	2,150	(4)

Other Rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request includes a decrease of \$4 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	4,813	5,982	5,627	(355)

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes a decrease of \$355 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	-	-	-	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes no change for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	86,018	106,924	102,294	(4,630)

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes a decrease of \$4,630 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	12,058	38,468	14,959	(23,509)

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes a decrease of \$23,509 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	282	350	350	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	97	121	120	(1)

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$1 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	8,615	10,708	10,190	(518)

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$518 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	6,156	7,652	7,637	(15)

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	6,156	7,652	7,637	(15)

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes a decrease of \$15 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	3,729	4,635	4,626	(9)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes a decrease of \$9 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	65	81	81	-

Land and Structures includes the costs for land and interests in land; buildings and other structures; roads; additions to buildings; nonstructural (or resource) improvements, such as fences and landscaping; and fixed equipment additions and replacements. The FY 2011 request includes no increase.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Legal Proceedings
Funding Schedule
(Dollars in Thousands)

PPA: Legal Proceedings	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	110,215	115,828	116,860	1,032
11.3 Other than full-time permanent	4,751	4,993	5,084	91
11.5 Other personnel compensation	2,108	2,215	2,276	61
12.1 Benefits	31,780	33,399	33,670	271
21.0 Travel	5,159	5,422	5,216	(206)
22.0 Transportation of things	648	681	681	-
23.1 GSA rent	10,265	10,788	10,788	-
23.3 Communications, utilities, and misc. charges	3,361	3,532	3,390	(142)
24.0 Printing	7	7	7	-
25.1 Advisory and assistance services	18,721	19,676	19,179	(497)
25.2 Other services	15,416	16,201	15,888	(313)
25.3 Purchases from Gov't accts.	999	1,049	1,049	-
25.7 Operation and maintenance of equipment	2,830	2,974	2,813	(161)
26.0 Supplies and materials	1,537	1,615	1,615	-
31.0 Equipment	2,819	2,962	2,826	(136)
42.0 Insurance Claims and Indemnity	303	318	318	-
43.0 Interest and Dividends	-	1	1	-
91.0 Unvouchered	5	5	5	-
Total, Object Class	210,924	221,666	221,666	-
Total, Legal Proceedings	210,924	221,666	221,666	-
Full Time Equivalents	1,183	1,200	1,213	13

PPA Mission Statement

ICE Legal Proceedings (also referred to as the Office of the Principal Legal Advisor or “OPLA”) provides the legal advice, training, and services required to support the ICE mission while defending the immigration laws of the U. S. in the administrative and federal courts and is the legal representative for ICE. OPLA is the DHS legal component within ICE that is authorized to represent the Government in immigration proceedings that end up in immigration courts.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	110,215	115,828	116,860	1,032

Permanent Positions includes salaries and benefits for 13 new FTEs in FY 2011, totaling an increase of \$1,032 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	4,751	4,993	5,084	91

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	2,108	2,215	2,276	61

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	31,780	33,399	33,670	271

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	5,159	5,422	5,216	(206)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes a decrease of \$206 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	648	681	681	-

Transportation of Things includes all costs of the care of such things while in process of being transported,

and other services incident to the transportation of things. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	10,265	10,788	10,788	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	3,361	3,532	3,390	(142)

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes a decrease of \$142 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	7	7	7	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes no change for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	18,721	19,676	19,179	(497)

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes a decrease of \$497 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
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25.2 Other services	15,416	16,201	15,888	(313)
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Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes a decrease of \$313 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	999	1,049	1,049	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 requests involves no increase

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	2,830	2,974	2,813	(161)

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$161 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,537	1,615	1,615	-

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	2,819	2,962	2,826	(136)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes a decrease of \$136 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	303	318	318	-

Indemnity includes insurance claims and benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
43.0 Interest and Dividends	-	1	1	-

Interest and Dividends includes payments to creditors for the use of monies loaned, deposited, over-paid, or otherwise made available; distribution of earnings to owners of trust or other funds; and interest payments under lease-purchase contracts for construction of buildings.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
91.0 Unvouchered	5	5	5	-

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement to informants, which are not subject to detailed vouchering or reporting. The FY 2011 request includes no increase.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Domestic Investigations
Funding Schedule
(Dollars in Thousands)

PPA: Domestic Investigations	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	585,778	632,764	656,488	23,724
11.3 Other than full-time permanent	12,892	13,927	14,581	654
11.5 Other personnel compensation	139,031	150,182	155,537	5,355
12.1 Benefits	292,124	315,556	323,379	7,823
21.0 Travel	29,670	32,050	35,555	3,505
22.0 Transportation of things	5,726	6,186	6,476	290
23.1 GSA rent	113,481	122,584	130,342	7,758
23.2 Other rent	87	94	99	5
23.3 Communications, utilities, and misc. charges	27,219	29,402	31,783	2,381
24.0 Printing	6	7	7	-
25.1 Advisory and assistance services	58,138	62,802	67,752	4,950
25.2 Other services	161,907	174,891	187,107	12,216
25.3 Purchases from Gov't accts.	4,559	4,925	5,156	231
25.4 O&M of facilities	2,111	2,280	2,387	107
25.6 Medical care	976	1,055	1,104	49
25.7 Operation and maintenance of equipment	18,252	19,716	22,343	2,627
26.0 Supplies and materials	20,465	22,106	23,145	1,039
31.0 Equipment	48,602	52,500	56,966	4,466
41.0 Grants/Subsidies/Contributions	308	333	349	16
42.0 Insurance Claims and Indemnity	561	606	635	29
91.0 Unvouchered	5,170	-	5,847	5,847
93.1 Limitation on expenses	-	5,585	-	(5,585)
Total, Object Class	1,527,063	1,649,551	1,727,038	77,487
Total, Domestic Investigations	1,527,063	1,649,551	1,727,038	77,487
Full Time Equivalents	7,216	8,606	8,980	374

PPA Mission Statement

In the Office of Investigations (OI), our broad Homeland Security mission is to defend the Nation by enforcing trade and immigration laws through investigations that target the people, money, and materials that support terrorist and other criminal activities. We work under that mandate by dividing our investigative effort into three broad investigative categories: National Security, Financial and Trade, and Smuggling and Public Safety. These three categories represent the general priorities we use to guide our efforts in our daily activities. Each priority can be broken down into many different subcategories and, in fact, are operationally interrelated in a great many cases.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	585,778	632,764	656,488	23,724

Permanent Positions includes salaries and benefits for 374 new FTEs in FY 2011, totaling an increase of \$23,724 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	12,892	13,927	14,581	654

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	139,031	150,182	155,537	5,355

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	292,124	315,556	323,379	7,823

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	29,670	32,050	35,555	3,505

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$3,505 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	5,726	6,186	6,476	290

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes an increase of \$290 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	113,481	122,584	130,342	7,758

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes an increase of \$7,758 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	87	94	99	5

Other Rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request includes an increase of \$5 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	27,219	29,402	31,783	2,381

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes an increase of \$2,381 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	6	7	7	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes no change for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	58,138	62,802	67,752	4,950

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes an increase of \$4,950 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	161,907	174,891	187,107	12,216

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes an increase of \$12,216 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	4,559	4,925	5,156	231

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes an increase of \$231 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	2,111	2,280	2,387	107

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$107 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	976	1,055	1,104	49

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	976	1,055	1,104	49

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request includes an increase of \$49 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	18,252	19,716	22,343	2,627

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$2,627 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	20,465	22,106	23,145	1,039

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an increase of \$1,039 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	48,602	52,500	56,966	4,466

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes an increase of \$4,466 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	308	333	349	16

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request includes an increase of \$16 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	561	606	635	29

Indemnity includes insurance claims and benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2011 request includes an increase of \$29 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
91.0 Unvouchered	5,170	-	5,847	5,847

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement to informants, which are not subject to detailed vouchering or reporting. The FY 2011 request includes an increase of \$262 thousand.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
International Investigations
Funding Schedule
(Dollars in Thousands)

PPA: International Investigations	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	29,054	29,872	30,282	410
11.3 Other than full-time permanent	440	453	456	3
11.5 Other personnel compensation	5,850	6,015	6,059	44
12.1 Benefits	20,814	21,400	21,555	155
21.0 Travel	6,137	6,310	6,329	19
22.0 Transportation of things	3,683	3,786	3,814	28
23.1 GSA rent	10,508	10,804	10,841	37
23.3 Communications, utilities, and misc. charges	514	528	532	4
24.0 Printing	9	9	9	-
25.1 Advisory and assistance services	3,173	3,263	3,275	12
25.2 Other services	24,260	24,944	25,022	78
25.3 Purchases from Gov't acct.	281	288	291	3
25.7 Operation and maintenance of equipment	522	537	541	4
26.0 Supplies and materials	1,301	1,337	1,343	6
31.0 Equipment	2,646	2,721	2,731	10
33.0 Loans	-	9	-	(9)
41.0 Grants/Subsidies/Contributions	9	-	9	9
91.0 Unvouchered	579	596	600	4
Total, Object Class	109,780	112,872	113,689	817
Total, International Investigations	109,780	112,872	113,689	817
Full Time Equivalents	274	193	199	6

PPA Mission Statement

Office of International Affairs (OIA) expands the investigative efforts of the Office of Investigations to over 50 foreign locations. The OIA represents the international assets of all ICE programs and collaborates with U.S. Citizenship and Immigration Services, U.S. Customs and Border Protection, and other DHS components. The OIA liaises with foreign governments and international partners to facilitate the enforcement of U.S. customs and immigration laws beyond our borders in an effort to interdict criminals and prevent or disrupt criminal activity. OIA also executes the operational mandate of Section 428 of the Homeland Security Act through ICE's Visa Security Program.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	29,054	29,872	30,282	410

Permanent Positions includes salaries and benefits for 6 new FTEs in FY 2011, totaling an increase of \$410 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	440	453	456	3

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	5,850	6,015	6,059	44

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	20,814	21,400	21,555	155

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	6,137	6,310	6,329	19

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$19 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	3,683	3,786	3,814	28

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes an increase of \$28 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	10,508	10,804	10,841	37

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes an increase of \$37 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	514	528	532	4

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes an increase of \$4 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	9	9	9	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes no change for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	3,173	3,263	3,275	12

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes an increase of \$12 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	24,260	24,944	25,022	78

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes an increase of \$78 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	281	288	291	3

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes an increase of \$3 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	522	537	541	4

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$4 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,301	1,337	1,343	6

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an increase of \$6 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	2,646	2,721	2,731	10

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes an increase of \$10 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	9	-	9	9

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
91.0 Unvouchered	579	596	600	4

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement to informants, which are not subject to detailed vouchering or reporting. The FY 2011 request includes an increase of \$4 thousand.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Visa Security Program
Funding Schedule
(Dollars in Thousands)

PPA: Visa Security Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	4,579	6,285	6,285	-
11.3 Other than full-time permanent	136	186	186	-
11.5 Other personnel compensation	1,327	1,822	1,822	-
12.1 Benefits	3,421	4,696	4,696	-
21.0 Travel	1,022	1,403	1,403	-
22.0 Transportation of things	418	573	573	-
23.1 GSA rent	1,523	2,090	2,090	-
23.3 Communications, utilities, and misc. charges	233	320	320	-
25.1 Advisory and assistance services	2,468	3,388	3,388	-
25.2 Other services	5,450	7,482	7,482	-
25.3 Purchases from Gov't accts.	42	58	58	-
25.7 Operation and maintenance of equipment	265	364	364	-
26.0 Supplies and materials	129	177	177	-
31.0 Equipment	1,316	1,807	1,807	-
91.0 Unvouchered	25	35	35	-
Total, Object Class	22,354	30,686	30,686	-
Total, Visa Security Program	22,354	30,686	30,686	-
Full Time Equivalents	36	67	67	-

PPA Mission Statement

The Visa Security Program (VSP) is the first line of defense in preventing terrorists and other criminals from gaining access to the United States through a legally obtained visa. The integration of experienced ICE law enforcement officers in the visa issuance process enhances this program as a counterterrorism tool through the generation of new watch list entries, “not yet known” terrorist or criminal suspects, valuable intelligence reports and investigative leads, and identification of patterns at high risk locations that traditional screening systems do not detect.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	4,579	6,285	6,285	-

Permanent Positions includes salaries and benefits for 0 new FTEs in FY 2011 and no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	136	186	186	-

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	1,327	1,822	1,822	-

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	3,421	4,696	4,696	-

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	1,022	1,403	1,403	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	418	573	573	-

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	1,523	2,090	2,090	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	233	320	320	-

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	2,468	3,388	3,388	-

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	5,450	7,482	7,482	-

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	42	58	58	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 requests no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	265	364	364	-

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	129	177	177	-

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	1,316	1,807	1,807	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
91.0 Unvouchered	25	35	35	-

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement to informants, which are not subject to detailed vouchering or reporting. The FY 2011 request includes no change.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Intelligence
Funding Schedule
(Dollars in Thousands)

PPA: Intelligence	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	27,437	33,056	37,152	4,096
11.3 Other than full-time permanent	193	233	350	117
11.5 Other personnel compensation	1,986	2,392	2,563	171
12.1 Benefits	8,401	10,121	11,172	1,051
21.0 Travel	2,575	3,102	3,109	7
22.0 Transportation of things	72	87	89	2
23.1 GSA rent	3,277	3,948	3,969	21
23.3 Communications, utilities, and misc. charges	954	1,149	1,156	7
24.0 Printing	1	2	2	-
25.0 Other services	-	-	1,750	1,750
25.1 Advisory and assistance services	3,100	3,735	7,406	3,671
25.2 Other services	8,011	9,652	302	(9,350)
25.3 Purchases from Gov't accts.	246	297	-	(297)
25.6 Medical care	-	-	438	438
25.7 Operation and maintenance of equipment	357	430	-	(430)
25.8 Other services	-	-	605	605
26.0 Supplies and materials	498	600	986	386
31.0 Equipment	814	981	8	(973)
32.0 Land & structures	6	8	-	(8)
41.0 Grants/Subsidies/Contributions	41	-	50	50
42.0 Insurance Claims and Indemnity	-	49	-	(49)
Total, Object Class	57,969	69,842	71,107	1,265
Total, Intelligence	57,969	69,842	71,107	1,265
Full Time Equivalents	284	388	442	54

PPA Mission Statement

Intelligence - Collect, analyze and share information on critical homeland security vulnerabilities that could be exploited by terrorist and criminal organizations. The Office of Intelligence focuses on data and information related to the movement of people, money and materials into, within and out of the United States to provide accurate and timely reporting to ICE leadership and field agents in support of enforcement operations. ICE's intelligence functions are managed by a highly trained team of professionals with expertise in data and threat analysis, languages, financial investigations, counterterrorism and a number of other areas. ICE intelligence professionals process information from a variety of sources to provide assessments of patterns, trends and new developments in a wide range of law enforcement areas. These include the following areas: Terrorism, Human Smuggling and Trafficking, Money Laundering and Financial Crime, Drug Smuggling, Criminal Aliens, Air and Marine Smuggling, Cyber Crimes, Identity Fraud and Document Fraud, and Arms Trafficking.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	27,437	33,056	37,152	4,096

Permanent Positions includes salaries and benefits for 54 new FTEs in FY 2011, totaling an increase of \$4,096 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	193	233	350	117

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	1,986	2,392	2,563	171

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	8,401	10,121	11,172	1,051

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	2,575	3,102	3,109	7

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$7 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	72	87	89	2

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes an increase of \$2 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	3,277	3,948	3,969	21

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes an increase of \$21 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	954	1,149	1,156	7

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes an increase of \$7 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	1	2	2	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes no change for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	3,100	3,735	7,406	3,671

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes a decrease of \$1,985 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	8,011	9,652	302	(9,350)

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes a decrease of \$2,246 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	246	297	-	(297)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes an increase of \$5 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	-	-	438	438

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	357	430	-	(430)

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY

2011 request includes an increase of \$8 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	-	-	605	605

Subsistence and Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	498	600	986	386

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an increase of \$5 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	814	981	8	(973)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes an increase of \$5 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	6	8	-	(8)

Land and Structures includes the costs for land and interests in land; buildings and other structures; roads; additions to buildings; nonstructural (or resource) improvements, such as fences and landscaping; and fixed equipment additions and replacements. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	41	-	50	50

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	-	49	-	(49)

Indemnity includes insurance claims and benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2011 request includes an increase of \$1 thousand.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Custody Operations
Funding Schedule
(Dollars in Thousands)

PPA: DRO - Custody Operations	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	310,165	309,549	305,722	(3,827)
11.3 Other than full-time permanent	1,924	1,920	1,563	(357)
11.5 Other personnel compensation	96,885	96,692	95,831	(861)
11.8 Special Service Pay	358	357	284	(73)
12.1 Benefits	162,772	162,448	159,610	(2,838)
21.0 Travel	13,270	13,244	16,235	2,991
22.0 Transportation of things	4,852	4,842	5,204	362
23.1 GSA rent	54,533	54,425	63,499	9,074
23.2 Other rent	36	36	39	3
23.3 Communications, utilities, and misc. charges	24,671	24,622	26,466	1,844
24.0 Printing	28	28	30	2
25.0 Other services	-	-	20,348	20,348
25.1 Advisory and assistance services	18,969	18,931	179,008	160,077
25.2 Other services	154,753	154,445	3,095	(151,350)
25.3 Purchases from Gov't accts.	2,886	2,880	878,848	875,968
25.4 O&M of facilities	801,553	799,962	-	(799,962)
25.5 R&D of contracts	-	-	89,257	89,257
25.6 Medical care	80,409	80,249	12,461	(67,788)
25.7 Operation and maintenance of equipment	10,962	10,940	331	(10,609)
25.8 Other services	309	308	41,835	41,527
26.0 Supplies and materials	31,541	31,478	2,739	(28,739)
31.0 Equipment	2,553	2,548	275	(2,273)
32.0 Land & structures	257	256	1,050	794
42.0 Insurance Claims and Indemnity	979	977	34	(943)
43.0 Interest and Dividends	31	31	-	(31)
Total, Object Class	1,774,696	1,771,168	1,903,764	132,596
Total, DRO - Custody Operations	1,774,696	1,771,168	1,903,764	132,596
Full Time Equivalents	4,905	5,210	5,131	(79)

PPA Mission Statement

Immigration enforcement authorities apprehend potentially removable aliens. In many cases, these aliens must be detained while they go through immigration proceedings and until they are removed. Often the number of apprehensions exceeds the detention space available and DRO must prioritize which cases will be detained. Custody Operations provides safe, secure, and humane confinement for these aliens. It also ensures that aliens in ICE custody appear for their immigration hearings, and then for their subsequent removal.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	310,165	309,549	305,722	(3,827)

Permanent Positions includes salaries and benefits for a decrease of 79 FTEs in FY 2011, totaling a decrease of \$3,827 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	1,924	1,920	1,563	(357)

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	96,885	96,692	95,831	(861)

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	358	357	284	(73)

Special Services Pay includes payments for personal services that do not represent salaries or wages paid directly to Federal employees and military personnel.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	162,772	162,448	159,610	(2,838)

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	13,270	13,244	16,235	2,991

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$2,991 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	4,852	4,842	5,204	362

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes an increase of \$362 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	54,533	54,425	63,499	9,074

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes an increase of \$9,074 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	36	36	39	3

Other Rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request includes an increase of \$3 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	24,671	24,622	26,466	1,844

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes an increase of \$1,844 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	28	28	30	2

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes an increase of \$2 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	18,969	18,931	179,008	160,077

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes an increase of \$1,417 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	154,753	154,445	3,095	(151,350)

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes an increase of \$24,563 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	2,886	2,880	878,848	875,968

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes an increase of \$215 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	801,553	799,962	-	(799,962)

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$78,886 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	80,409	80,249	12,461	(67,788)

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request includes an increase of \$9,008 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	10,962	10,940	331	(10,609)

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$1,521 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	309	308	41,835	41,527

Subsistence and Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2011 request includes an increase of \$23 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	31,541	31,478	2,739	(28,739)

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	31,541	31,478	2,739	(28,739)

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an increase of \$10,357 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	2,553	2,548	275	(2,273)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes an increase of \$191 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	257	256	1,050	794

Land and Structures includes the costs for land and interests in land; buildings and other structures; roads; additions to buildings; nonstructural (or resource) improvements, such as fences and landscaping; and fixed equipment additions and replacements. The FY 2011 request includes an increase of \$19 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	979	977	34	(943)

Indemnity includes insurance claims and benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2011 request includes an increase of \$73 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
43.0 Interest and Dividends	31	31	-	(31)

Interest and Dividends includes payments to creditors for the use of monies loaned, deposited, over-paid, or otherwise made available; distribution of earnings to owners of trust or other funds; and interest payments under lease-purchase contracts for construction of buildings.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Fugitive Operations
Funding Schedule
(Dollars in Thousands)

PPA: DRO - Fugitive Operations	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	54,899	60,657	60,786	129
11.3 Other than full-time permanent	175	193	194	1
11.5 Other personnel compensation	18,004	19,892	19,989	97
11.8 Special Service Pay	12	13	13	-
12.1 Benefits	29,929	33,068	33,162	94
21.0 Travel	1,482	1,637	901	(736)
22.0 Transportation of things	959	1,059	677	(382)
23.1 GSA rent	7,213	7,970	2,845	(5,125)
23.3 Communications, utilities, and misc. charges	2,577	2,847	1,188	(1,659)
25.0 Other services	-	-	4,407	4,407
25.1 Advisory and assistance services	9,141	10,100	10,260	160
25.2 Other services	18,832	20,808	1,295	(19,513)
25.3 Purchases from Gov't accts.	1,850	2,044	28,437	26,393
25.4 O&M of facilities	53,185	58,765	-	(58,765)
25.6 Medical care	-	-	1,497	1,497
25.7 Operation and maintenance of equipment	2,094	2,314	-	(2,314)
25.8 Other services	-	-	2,024	2,024
26.0 Supplies and materials	6,200	6,850	770	(6,080)
31.0 Equipment	1,321	1,459	-	(1,459)
43.0 Interest and Dividends	6	-	-	-
43.0 Immigration Fees	-	6	4	(2)
Total, Object Class	207,879	229,682	168,449	(61,233)
Total, DRO - Fugitive Operations	207,879	229,682	168,449	(61,233)
Full Time Equivalents	742	677	677	-

PPA Mission Statement

The Fugitive Operations program locates and apprehends fugitive aliens in the United States. It strives to identify or apprehend all fugitives, creating a deterrent to potential absconders and increasing the integrity of the immigration enforcement process.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	54,899	60,657	60,786	129

Permanent Positions includes salaries and benefits for a no new FTEs in FY 2011, totaling an increase of \$129 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	175	193	194	1

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	18,004	19,892	19,989	97

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	12	13	13	-

Special Services Pay includes payments for personal services that do not represent salaries or wages paid directly to Federal employees and military personnel.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	29,929	33,068	33,162	94

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	1,482	1,637	901	(736)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes a decrease of \$736 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	959	1,059	677	(382)

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes a decrease of \$382 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	7,213	7,970	2,845	(5,125)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes a decrease of \$5,125 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	2,577	2,847	1,188	(1,659)

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes a decrease of \$1,659 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	9,141	10,100	10,260	160

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes a decrease of \$5,693 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	18,832	20,808	1,295	(19,513)

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes a decrease of \$10,548 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	1,850	2,044	28,437	26,393

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 requests includes a decrease of \$749 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	53,185	58,765	-	(58,765)

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$30,328 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	-	-	1,497	1,497

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	2,094	2,314	-	(2,314)

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$817 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	-	-	2,024	2,024

Subsistence and Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	6,200	6,850	770	(6,080)

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes a decrease of \$4,826 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	1,321	1,459	-	(1,459)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes a decrease of \$689 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
43.0 Interest and Dividends	6	-	-	-

Interest and Dividends includes payments to creditors for the use of monies loaned, deposited, over-paid, or otherwise made available; distribution of earnings to owners of trust or other funds; and interest payments under lease-purchase contracts for construction of buildings.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Criminal Alien Program
Funding Schedule
(Dollars in Thousands)

PPA: DRO - Criminal Alien Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	64,326	65,779	66,762	983
11.3 Other than full-time permanent	219	224	231	7
11.5 Other personnel compensation	22,836	23,352	23,428	76
12.1 Benefits	35,586	36,390	36,491	101
21.0 Travel	3,424	3,502	2,761	(741)
22.0 Transportation of things	705	721	571	(150)
23.1 GSA rent	12,117	12,390	10,539	(1,851)
23.2 Other rent	66	67	63	(4)
23.3 Communications, utilities, and misc. charges	2,911	2,977	2,273	(704)
24.0 Printing	1	1	1	-
25.0 Other services	-	-	4,783	4,783
25.1 Advisory and assistance services	5,547	5,672	11,648	5,976
25.2 Other services	16,431	16,803	2,458	(14,345)
25.3 Purchases from Gov't accts.	3,106	3,176	11,978	8,802
25.4 O&M of facilities	13,682	13,991	-	(13,991)
25.6 Medical care	-	-	1,726	1,726
25.7 Operation and maintenance of equipment	2,338	2,390	-	(2,390)
25.8 Other services	-	-	2,960	2,960
26.0 Supplies and materials	4,158	4,252	644	(3,608)
31.0 Equipment	833	852	-	(852)
Total, Object Class	188,286	192,539	179,317	(13,222)
Total, DRO - Criminal Alien Program	188,286	192,539	179,317	(13,222)
Full Time Equivalents	1,068	932	942	10

PPA Mission Statement

The Criminal Alien Program (CAP) ensures that aliens are not released back into the community before they are removed from the United States. Through the CAP, ICE officers interview incarcerated aliens to determine whether they are amenable to immigration proceedings. If a case receives a final order of removal, ICE officers will immediately take that alien into custody upon completion of his or her criminal sentence and then prepare that case for removal

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	64,326	65,779	66,762	983

Permanent Positions includes salaries and benefits for a 10 new FTEs in FY 2011, totaling an increase of \$983 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	219	224	231	7

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	22,836	23,352	23,428	76

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	35,586	36,390	36,491	101

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	3,424	3,502	2,761	(741)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes a decrease of \$741 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
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22.0 Transportation of things	705	721	571	(150)
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Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes a decrease of \$150 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	12,117	12,390	10,539	(1,851)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes a decrease of \$1,851 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	66	67	63	(4)

Other Rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request includes an increase in \$4 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	2,911	2,977	2,273	(704)

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes a decrease of \$704 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	1	1	1	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	5,547	5,672	11,648	5,976

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes a decrease of \$889 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	16,431	16,803	2,458	(14,345)

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes a decrease of \$5,155 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	3,106	3,176	11,978	8,802

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes a decrease of \$718 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	13,682	13,991	-	(13,991)

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$2,013 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	-	-	1,726	1,726

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	2,338	2,390	-	(2,390)

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$664 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	-	-	2,960	2,960

Subsistence and Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	4,158	4,252	644	(3,608)

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes a decrease of \$1,292 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	833	852	-	(852)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes a decrease of \$208 thousand.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Alternatives to Detention
Funding Schedule
(Dollars in Thousands)

PPA: DRO - Alternatives to Detention	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	8,355	9,312	9,940	628
11.3 Other than full-time permanent	21	24	42	18
11.5 Other personnel compensation	2,440	2,719	2,873	154
12.1 Benefits	4,314	4,809	5,078	269
21.0 Travel	756	843	869	26
22.0 Transportation of things	110	123	126	3
23.1 GSA rent	1,737	1,937	1,966	29
23.3 Communications, utilities, and misc. charges	462	515	531	16
25.1 Advisory and assistance services	1,969	2,195	2,222	27
25.2 Other services	40,140	44,740	45,668	928
25.3 Purchases from Gov't accts.	184	205	212	7
25.7 Operation and maintenance of equipment	807	900	928	28
26.0 Supplies and materials	1,356	1,512	1,539	27
31.0 Equipment	71	79	81	2
Total, Object Class	62,722	69,913	72,075	2,162
Total, DRO - Alternatives to Detention	62,722	69,913	72,075	2,162
Full Time Equivalents	127	172	182	10

PPA Mission Statement

The Alternatives to Detention program places low-risk aliens under various forms of intensive supervision rather than traditional detention as a cost-effective way to ensure their appearance for an immigration hearing or for removal. This program lowers the risk that aliens will be fugitives.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	8,355	9,312	9,940	628

Permanent Positions includes salaries and benefits for a 10 new FTEs in FY 2011, totaling an increase of \$628 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	21	24	42	18

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	21	24	42	18

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	2,440	2,719	2,873	154

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	4,314	4,809	5,078	269

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	756	843	869	26

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$26 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	110	123	126	3

Transportation of Things includes all costs of the care of such things while in process of being transported,

and other services incident to the transportation of things. The FY 2011 request includes an increase of \$3 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	1,737	1,937	1,966	29

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes an increase of \$29 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	462	515	531	16

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes an increase of \$16 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	1,969	2,195	2,222	27

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes an increase of \$27 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	40,140	44,740	45,668	928

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes an increase of \$928 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	184	205	212	7

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes an increase of \$7 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	807	900	928	28

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$28 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,356	1,512	1,539	27

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an increase of \$27 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	71	79	81	2

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes an increase of \$2 thousand.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Transportation and Removal Program
Funding Schedule
(Dollars in Thousands)

PPA: DRO - Transportation and Removal Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	(368)	(406)	3,266	3,672
11.3 Other than full-time permanent	-	-	353	353
11.5 Other personnel compensation	-	-	192	192
11.8 Special Service Pay	-	-	289	289
12.1 Benefits	448	494	1,914	1,420
21.0 Travel	146,788	161,769	164,917	3,148
22.0 Transportation of things	271	298	312	14
23.1 GSA rent	502	554	579	25
23.2 Other rent	8	9	9	-
23.3 Communications, utilities, and misc. charges	246	271	283	12
25.1 Advisory and assistance services	14,829	16,342	16,832	490
25.2 Other services	53,511	58,972	60,640	1,668
25.3 Purchases from Gov't accts.	2,552	2,812	2,940	128
25.4 O&M of facilities	26,033	28,690	29,488	798
25.7 Operation and maintenance of equipment	3,015	3,323	3,473	150
25.8 Other services	1	2	2	-
26.0 Supplies and materials	7,119	7,846	8,201	355
31.0 Equipment	815	898	938	40
91.0 Unvouchered	3	4	4	-
Total, Object Class	255,773	281,878	294,632	12,754
Total, DRO - Transportation and Removal Program	255,773	281,878	294,632	12,754
Full Time Equivalents	-	-	59	59

PPA Mission Statement

The Transportation and Removals Management program provides safe and secure transportation of aliens in ICE custody as well as prepares for and conducts the removals of aliens from the United States, as ordered by an immigration judge.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	(368)	(406)	3,266	3,672

Permanent Positions includes salaries and benefits for a 59 new FTEs in FY 2011, totaling an increase of \$3,672 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	-	-	192	192

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	-	289	289

Special Services Pay includes payments for personal services that do not represent salaries or wages paid directly to Federal employees and military personnel.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	448	494	1,914	1,420

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	146,788	161,769	164,917	3,148

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$3,148 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	271	298	312	14

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes an increase of \$14 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	502	554	579	25

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes an increase of \$25 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	8	9	9	-

Other Rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	246	271	283	12

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes an increase of \$12 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	14,829	16,342	16,832	490

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes an increase of \$490 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	53,511	58,972	60,640	1,668

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes an increase of \$1,668 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	2,552	2,812	2,940	128

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes an increase of \$128 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	26,033	28,690	29,488	798

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$798 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	3,015	3,323	3,473	150

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$150 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	1	2	2	-

Subsistence and Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	7,119	7,846	8,201	355

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an increase of \$355 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	815	898	938	40

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes an increase of \$40 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
91.0 Unvouchered	3	4	4	-

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement to informants, which are not subject to detailed vouchering or reporting. The FY 2011 request includes no increase.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Comprehensive Identification and Removal of Criminal Aliens
Funding Schedule
(Dollars in Thousands)

PPA: Comprehensive Identification and Removal of Criminal Aliens	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	2,535	1,851	4,051	2,200
11.3 Other than full-time permanent	147	108	706	598
11.5 Other personnel compensation	230	168	553	385
12.1 Benefits	1,588	1,160	2,039	879
21.0 Travel	21,408	15,636	11,371	(4,265)
22.0 Transportation of things	502	367	270	(97)
23.1 GSA rent	2,047	1,495	1,098	(397)
23.3 Communications, utilities, and misc. charges	5,694	4,158	3,055	(1,103)
25.0 Other services	-	-	35,430	35,430
25.1 Advisory and assistance services	67,815	49,529	43,261	(6,268)
25.2 Other services	84,743	61,893	909	(60,984)
25.3 Purchases from Gov't accts.	1,694	1,237	27,676	26,439
25.4 O&M of facilities	54,425	39,750	-	(39,750)
25.5 R&D of contracts	-	-	362	362
25.6 Medical care	674	492	569	77
25.7 Operation and maintenance of equipment	1,061	775	-	(775)
25.8 Other services	1	-	1,010	1,010
26.0 Supplies and materials	1,883	1,375	14,583	13,208
31.0 Equipment	27,392	20,006	-	(20,006)
Total, Object Class	273,839	200,000	146,943	(53,057)
Total, Comprehensive Identification and Removal of Criminal Aliens	273,839	200,000	146,943	(53,057)
Full Time Equivalents	276	512	552	40

PPA Mission Statement

Secure Communities – A Comprehensive Plan to Identify and Remove Criminal Aliens (SC/CIRCA) sets out a comprehensive plan to improve community safety by transforming the way the federal government cooperates with state and local law enforcement agencies to identify, detain, and remove all criminal aliens held in custody.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	2,535	1,851	4,051	2,200

Permanent Positions includes salaries and benefits for 40 new FTEs in FY 2011, totaling an increase of \$2,200 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	147	108	706	598

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	230	168	553	385

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	-	-	-

Special Services Pay includes payments for personal services that do not represent salaries or wages paid directly to Federal employees and military personnel.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	1,588	1,160	2,039	879

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	21,408	15,636	11,371	(4,265)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes a decrease of \$42,265.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	502	367	270	(97)

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes a decrease of \$97 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	2,047	1,495	1,098	(397)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes a decrease of \$397 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	5,694	4,158	3,055	(1,103)

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes a decrease of \$1,103 thousand for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	67,815	49,529	43,261	(6,268)

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes a decrease of \$14,099 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	84,743	61,893	909	(60,984)

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes a decrease of \$18,632 thousand for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	1,694	1,237	27,676	26,439

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 requests a decrease of \$328 thousand for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	54,425	39,750	-	(39,750)

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$12,074 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	-	-	362	362

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	674	492	569	77

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request includes a decrease of \$130 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	1,061	775	-	(775)

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$206 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	1	-	1,010	1,010

Subsistence and Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,883	1,375	14,583	13,208

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes a decrease of \$365 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	27,392	20,006	-	(20,006)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes a decrease of \$5,423 thousand.

I. Changes in Full Time Equivalent

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Changes in Full-Time Equivalents

	FY 2009	FY 2010	FY 2011
Base: Year-end Actual from Prior Year	15,902	17,287	19,557
INCREASES			
Annualization of FY 2008 Enhancements	736		
FY 2009 President's Budget Enhancements	157		
FY 2009 Congressional Add-Ons	175		
Annualization of FY 2009 Enhancements		804	
FY 2010 Transfers, Reprogrammings, and Other Adjustments		28	
FY 2010 President's Budget Enhancements		284	
FY 2010 Congressional Add-Ons		163	
Annualization of FY 2010 Enhancements			440
FY 2011 OCIO Contractor Conversions			47
FY 2011 President's Budget Enhancements			120
Attrition Hiring	1,157	1,773	807
Sub-Total Increases	2,225	3,052	1,414
DECREASES			
Attrition Losses	(840)	(782)	(807)
Sub-Total Decreases	(840)	(782)	(807)
Year-end Actual/Estimated FTEs	17,287	19,557	20,164
Net Change from prior year base to Budget Year Estimate	1,385	2,270	607

J. FY 2011 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2009 Actual	FY 2010 Enacted	FY 2011 Estimate	Increase / Decrease for FY 2011
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Personnel Compensation and Benefits, Services, and Other Costs	3,798	2,830	3,096	266
Headquarters Managed IT Investment	915	24,592	11,212	(13,379)
Legal Proceedings	3,726	2,818	3,083	265
Domestic Investigations	24,711	16,726	18,294	1,567
International Investigations	873	579	634	55
Visa Security Program	219	145	159	15
Intelligence	948	749	820	71
DRO - Custody Operations	16,294	11,197	12,246	1,049
DRO - Fugitive Operations	2,397	1,530	1,674	144
DRO - Criminal Alien Program	3,948	2,956	3,234	278
DRO - Alternatives to Detention	561	383	420	37
DRO - Transportation and Removal Program	---	---	---	---
Comprehensive Identification and Removal of Criminal Aliens	---	742	812	70
Automation Modernization	---	---	---	---
Construction	---	---	---	---
Federal Protective Service	3,600	2,760	3,019	258
Breached Bond Detention Fund	---	---	---	---
Student Exchange and Visitor Program	153	66	73	6
Immigration Inspection User Fees	---	---	---	---
Total Working Capital Fund	\$ 62,140	\$ 68,073	\$ 58,775	\$ (9,298)

K. FY 2011 Schedule of Servicewide Costs by Program/Project Activity

Department of Homeland Security U.S. Immigration and Customs Enforcement Salaries and Expenses

FY 2011 Schedule of Servicewide Costs by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2009 Actual	FY 2010 Enacted	FY 2011 Estimate	Increase / Decrease for FY 2011
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Personnel Compensation and Benefits, Services, and Other Costs	26,785	30,465	30,465	---
Headquarters Managed IT Investment	11,394	10,625	10,625	---
Legal Proceedings	29,245	32,166	32,166	---
Domestic Investigations	264,222	270,223	270,223	---
International Investigations	6,274	6,634	6,634	---
Visa Security Program	1,598	1,656	1,656	---
Intelligence	9,855	10,278	10,278	---
DRO - Custody Operations	142,747	161,964	161,964	---
DRO - Fugitive Operations	21,552	20,949	20,949	---
DRO - Criminal Alien Program	33,735	38,913	38,913	---
DRO - Alternatives to Detention	4,812	5,476	5,476	---
DRO - Transportation and Removal Program	---	---	---	---
Comprehensive Identification and Removal of Criminal Aliens	---	10,975	10,975	---
Automation Modernization	---	---	---	---
Construction	---	---	---	---
Federal Protective Service	16,886	16,725	16,725	---
Breached Bond Detention Fund	---	---	---	---
Student Exchange and Visitor Program	536	445	445	---
Immigration Inspection User Fees	---	---	---	---
Total Servicewide Costs	\$ 569,642	\$ 617,493	\$ 617,493	\$ ---

Note: These servicewide costs are made up of costs that all PPAs pay a portion of such as rent, the DHS working capital fund, utilities, workers compensation, FPS security, and transit subsidies. The FY 2011 servicewide (overhead) costs are estimates that are subject to change.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization



Fiscal Year 2011
Overview
Congressional Budget Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Immigration and Customs Enforcement Automation Modernization

I. Appropriation Overview

A – Mission Statement for Automation Modernization

In FY 2008, the U.S. Immigration and Customs Enforcement (ICE) Automation Modernization account was expanded to include Atlas IT Infrastructure, TECS Modernization, and Detention and Removal Operations Modernization (DROM). In FY 2009, the Automation Modernization account was further expanded to include the Atlas Tactical Communications and Modernization of Financial System projects. In FY 2010, the Automation Modernization account again expands to include other IT transformational initiatives: ICE Law Enforcement Systems Modernization (LESM), which now includes the TECS Modernization project, and Electronic Health Records (eHR). By FY 2011, the Automation Modernization account will further expand to include Atlas Cyber Security Modernization and the ICE Decision Support Program. Placing all IT modernization initiatives under the Automation Modernization account will allow ICE to standardize IT investment management and delivery.

The Automation Modernization account will allow ICE to improve information sharing with the Department of Homeland Security (DHS) and other partner organizations. These initiatives will strengthen information availability, improve detainee tracking and preparation of travel documents, provide a fully secure IT environment, and enhance financial management and audit practices.

B – Budget Activities:

Atlas

The Atlas program integrates enforcement capability rooted in a “One DHS” vision that includes sharing information, coordinating systems for identifying threats, forging DHS-wide standards, and weaving together networks. To this end, the Atlas program seeks to create and sustain a secure, scalable IT environment that supports ICE law enforcement programs. Prior to 2008, the Atlas Program consisted of eight major projects with 21 sub-projects. By January 2009, ten sub-projects were completed. To better align with the DHS IT strategic direction and to allow for more efficient management, the remaining sub-projects were realigned and Atlas was further expanded to include several new IT initiatives. The Atlas program currently consists of three projects with 11 associated sub-projects. These projects improve infrastructure, consolidate and standardize IT

equipment, improve IT products and services, and increase the security of equipment.

A description of current Atlas projects follows:

- **Atlas IT Infrastructure** – This project was initiated to improve information-sharing across DHS and ICE, strengthen information availability; provide a fully secure IT environment, improve workforce productivity, and migrate ICE infrastructure to the DHS *One Network*.
- **Tactical Communications** - This project is designed to modernize mission-critical tactical communications for ICE. This project will replace legacy tactical communications equipment and infrastructure with digital, encrypted, narrowband, Project 25 (P25)-compliant systems. ICE will design, engineer, acquire, integrate, program, install, test, and optimize their tactical wireless communications systems nationwide. Additionally, the TC project will provide infrastructure and subscriber unit training for ICE agents and officers, ensuring users understand how to use the modernized communications systems to support their mission-critical operations.
- **Cyber Security Modernization** – This project will create a robust IT environment in which authentication is rigid. This rigidity greatly increases ICE’s capability to identify threats and respond in an effective manner to those threats. It also increases ICE’s ability to control security assurance and risk management decisions. This increased security control ensures ICE will better protect its sensitive information, assure that critical IT resources are available to its workforce when needed, and maintain information integrity.

ICE Law Enforcement Systems Modernization

This initiative includes the following projects:

- **TECS Modernization** – This system will modernize the existing TECS functions that are specific to ICE. These include Investigative Case Management (including Bank Secrecy Act data access, Money Laundering reporting and tracking, and Telephone Link analysis), Intelligence Reporting and Dissemination, Management Reporting and Workflow, Security and Oversight, Shared Services, Data Management, Infrastructure Acquisition and Deployment. TECS modernization is a joint U.S. Customs and Border Protection (CBP) and ICE initiative.
- **Mobile Automated Biometric Identification System (IDENT)** – This project gives ICE agents the ability to identify and process an individual in the field using mobile processing units. Currently, suspected illegal aliens are transported to brick and mortar facilities for fingerprint identification. Mobile IDENT provides near real-time identification of aliens, decreases transportation costs, and

increases officer safety by reducing the number of instances of alien transport.

- **ICE Pattern Analysis and Information Collection System (ICEPIC)** - ICEPIC provides the capability to generate statistics, enact geospatial data, and link analysis for criminal and terrorist activities. ICEPIC is also the part of the information sharing initiative that allows the integration of all law enforcement data into a single repository and allows the data to be shareable to Local, State and Federal law enforcement agencies.
- **ICE ACCESS** – This initiative provides the resources to help ICE’s State and local partners in the ICE ACCESS program and will integrate ICE information on gangs with U.S. Department of Justice’s gang database.
- **Law Enforcement Information Sharing System (LEISS)** - ICE is the steward for DHS in the Law Enforcement-Shared Mission Community (LE-SMC) space and is responsible for development, coordination, and support of policies, procedures, and processes that facilitate the mission and DHS Secretary’s priorities for information sharing.
- **Intelligence Support** – This initiative will fund improvements to ICE’s information technology for its intelligence programs. This includes the migration of Data Analysis and Research for Trade Transparency System (DARTTS) and Cyber Crimes Center (C3) into the enterprise solution. This initiative will fund the maintenance of hardware and software for cyber-crime investigations, the National Child Victim Identification System (NCVIS), e-crimes, overt and covert networks, and an upgrade to the Digital Forensic Lab.
- **International Affairs Modernization** – This initiative will fund the overdue modernization of the tools currently being used to screen visa applicants at consular offices overseas.
- **Forensic Document Lab (FDL)** – This project will fund the expansion of the technology infrastructure for the FDL Automated Document Library System. The FDL provides tools and information to ICE agents performing criminal investigations. The modernization of the FDL will ensure applications and tools are available to the agents and improve information sharing capabilities. The modernization of the FDL will ensure the systems are incorporated into the enterprise.

DRO Modernization (DROM)

This initiative supports the system upgrades and improvements of Detention and Removal Operations (DRO), as well as supporting the requirements of DHS in providing a secure border. DROM will effect improvements in the areas of real-time dynamic data reporting, detainee management, management of detention beds and tracking detainees, bed-space availability management, and transportation management for detention and

removals. Through the system upgrades and improvements, ICE OCIO continues to support DRO with effective, responsive, and accurate computer and control systems that advance the DRO mission.

Electronic Health Records (eHR)

The Division of Immigration Health Services (DIHS) serves as the health authority for ICE on all matters related to detainee healthcare. DIHS provides direct patient care at 24 facilities (housing approximately 50-60% of the detainee population) and authorizes managed care services to the remaining ICE detainees housed at over 350 contracted detention facilities without on-site DIHS staff nationwide. The eHR initiative will provide enhanced medical documentation quality across all DIHS and Intergovernmental Service Agreement (IGSA) facilities; faster dissemination and improved exchange of detainee health information; and improved data quality and access to support trend analysis, as well as the identification of national and global public health threats.

Modernization of Financial System

The Modernization of Financial System initiative supports the DHS enterprise-wide initiative of consolidating a number of financial systems. This initiative will support ICE's transition to the new DHS financial system, assist ICE in achieving and sustaining unqualified financial audit opinions, and performing effective financial management.

ICE Decision Support Program (IDSP)

The ICE Decision Support Program (IDSP) facilitates business and organizational decision-making activities across the ICE enterprise. This project is the sponsor of the ICE Integrated Decision Support (IIDS) System, which provides ICE law enforcement users with information sharing capabilities by addressing information sharing and applications interoperability. IIDS is the program's vehicle for providing self-service reporting and analysis at users' fingertips, allowing decision makers to spend less time looking for answers and more time making strategic decisions.

This initiative will assist law enforcement agents and ICE decision makers in collecting and generating data to aid them in their investigative, intelligence, and case management activities.

C – Budget Request Summary:

FY 2011 Request for Automation Modernization:

ICE requests \$84,700,000, including 36 Full-time Equivalents (FTEs), to continue the modernization of its information technology and systems infrastructure for the following program initiatives, as well as continue FY 2010 efforts.

The following describes the allocation of the \$84,700,000 for the Automation Modernization projects:

- Atlas IT Infrastructure (\$9.0 million): The FY 2011 request of \$9.0 million will fund the second year of the planned four-year Local Area Network (LAN) Connectivity Upgrade sub-project to modernize the network infrastructure at approximately 750 ICE locations. ICE will accomplish this by upgrading legacy local area networks (LANs) to provide increased performance, security, and reliability. LAN infrastructure provides the "last hundred feet" connecting each user's desktop to the DHS OneNet. It is therefore a critical component required to access most ICE mission-critical applications (such as investigative information databases and detention management systems). The Atlas IT Infrastructure project is projected to upgrade 200 switches at various sites throughout the continental U.S. in FY 2011.
- Atlas Tactical Communications (\$8.0 million): This request will be used to acquire Project 25-compliant tactical communications equipment to modernize tactical communications systems in the Chicago Region (states of Illinois, Kentucky, Indiana, Missouri, Kansas, and Wisconsin). The modernization in the Chicago Region will include infrastructure and subscriber equipment, as well as system and subscriber training for ICE law enforcement personnel, ensuring they understand how to use the modernized communications systems to support their mission-critical operations.
- Atlas Cyber Security Modernization (\$8.0 million): This request will be used to continue implementation of recommended security solutions identified as a result of risk assessments, and improve intelligence fusion capability, centered on connectivity to the Joint Worldwide Intelligence Communications System (JWICS), Homeland Secure Data Network (HSDN), and a state-of-the-art Security Operations Center (SOC); integrating Single Sign-On (SSO) capability into the ICE enterprise; establish the basic Enterprise Operations Center (EOC) facility footprint for a purchased/leased facility; build-out and equip the Service Desk, the Network Operations Center, Security Operations Center and the Law Enforcement Service Center; and provide the common technical infrastructure and space necessary for the future build out of National Law Enforcement Communications Center, ICE Reporting and Operations Center and Sensitive Compartmented Information Facility in subsequent years.
- ICE Law Enforcement Systems Modernization (\$38.7 million): This request funds a number of case management (including the TECS Modernization initiative), information sharing, and operational support service projects that will improve dissemination of intelligence information across DHS and the Intelligence Community. The request increases the sharing of information with Federal, State, local, tribal and international law enforcement agencies. The TECS Modernization initiative focuses on immigration and customs law enforcement, concentrating on the business activities of investigative case management,

intelligence reporting and dissemination, including management reporting and workflow. ICE will assume the responsibility for modernizing and maintaining the functionality of the TECS modules considered essential to the ICE mission.

- DRO Modernization (\$9.0 million): This request will be used to develop and deploy the final release of the Detainee Location Tracking (DLT) System and Central Reservation System (CRS) as part of the Bed Space, Tracking, and Transportation (BST&T) Management Solution. Funding will also provide for the Transportation Management System (TMS) module. As part of the BST&T system, TMS addresses the DRO needs for improved transportation management. TMS will provide consistent automation of transportation transactions, provide decision support for complex moves, streamline communication and work flow, and provide the ability to measure and monitor transportation efficiency. The transportation solution will also include expanding web services to allow the Electronic Travel Document (eTD) application to communicate with other internal or external applications. Funds will also be used to continue the project management and current support services necessary for ensuring consistent management processes and practices across the DROM program.
- Electronic Health Records (\$7.0 million): This request will be used to begin the design and development of a system that enhances and supports the documentation and coordination of medical services provided to ICE detainees while in custody. The system will support ambulatory clinic processes, coordination of off-site specialty medical services and monitoring of medical services. This will enable faster exchange of detainee health information for supporting the continuity of care and improve data quality and identification of national and global public health threats.
- Financial System Modernization (\$3.0 million): This request will be used to continue ICE's efforts to ensure near-term viability of ICE's current financial system and preparation for migration of the current financial systems to the DHS enterprise solution.
- ICE Decision Support Systems (\$2.0 million): This request will be used for various activities including the development of a new extraction, transformation and loading process for the integration of data from LESM data sources to the Enterprise Data Warehouse (EDW); further development of executive dashboards for SEVIS II and BS&T; and funding for the continued support for the Business Intelligence (BI) tool Hyperion, the middleware WebSphere and the EDW to sustain the reporting needs of the existing customer community.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity
(PPA)

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 President's Budget
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		President's Budget		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Automation Modernization	12	59,456	19	90,000	36	84,700	17	(5,300)	36	84,700	(19)	(90,000)
Subtotal, Enacted Appropriations and Budget Estimates	12	59,456	19	90,000	36	84,700	17	(5,300)	36	84,700	(19)	(90,000)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	12	59,456	19	90,000	36	84,700	17	(5,300)	36	84,700	(19)	(90,000)

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Program Performance Justification**
(Dollars in Thousands)

PPA: Automation Modernization

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	7	12	59,456
2010 Enacted	36	19	90,000
2011 Adjustments-to-Base	(36)	(19)	(90,000)
2011 Current Services	-	-	-
2011 Program Change	36	36	84,700
2011 Total President's Budget	36	36	84,700
Total Change 2010 to 2011	-	17	(5,300)

U.S. Immigration and Customs Enforcement requests \$84.7 million for this activity. This is a \$5.3 million decrease from the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

FY 2011, the Automation Modernization account requests \$84.7 M, including 36 Full Time Equivalents. Funding is allocated as follows:

Automation Modernization Project	FY 2011 Funding Request (\$ Millions)
ICE Law Enforcement Systems Modernization (including TECS Modernization)	\$38.7
Atlas Tactical Communications	\$ 8.0
Atlas IT Infrastructure	\$ 9.0
DRO Modernization	\$ 9.0
Electronic Health Records	\$ 7.0
Financial Systems Modernization	\$ 3.0
ICE Decision Support Systems	\$ 2.0
Atlas Cyber Security Modernization	\$ 8.0
Automation Modernization Total FY 2011 Funding:	\$84.7

Key Accomplishments

FY 2009 – Accomplishments

In FY 2009, Congress appropriated \$57.0 million to further expand Automation Modernization activities including the Financial System Modernization initiative, TECS Modernization, Atlas IT Infrastructure, Atlas Tactical Communications, and DROM. The Automation Modernization programs have achieved the following to date in FY 2009:

Atlas (\$23.0 million)

- **Atlas IT Infrastructure (\$13.0 million)**
- Improved information sharing between ICE and its law enforcement partners by incorporating two additional data collection systems into one database.
- Replaced the primary web hosting platform for DHS data centers, and built IT infrastructure to provide seamless communications across heterogeneous platforms.
- Upgraded obsolete and failing file and print servers at 155 ICE sites.

- **Tactical Communications (\$10.0 million)**
- Acquired equipment for mobile communications system and hub upgrades, and acquired P25-compliant tactical communications equipment to modernize tactical communications systems in the first of 20 ICE regions (Georgia, North Carolina, and South Carolina); and
- Acquired, integrated, and deployed one mobile law enforcement communications system and one wireless communications kit for ICE emergency/crisis response and special operations.

- **Cyber Security Modernization (accomplished with prior year funds)**
- Instituted enterprise audit log management for all major ICE systems; and
- Deployed a framework to access 20 different ICE IT applications with a single sign-on.

- **Data Center Migration (accomplished with prior year funds)**
- Analyzed data center alternatives for lower cost options (to be facilitated by DHS).

LESM - TECS Modernization (\$15.7 million)

- This investment includes the following:
- Perform Project Management Office support services
- Gather and define requirements
- Establish development environment
- Develop high-level TECS architecture and design
- Provide Enterprise Data Warehouse and decision support services
- Gathered requirements for the following projects: Investigative Case Management (including Bank Secrecy Act data access, Money Laundering reporting and

- tracking, and Telephone Link analysis), Intelligence Reporting and Dissemination, Management Reporting and Workflow, Security and Oversight, Shared Services, and Data Management.
- Established an initial planning capability by securing project management office support to manage requirements and develop the business case;
 - Initiated and utilized results of business requirements analysis to conduct a formal Alternatives Analysis and lay down the foundation for program execution;
 - Developed TECS architecture and ICE high-level design, and established a development, integration and testing environment;
 - Developed and assessed the alignment of the program to the DHS Enterprise Architecture;
 - Developed Acquisition Decision Event 1 documents (i.e., Mission Needs Statement and Capability Development Plan); and
 - Developed Acquisition Decision Event 2A and 2B documents (Analysis of Alternatives, Acquisition Plan, Acquisition Program Baseline, Concept of Operations, Integrated Logistics Support Plan, Life Cycle Cost Estimate, Operational Requirements Document, and Testing and Evaluation Master Plan).

DROM (\$11.3 million)

- Initiated development of the Detainee Location Tracking (DLT) and Central Reservation System (CRS) modules of the Bed Space, Transportation, and Tracking (BST&T) Management System;
- Expanded ICE Data Warehouse data capacity and reporting capability to support DRO, and expanded web services to allow the eTD application to communicate with other internal or external applications;
- Expanded ENFORCE Alien Removals Module (EARM) to include the ENFORCE Apprehension and Detention Module (EADM); and
- Initiated planning and requirements definition phase for a DROM Document Management System and the Electronic Detainee Visitor Log (eVisitor) application.

Modernization of Financial System (\$7.0 million)

- Acquired an Invoice Payment solution for ICE that will be able to integrate with the Department's Enterprise Solution;
- Acquired an Obligations Document management solution for ICE that will be able to integrate with the Department's Enterprise Solution;
- Acquired a Financial Reporting Database that will interface with various ICE financial data sources such as its current financial system (and future DHS Resource Management Transformation Office (RMTO) solution), its payment system, its asset management systems and external financial sources);
- Provided project management support for the financial systems modernization effort;
- Conducted a gap analysis showing discrepancy between current system processing and the DHS Enterprise Solution, and propose resolution of discrepancies; and

- Acquired ICE Fed Traveler Services to support standardizing electronic travel (e-Travel) processing throughout DHS.

FY 2010 - Projected Accomplishments

In FY 2010, ICE will further expand Automation Modernization activities to include the following initiatives: ICE LESM (which includes TECS Modernization) and eHR. ICE will also continue to develop current services projects that were started in FY 2009.

Atlas

The Atlas Program continues to improve information-sharing across the DHS and ICE organizations; strengthen information availability; provide a fully secure IT environment; and improve workforce productivity. Atlas initiatives address infrastructure deficiencies that must be corrected before other Automation Modernization programs can fully deploy planned capabilities.

The following are projected FY 2010 accomplishments:

- Continue modernizing an additional 290 ICE sites with new file and print servers;
- Integrate two additional data collection systems into the ICE data warehouse;
- Initiate modernization of 30% of local office networks to improve the performance of all networked IT systems, leading to increases in workforce productivity;
- Complete the implementation of the IT access audit log management initiative;
- Implement vulnerability scanning tools to quickly detect and respond to IT security breaches; and
- Oversee the migration of ICE IT assets from the Department of Justice to DHS Data Centers.

LESM

The TECS modernization effort will support the investigative arm of ICE and update a 20-year-old legacy system, giving ICE improved capabilities. These improvements will allow for better case management, money laundering tracking and reporting, telephone analysis, intelligence reporting and dissemination, Bank Secrecy Act data access, and statistical performance reporting. Critical to this project is the fact that the legacy system is part of a larger system maintained by CBP, which is undergoing rapid modernization. Projected accomplishments for FY 2010 include:

- **TECS Modernization** – The completion of the requirements definition phase and begin design and development of specific projects from the following: Investigative Case Management, Intelligence Reporting and Dissemination, Management, Management Reporting and Workflow, Security and Oversight, Shared Services, Data Management, Infrastructure Acquisition and Deployment.

- **Mobile IDENT** – The development of the Mobile IDENT proto-type booking service and pilot at three Special Agent In Charge (SAC) offices for user acceptance and gap analysis.
- **ICEPIC** - The hardware upgrade and migration to the enterprise data center as well as the support of the national rollout to all SAC offices.
- **ICE ACCESS** - This initiative will provide requirements gathering with local and State agencies and the U.S. Department of Justice for gang information sharing and data integration. A design strategy will be delivered to plan for the design and development of an integrated solution for the following year.
- **Law Enforcement Information Systems Sharing** – The completion of enhancements for the sharing of images and photos and the continuation of rollout to five additional information sharing partners.
- **Border Enforcement Security Task (BEST) Force Expansion** – The gathering and analysis of the requirements and design for the modernization of BEST information technology.
- **Intelligence Support** –The requirements gathering and design for moving the Data Analysis & Research for Trade Transparency (DARTT) system into the enterprise environment; and the requirements and design for the modernization of Cyber Crimes Center systems and National Child Victim Identification System (NCVIS).
- **International Affairs Modernization** –The requirements gathering and design of the Office of International Affairs (OIA) systems including Parole Case Tracking System (PCTS), Visa Security System (VSP), World Customs Organization Information Sharing (WCO) and Human Resources Dashboard (HRD).
- **Forensic Document Lab** –The requirements and design for the modernization of the information technology infrastructure and moving into the enterprise environment.

DROM

The major goal of DROM is to create an efficient and streamlined process to minimize the length of detention, increase bed utilization efficiency, and increase removal of aliens ordered removed from the U.S. As a result, DROM projects will enable DRO personnel to better manage, track, and report on the movement of aliens through the immigration enforcement lifecycle.

The following are the FY 2010 projected accomplishments:

- Expand EARM to include the eTD, Fugitive Case Management System (FCMS) and Alternatives to Detention Program (ATDP);
- Transition EARM into Full Operating Capability (FOC) status;

- Deploy the BST&T DLT Module and provide training to remaining Areas of Responsibility (AORs) and detention facilities;
- Deploy BST&T, DLT, and CRS Modules to achieve Initial Operating Capability (IOC) status; initial delivery will include the point-in-time inventory capability to establish a strong foundation and framework for the subsequent phases of work;
- Begin development and integration of the final BST&T Module, the Transportation Management System (TMS);
- Continue expanding the eTD system as Memoranda of Understanding (MOUs) are executed for target countries to use eTD for issuing electronic travel documents; and
- Award development contracts for the DRO Document Management System and eVisitor Log.

Electronic Health Records (eHR) System

DIHS provides direct patient care at DRO facilities and oversees managed care services for detainees housed in State, local, and contract detention facilities. DIHS was part of the Department of Health and Human Services (HHS) until October 1, 2007, when it was transitioned to ICE DRO. Prior to 2007 DIHS provided health services through an interagency agreement between ICE and HHS.

ICE is currently assessing DIHS IT infrastructure and systems to ensure adherence with DHS IT standards and alignment with mission and program goals.

The following are the FY 2010 projected accomplishments:

- Award contracts for design and development of a comprehensive certified eHR system including several subsystems;
- Establish an initial planning capability by securing project management office support to manage requirements and expedite documentation;
- Initiate and utilize results of Acquisition Planning and Validation Study to establish the foundation for program execution;
- Develop eHR high-level program control process to establish a comprehensive program management processes to development, integration and testing environment; and
- Develop and assess the alignment of the program to the DHS Enterprise Architecture.

Modernization of Financial System

The goal of the Modernization of Financial System project is to ensure compliance with the DHS financial systems consolidation effort while continuing to modernize ICE financial operations in ways that complement the DHS solution. The objective is to manage the successful migration of ICE FFMS supported financial operations into the consolidated DHS Transformation and Systems Consolidation (TASC) solution.

The following are the FY 2010 projected accomplishments:

- Procure hardware for the Invoice Management System
- Procure hardware for the Obligations Document Repository

- Procure Hardware/Software for Financial Reporting Repository
- Conduct Fed Traveler/Core Financial System Interface Enhancements (replace batch with online interface),
- Establish PMO Support for OFM Modernization.

FY 2011 - Projected Accomplishments

In FY 2011, ICE will further expand Automation Modernization activities to include the following initiatives: Atlas Cyber Security Modernization; Atlas Tactical Communications; and the ICE Decision Support Program. ICE will also continue to complete projects that were started in FY 2009.

Atlas

The Atlas Program will continue to provide integrated sound program management support for the FY11 initiatives, and the ongoing multi-year program activities that were funded in prior years, plan future program activities, and ensure program adherence to cost, schedule, and performance goals. Planned accomplishments for the specific Atlas projects are as follows:

Atlas IT Infrastructure (\$9 million)

In FY 2011, the Atlas IT Infrastructure project will continue modernization of field office networks to replace many legacy ICE LANs that do not have sufficient data transmission capabilities and improve the performance of all networked IT systems.

Atlas Tactical Communications (\$8 million)

In FY 2011, the Tactical Communications project will acquire P25-compliant tactical communications equipment to modernize tactical communications systems in the fourth region, the Chicago Region (states of Illinois, Kentucky, Indiana, Missouri, Kansas, and Wisconsin). The modernization in the Chicago Region will include infrastructure and subscriber equipment, as well as system and subscriber training for ICE agents and officers, ensuring they understand how to use the modernized communications systems to support their mission-critical operations.

Atlas Cyber Security Modernization (\$8 million)

In FY 2011, the Atlas Cyber Security Modernization project will:

- Improve intelligence fusion capability to give ICE the required intelligence information needed to identify state-sponsored attacks that otherwise may go undetected and to implement cross domain solutions to facilitate information sharing with Federal, State, and local partners;
- Continue integrating Single Sign-On (SSO) capability into the ICE enterprise
- Establish the basic EOC facility footprint for the future build out of the Service Desk, the Network Operations Center, Security Operations Center, National Law Enforcement Communications Center, Law Enforcement Service Center, ICE Reporting and Operations Center and Sensitive Compartmented Information Facility in subsequent years; and
- Provide a Configuration Management Program and Mobile Code Signing capability.

LESM (\$38.7 million)

Projected accomplishments for FY 2011 include the following project milestones:

- **TECS:** Continue design and development of specific projects from the following: Investigative Case Management, Intelligence Reporting and Dissemination, Management, Management Reporting and Workflow, Security and Oversight, Shared Services, Data Management, Infrastructure Acquisition and Deployment.
- **Mobile IDENT** – Launch a web interface capability. Replace existing technology to include upgrading workstations supporting Mobile IDENT.
- **ICEPIC** – Development of a reporting database to include mapping to the TECS Modernization efforts. Enable and expand link analysis, global name resolution, and geospatial capabilities within ICEPIC.
- **ICE ACCESS** – Build upon requirements developed in FY 2010. Integrate infrastructure requirements within ICEPIC.
- **Law Enforcement Information Sharing Service (LEISS)** – Complete development for two factor authentication. Expose law enforcement data to first responders and emergency management teams within ICE and potentially across department. Continue the rollout to five additional information sharing partners.

DROM (\$9 million)

In FY 2011, DROM will:

- Complete deployment of BST&T DLT and Central Reservation System (CRS) Modules;
- Continue development and integration of the final BST&T Module, TMS, and achieve initial operating capacity (IOC); and
- Complete development and integration of eVisitor Log.

Electronic Health Records System (\$7 million)

In FY 2011, the eHR Program office will design and develop the eHR “Core Capabilities” and deploy the system to the 24 DIHS facilities within two releases (utilizing FY 2010 funding). Projected accomplishments for FY 2011 include the following project milestones:

- Configure and develop interfaces, complete testing and prototype testing, and initiate deployment of a eHR application to support ICE medical operations at DIHS-staffed detention facilities; and
- Begin deployment of appropriate eHR capability to over 24 DIHS staffed facilities and the 350 Intergovernmental Service Agreements (IGSA) and Contract Detention Facilities (CDF) housing ICE detainees.

Financial System Modernization (\$3 million)

- Develop system integration plans for the interfacing of ICE's non-core financial systems with Department's Enterprise Solution.
- Prepare detailed migration plans to transition ICE's current financial processing system into the Department's Enterprise Solution.
- Prepare detailed test and evaluation scenarios to verify system functionality and determine level of compliance.
- Cleanse ICE's current financial systems data to ensure smooth migration to the Department's Enterprise Solution.

ICE Decision Support Program (\$2 million)

Projected accomplishments for FY 2011 include the following project milestones:

- Integrate information from additional enforcement systems into the ICE data warehouse;
- Integrate data from the Law Enforcement Modernization project into the ICE Enterprise Data Warehouse (EDW) and provide reporting capabilities;
- Integrate data from DROM/BST&T modules into the ICE EDW and provide reporting capabilities;
- Develop & Implement Executive Dashboards (SEVIS II & BST&T);
- Continue integration of ICE internal and external data into the ICE EDW; and
- Continue to support Secure Communities initiated application developments by integrating additional data into the ICE EDW.

IV. Program Justification Changes

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Justification of Program Changes
(Dollars in Thousands)

Program Increase 1: Law Enforcement Systems Modernization
PPA: Automation Modernization
Program Increase: Positions 17, FTE 17, Dollars \$38,700
Strategic Goal(s) & Objective(s): 5.1 Strengthen and Unify DHS Operations and Management
Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							17	17	38,700
Total Request	5	3	15,700	17	9	49,800	17	17	38,700

Description of Item

The ICE Law Enforcement Systems Modernization initiative includes a number of case management, information sharing and operational support service projects that will improve ICE law enforcement personnel's access to law enforcement information. The ICE Law Enforcement Systems Modernization investment provides funding of \$38.7 million, to include 17 FTEs, allocated according to the following:

Personnel costs (\$1.8 million, 17 Positions, 17 FTEs):

- 12 - IT Specialists (\$1.4M)
- 5 - Contracting Specialists (\$.4M)

Non-Personnel Costs (\$36.9 million):

- TECS Modernization (\$26.0 million) – This system will modernize the existing TECS functions which are specific to ICE. These include Investigative Case Management, Intelligence Reporting and Dissemination; Bank Secrecy Act data access; Money Laundering reporting and tracking; and Telephone Link analysis. The modernization of the functions will enhance ICE's ability to share law enforcement information with both Federal and non-Federal entities. TECS modernization is a joint CBP and ICE initiative. CBP commenced its modernization effort in FY 2005; ICE began its modernization effort in FY 2008. ICE must ensure that it is ready to move to the modernized system at the same time as CBP decommissions the existing TECS platform or ICE will be required to shoulder the entire Operations and maintenance costs of the legacy TECS platform (estimated to be between \$25 and \$40 million annually).

Other Law Enforcement Systems Modernization (\$10.9 million):

- Mobile IDENT (\$2.4 M) – This project will give ICE agents the ability to identify and process an individual in the field using mobile processing units. Currently suspected illegal aliens are transported to brick and mortar facilities for fingerprint identification (IDENT). Mobile IDENT decreases transportation costs and increases officer safety by reducing the number of instances of alien transport.
- ICEPIC (\$3.0 M) - DHS is embarking on a Regional Sharing Service (RSS) initiative that will deploy the required information sharing technologies and operating policies in compliance with the Information Sharing Environment's (ISE) architecture framework. The data exchange between ICEPIC and external agencies will be Global Justice XML Data Model (GJXDM) and National Information Exchange Model (NIEM) compliant. It will improve information sharing between ICE and other law enforcement agencies, including its State and local partners.
- ICE ACCESS (\$2.4 M) – This initiative provides the resources to help ICE's state and local partners in the ICE ACCESS program and will integrate ICE information on gangs with U.S. Department of Justice's database.
- LEISS (\$3.1 M) - ICE is the steward for the Department in the Law Enforcement-Shared Mission Community (LE-SMC) space and responsible for development, coordination and support of policies, procedures, and processes that facilitate the mission and DHS Secretary priorities for information sharing.
- BEST Expansion (\$0.0 M) – This initiative supports IT integration and information sharing for the Office of Investigations' Border Enforcement Security Task Forces, multi-agency task forces with State, Federal, and local participation to combat border crime.

Justification

Approval of the LESM initiative will provide ICE with improved interoperability with DHS and other Federal law enforcement and homeland security intelligence analysis toolsets; enhanced quality law enforcement information sharing within, and external to DHS; and improved collection of more consistent, timely, and accurate performance information on law enforcement activities and outcomes. It will expand the ability of DHS to collect data using Federal standardized data formats and support investigators with a primary source for information sharing within the ISE (Information Sharing Environment) and national Law Enforcement (LE) community.

The TECS modernization effort will support the investigative arm of ICE and update a 20-year-old legacy system, giving ICE improved capabilities for case management, money laundering tracking and reporting, telephone analysis, intelligence reporting and dissemination, Bank Secrecy Act data access, information sharing of subject record data, and statistical/performance reporting.

LESM funding will also support the following projects:

- Mobile Automated Biometric Identification System (IDENT) – This project gives ICE agents the ability to identify and process an individual in the field using mobile processing units. Currently, suspected illegal aliens are transported to brick and mortar facilities for fingerprint identification. Mobile IDENT decreases transportation costs and increases officer safety by reducing the number of instances of alien transport.
- ICE Pattern Analysis and Information Collection System (ICEPIC) - ICEPIC provides the capability to generate statistics, enact geospatial data, and link analysis for terrorist activities. ICEPIC is also the part of the information sharing initiative that allows the integration of all law enforcement data into a single repository and allows the data to be shareable to Local, State and Federal law enforcement agencies.
- ICE ACCESS – This initiative provides the resources to help ICE’s State and local partners in the ICE ACCESS program and will integrate ICE information on gangs with U.S. Department of Justice’s gang database.
- Law Enforcement Information Sharing System (LEISS) - ICE is the steward for DHS in the Law Enforcement-Shared Mission Community (LE-SMC) space and is responsible for development, coordination, and support of policies, procedures, and processes that facilitate the mission and DHS Secretary priorities for information sharing.

The proposed increase will result in a significant increase in the quantity and quality of criminal cases presented for prosecution, as well as an increase in the number and types of data/information shared with Federal, State, local, and tribal entities. The resulting overall enhanced enforcement activity will create a deterrent effect and increase the discovery of violations and speed the identification of offenders for arrest and prosecution.

Impact on Performance (Relationship of Increase to Strategic Goals)

ICE will collaborate with CBP to define the Service Oriented Architecture (SOA) for the entire TECS/Case Management (CM) solution. The TECS/CM architecture will align with services defined in the DHS Enterprise Architecture (EA) Service Reference Model (SRM). The architecture will make maximum use of services previously created by other DHS and Federal agencies, as well as ensure that new services developed by the TECS/CM program are reusable with DHS. Additionally, the ICE ACCESS project will enable the integration with DOJ, state and local agencies further improving information sharing efforts and providing increased officer safety.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Justification of Program Changes
(Dollars in Thousands)

Program Increase 2:

Atlas Tactical Communications

PPA: Automation Modernization

Program Increase: Positions 0, FTE 0, Dollars \$8,000

Strategic Goal(s) & Objective(s): DHS Goal 3 – Protect Critical Infrastructure; DHS Objective 3.1 – Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollar s (\$000)	Pos	FTE	Dollar s (\$000)	Pos	FTE	Dollar s (\$000)
Current Services Level							-	-	-
Program Increase							-	-	8,000
Total Request	-	-	10,000	-	-	-	-	-	8,000

Description of Item

Non-Personnel Costs (\$8.0 million):

- Tactical Communications P25 Upgrade (\$7.0M) - Resources will be used to upgrade tactical communications in one ICE operational region. ICE will complete the upgrade through the replacement of legacy tactical communications infrastructure and radio subscriber equipment with state-of-the-art, digital, encrypted, narrowband, P25-compliant wireless infrastructure and subscriber equipment.
- Program Management Office (PMO) Support (\$1.0M)- Used to staff contractor PMO to provide integrated support for the ongoing FY11 initiatives, plan future program activities, and ensure program adherence to cost, schedule, and performance goals.

Justification

Through the deployment of state-of-the-art tactical communications and upgrade to P25 compliant technologies, this initiative will provide improved communications, interoperability and coordination for ICE personnel during field operations. Coordinated implementation efforts will reduce infrastructure dependency, address areas of poor coverage and interoperability, provide economies of scale, and improve mission effectiveness. Front-line law enforcement personnel will realize the benefits of interoperable P25-compliant tactical communications systems equipped with secure, digital, spectrum efficient technology.

Impact on Performance (Relationship of Increase to Strategic Goals)

The Atlas Tactical Communications initiative executes the actions required to provide this

modernized communications infrastructure, improving ICE law enforcement and homeland security personnel's tactical communications capabilities in key locales (e.g., interior of the country, cities, and major transport routes), and among law enforcement and public safety organizations who collaborate to mitigate future threats. As the Atlas Tactical Communications initiative represents an investment in voice and data communications technologies, the end product establishes a 24 hour a day communications system nationwide, complete with support services. A centrally managed and coordinated approach to this initiative ensures implementation of common, standards-compliant technologies, fostering interoperability within ICE and with DHS, other Federal agencies, and State and local partners for event management and crisis response.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Justification of Program Changes
(Dollars in Thousands)

Program Increase 3: Atlas IT Infrastructure
PPA: Automation Modernization
Program Increase: Positions 1, FTE 1, Dollars \$9,000
Strategic Goal(s) & Objectives: 5.1 Strengthen and Unify DHS Operations and Management
Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollar s (\$000)	Pos	FTE	Dollar s (\$000)	Pos	FTE	Dollar s (\$000)
Current Services Level							-	-	-
Program Increase							1	1	9,000
Total Request	1	1	13,000	1	1	12,200	1	1	9,000

Description of Item

DHS must be able to share information with Federal, State, local, and homeland security partners. This initiative will improve information-sharing across the DHS and ICE organizations, strengthen information availability, provide a fully secure IT environment, improve workforce productivity, and migrate ICE infrastructure to the DHS One Network. Meeting these program goals will directly improve the quality, speed and extent to which ICE can enforce trade and immigration laws, control our borders, prevent terrorist acts, and respond to national emergencies.

Personnel costs (\$0.1 M, 1 Position, 1 FTE)

- 1 - Contracting Specialist (\$.1M)

Non-Personnel Costs (\$8.9 million):

- Local Area Network (LAN) modernization initiative (\$4.8M) – Provides funding to continue the four-year project to modernize network infrastructure at approximately 750 ICE locations by upgrading legacy local area networks (LANs) to provide increased performance, security, and reliability. LAN infrastructure provides the "last hundred feet" connecting each user's desktop to the DHS OneNet. It is therefore a critical component required to access most ICE mission-critical applications (such as investigative information databases and detention management systems). The AITI project is projected to upgrade 200 switches at various sites in CONUS for FY11.
- Emergency Servers/Atlas Infrastructure (\$3.1M) – Provides funding for continued operations of servers and switches in support of the consolidation effort as well as emergency servers and switches. This also includes servers and switches needed for reliability, security, and performance expansion and enhancement at various sites. There are a number of sites that have been and will be serviced by the Atlas IT Infrastructure

project that will change in size, mission, and configuration during the length of the project and thus will need to be revisited to ensure appropriate security, reliability, and performance.

- Program Management Office (PMO) / Mission Support (\$1.0M) – Project level contribution to the Atlas Program Management Office funds for the contractor positions dedicated to the effective management of program investments. The PMO Support will continue to ensure adherence to cost, schedule, and performance goals for the Atlas program and report as required to the governing oversight entities.

Justification

Atlas activities planned in FY 2011 address infrastructure deficiencies that must be corrected before other Automation Modernization programs can fully deploy planned capabilities. Without these investments:

- ICE will be unable to complete the foundation of its DHS-wide law enforcement information sharing strategy, which is critical to support cost efficient expansion of ICE's enforcement mission through several related ICE and DHS IT modernization efforts;
- Ongoing Atlas Automation Modernization projects that rely on the current government and contractor PMO support to perform required project management and reporting will experience increased cost, delayed schedule and reduced performance.

Impact on Performance (Relationship of Increase to Strategic Goals)

Atlas IT Infrastructure will automate inadequate reporting capabilities to drastically improve the quality, speed, and extent to which ICE can investigate violations of law, prevent acts of terrorism, and remove detained aliens by completing a multi-year investment to integrate ICE data and share ICE data with other enforcement agencies.

The ICE mission information sharing project improves sharing of investigative and enforcement data within ICE, with other DHS components and with other Federal, State, local and tribal law enforcement partners. Therefore, this project is a cornerstone in the national strategy to share law enforcement information and secure our homeland.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Justification of Program Changes
(Dollars in Thousands)

Program Increase 4: Detention and Removal Operations Modernization
PPA: Automation Modernization
Program Increase: Positions 14., FTE 14, Dollars \$9,000
Strategic Goal(s) & Objectives: 5.1 Strengthen and Unify DHS Operations and Management
Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollar s (\$000)	Pos	FTE	Dollar s (\$000)	Pos	FTE	Dollar s (\$000)
Current Services Level							-	-	-
Program Increase							14	14	9,000
Total Request	6	6	11,300	8	8	20,000	14	14	9,000

Description of Item

The Office of Detention and Removal Operations Modernization (DROM) Program was established to oversee the systems upgrades and improvements of DRO business processes for the detention and removal of illegal aliens from the United States. The DROM program is designed to improve the following:

The DROM program is designed to improve:

- **Real-time dynamic reporting on statistics and metrics** - for events from apprehension through the detention and removal process;
- **Detainee management** – including the ability to identify the status of an individual alien’s case from apprehension to removal;
- **Management of detention beds and detainees** - including the ability to track, count and manage detainees, including a system that stores all alien’s data for providing DRO personnel with necessary information to expedite the removal process;
- **Bed-space availability management system** - to provide real-time visibility into the availability of beds by location, by relative likelihood of availability, by alien characteristic or classification, and to explore the capability of any potential system to make reservations and cancellations; and
- **Transportation management** - for the scheduling and routing of detainees for detention and removal, and to improve fleet management and coordination of transportation events and needs.

The DROM investment provides funding of \$9.0 million, to include 14 positions, allocated as follows:

Personnel costs (\$1.6 million, 14 Positions, 14 FTEs)

- 11 - IT Specialists (\$1.3M)
- 3 - Contracting Specialists (\$.3M)

Non-personnel costs (\$7.4 million):

- **Bed Space and Transportation System (BST&T) (\$6.3 Million)** – This system will create an automated bed space management process to track detainee movements and identify detainees during transfers through the use of mobile biometric identification devices. Funding will support development of the Transportation Management System module (TMS) which will provide consistent automation of transportation transactions, provide decision support for complex moves, streamline communication and work flow, and provide the ability to measure and monitor transportation efficiency.
- **Systems Support (\$1.1 Million)** – These resources will provide Project Management Office support for cost, schedule, and performance.

Justification

A critical component in achieving the SBI goal of eliminating “catch and release” policies is to dramatically improve bed space utilization through improved communication and coordination between DRO and apprehending entities. The lack of visibility into available bed space and contrasting bed space management processes across the different DRO field offices has created many impediments to improving resource and bed space utilization. Most notably, DROM is an integral part of augmenting existing booking and removal case management systems to address specific requirements called for in the Secure Communities Initiative (SCI) Strategic Plan, such as automated detainer distribution, enhanced custody transfer coordination, and expanded use of electronic travel documents.

Noted as being a major driver of detention and removal cases in the DRO Secure Communities Initiative Strategic Plan, the DROM Program allows SCI to leverage efficiencies generated through technology modernization projects. The DROM projects support the SC program by providing the automated systems necessary to ensure criminal aliens are not released into the community due to a lack of detention space.

This initiative will support the systems upgrades and improvements of DRO business processes for the detention and removal of illegal aliens from the United States, as well as support the requirements of the Secure Border Initiative (SBI). DROM will effect improvements in the areas of real-time dynamic data reporting, detainee management, management of detention beds and tracking detainees, bed-space availability management, and transportation management for detention and removals. The DROM Investment provides solutions to improve DRO performance and provide enhanced operational capability in the following areas targeted for improvement:

- **Real-time dynamic reporting on statistics and metrics** for events from apprehension through the detention and removal process enhancing ability to monitor and control DRO operations (aggregate and individual aliens); the systems will contain data on all removable illegal aliens, including fugitives and criminal aliens. DRO systems will have

the ability to link operational performance to financial budgets and plans. Additionally, efforts to create an operational data warehouse to support ad-hoc reporting on DRO operations will be feasible with the deployment of new applications capable of standardizing the data for analysis

- **Case management**, providing DRO the ability to identify the status of an individual alien's case from apprehension to removal (e.g. awaiting credible-fear review, awaiting travel-document issuance) and identify an individual alien's case status to improve efficiencies in the removal process; this will reduce significant liability-potential for DRO and its managers in this area, as the day-to-day operations for bed space, transportation, and detainee location tracking will be automated and consistent across DRO facilities. Data, including invoice verification, will be kept in a standardized system, eliminating duplication of information. Finally, interoperability between DRO and most of the detention facilities that it uses will be achieved.
- **Management of detainees** to expedite the removal process by providing the capability to track the location of, count and manage detainees, including the DRO system that will store alien data (e.g., property management) for providing DRO personnel with necessary information; the DROM systems deployment will be highly effective in managing an increasing detainee population that has to this point further aggravated an already overburdened manual system with limited resources.
- **Bed-space availability management system** that provides DRO real-time visibility into the availability of beds by location, by relative likelihood of availability, and by alien characteristic or classification, and integrated with a central reservation system to make reservations and cancellations to maximize efficiencies in identifying and assigning available beds, and to shorten the average duration for detention, thereby increasing throughput across the enterprise. This will eliminate reliance on existing manual, ad-hoc methods of tracking bed space which result in unnecessary transportation costs and pose an increased risk to DRO officers and the general population should inadequate housing be available.
- **Transportation management** for scheduling and routing detainees for detention and removal to improve fleet management, coordination of transportation events and needs, and monitor and evaluate transportation performance. DRO will be able to improve the integration of inbound, outbound and inter-facility transportation management, thus increasing the ability to provide proactive planning and decision-making. Additionally, there will be integration between proposed systems.

Impact on Performance (Relationship of Increase to Strategic Goals)

The DROM project improves the process of apprehending, detaining, and removing illegal aliens. New systems built to support the booking process allow simultaneous, streamlined booking of multiple aliens. As a result, physical booking workflows will no longer have to mimic inefficient systems requirements and can instead focus on meeting more important business needs such as officer safety and improved speed. Along with major speed

improvements, redesigned workflows also lead to significant quality and accuracy improvements. Data entry error rates concerning subject biographical information will decline as a result of process improvements made possible by new system capabilities and improvements.

The DROM project will improve ICE's ability to share immigration and detention data and ultimately, the capability to track and identify an individual alien throughout the apprehension, detention and removal process and will improve the management and oversight of detention bed and transportation resources.

DROM will also have a significant impact on ICE's interaction with state and local enforcement. State and local law enforcement authorities are becoming increasingly important DROM stakeholders due to the information shared from the detention and removals data through EARM. These authorities may identify, process, and when appropriate, detain immigration offenders they encounter during their regular, daily law-enforcement activity. DROM Enhancements enable ICE to provide more accurate and timely information which is crucial to the success of this program with state and local partners. This capability is key in allowing ICE to comply with Section 287(g) of the Immigration and Nationality Act aimed at multiplying the ICE forces through enhanced cooperation and communication with state and local law enforcement.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Justification of Program Changes
(Dollars in Thousands)

Program Increase 5: Electronic Health Records
PPA: Automation Modernization
Program Increase: Positions 4, FTE 4, Dollars \$7,000
Strategic Goal(s) & Objectives: 5.1 Strengthen and Unify DHS Operations and Management

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							4	4	7,000
Total Request	-	-	-	4	2	5,000	4	4	7,000

Description of Item

The Division of Immigration Health Services (DIHS) serves as the health authority for ICE on all matters related to detainee health care. DIHS provides direct patient care at 24 detention facilities and authorizes managed care services to ICE detainees housed at over 350 contracted detention facilities nationwide. Its detainee population has increased by more than 30 percent since 2004, and the number of facilities that DIHS staffs and oversees expanded from 12 sites in 2004 to 26 sites. This growth significantly increased the complexity of the DIHS role to provide effective and reliable health care service to ICE detainees in support of the ICE mission.

Personnel costs (\$0.4 million, 4 Positions, 4 FTEs):

- 2 – IT Specialists (\$.2M)
- 2 – Contracting Specialists (\$.2M)

Non-personnel costs (\$6.6 million):

- Key System Interfaces (\$1.4 M) – Funding will support partial development of interfaces with key DHS systems, such as EARM, as well as with key external systems, such as the Bureau of Prisons’ Sentry system.
- Development of eHR Core Module (\$4.7M) – Funding will support initial development of an integrated electronic medical records system with basic core functionality for clinic support.
- eHR Planning and Program Control Support (\$0.5M) – Resources to provide Project Management Office (PMO) support. Includes resources to develop consistent management processes and practices; assist with Capital Planning and Investment

Control (CPIC) requirements; respond to queries from oversight entities; and apply standardized cost, schedule, performance and risk management practices for the project.

Justification

Medical encounters of these detainees are recorded in paper-based systems and disparate IT applications throughout the ICE environment. The applications are not integrated and information is not readily available between sites. The system lacks critical components currently available in Health Information Technology (HIT) certified by the federally endorsed, Commission on the Certification of Health Information Technology (CCHIT) and compliance with other applicable HIT guidelines.

The FY 2011 request will allow DRO to begin the design and development of the DIHS eHR system. The eHR will provide the needed capability for DRO to increase the speed and efficiency of submittal and approval of treatment authorization requests (TARs), and interface with other Federal systems (e.g. ENFORCE, the Bureau of Prisons' Sentry, and Plexus) necessary to track detainees across multiple instances of detention.

Impact on Performance (Relationship of Increase to Strategic Goals)

An eHR that is customized for the needs of detention facilities is necessary in order to maximize efficiencies, reduce medical errors and standardize the care provided to detainees.

Upon successful implementation of this project, the following achievements can be observed:

- Improved services to detainees through faster and timely dissemination of information.
- Appropriate, accurate information to guide medical decisions is available at the time and place of care.
- Improved coordination with DRO staff to ensure medical conditions (i.e. diagnosis and treatment decisions, special needs, and medical alerts) are factored into immigration case management.
- Increased process compliance through improved service delivery and clinical operations to reduce negative patient outcomes (e.g. medication errors, unexpected detainee deaths, and limited access to healthcare).

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Justification of Program Changes
(Dollars in Thousands)

Program Increase 6: Modernization of Financial Systems
PPA: Automation Modernization
Program Increase: Positions 0, FTE 0, Dollars \$3,000
Strategic Goal(s) & Objective(s): DHS Goal- 5 Strengthen and Unify DHS Operations and Management, DHS
Objective- 5.1 Improve Departmental Governance and Performance
Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollar s (\$000)	Pos	FTE	Dollar s (\$000)	Pos	FTE	Dollar s (\$000)
Current Services Level							-	-	-
Program Increase							-	-	3,000
Total Request	-	-	7,000	-	-	3,000	-	-	3,000

Description of Item

Non-Personnel costs (\$3.0 million):

- Identification of Financial Reporting Repository extract, transformation and load requirements for the TASC solution;
- Implementation support of ICE non-core financial systems; and
- Identification of integration requirements of non-core financial systems (Fed Traveler, Invoice Payment, Real Property, Financial Reporting Repository with the TASC solution).

Justification

The Modernization of Financial System initiative supports IT infrastructure optimization and will support the Congressional mandate to consolidate the number of financial systems within DHS. This initiative will support ICE's migration to the new DHS financial system and will result in improved financial services, which in turn will assist ICE in achieving and sustaining unqualified financial audit opinions and performing effective financial management.

The FY 2011 program increase will support the migration of ICE financial systems to the DHS TASC Baseline. This initiative is the continuation of a new initiative from FY 2009. It supports the replacement of FFMS with the DHS TASC system. Additionally, this initiative modernizes ICE's non-core financial systems:

- Replaces the legacy Travel Manager system with the new Fed Traveler DHS standard;
- Replaces ICE's File-OnQ based payment system with a robust commercial-off-the-shelf (COTS) invoice payment solution;

- Provides a business intelligence tool for the Office of Financial Management through a financial reporting repository; and
- Migrates some MS Access-based financial office systems to a SharePoint solution.

The modernized systems will provide greater customer self-service automation (Fed Traveler and OFM Office applications), greater functionality, efficiency and automation support (Invoice Payment), and enhanced reporting (Financial Reporting Repository). They will ensure effective compliance to the Federal Information Security Management Act (FISMA) and Financial Systems Integration Office (FSIO).

Impact on Performance (Relationship of Increase to Strategic Goals)

The Modernization of Financial System Initiative supports DHS Goal - 5 Strengthen and Unify DHS Operations and Management, DHS Objective - 5.1 Improve Departmental Governance and Performance, and is the ICE portion of the DHS enterprise-wide initiative of consolidating a number of financial systems. This initiative will support ICE's migration to the new DHS financial system and will result in improved financial services, which in turn will assist ICE in achieving and sustaining unqualified financial audit opinions and performing effective financial management. The FY 2011 program increase will support ICE's migration to the new Department of Homeland Security's financial system, the TASC Baseline.

Funding this request will ensure that ICE will be able to sustain support for the annual financial statements, audits, and strengthen the resource management reports necessary for the effective stewardship of the resources entrusted to ICE and the customers we serve. Funding will also ensure that ICE will be able to reduce the reliance on a sole source vendor with a proprietary system for its reporting needs.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Justification of Program Changes
(Dollars in Thousands)

Program Increase 7: ICE Decision Support Program
PPA: Automation Modernization
Program Increase: Positions 0., FTE 0, Dollars \$2,000
Strategic Goal(s) & Objectives: DHS Goal 5- Strengthen and Unify DHS Operations and Management, DHS Objective 5.2 Advance Intelligence and Information Sharing Management

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	2,000
Total Request	-	-	-	-	-	-	-	-	2,000

Description of Item

Non-Personnel costs (\$2.0 million):

- LESM Decision Support (\$1.0 million) – This project consists of the development of a new extraction, transformation and loading process for the integration of data from LESM data sources to the EDW. The data will be cleansed into an efficient, standard format to be used for the development of standard reports, statistics, analytics, queries and an executive dashboard via IIDS.
- Executive Dashboards (\$0.7 million) – This project entails developing executive dashboards for SEVIS II and Bed Space and Transportation (BS&T). These dashboards will provide executives with a state of the art user interface for key performance indicators.
- PMO Support (\$0.2 million) – The requested funds will be used to acquire contractor resources to assist with programmatic activities to support the goals and objectives of the IDSP program. This will include development of program documentation, financial analytical reports, project metrics, and standardization of project management processes.
- IIDS (\$0.1 million) – These resources will fund the continued support for the Business Intelligence (BI) tool Hyperion, the middleware WebSphere and the EDW to sustain the reporting needs of the existing customer community. Data from disparate sources have been created to develop comprehensible charts, pivots, reports, statistics and dashboards. Funding for resources is required to maintain IIDS up and running to allow users to report on extensive statistics on a daily, weekly, monthly, quarterly and yearly basis. For example, statistics used for weekly ICE Office of Detention and Removal Operations (DRO) reports are refreshed weekly every Monday morning and data is not altered during the following week unless specifically requested by the user.

Justification

The ICE Decision Support Program (IDSP) facilitates business and organizational decision-making activities across the ICE enterprise. The program is the sponsor of the ICE Integrated Decision Support (IIDS) System which provides ICE law enforcement users with information sharing capabilities by addressing information sharing and applications interoperability. The IIDS application implements business and organizational decision support services by using interactive business intelligence tools intended to enhance law enforcement data sharing.

The program's goal is ultimately to assist law enforcement agents and ICE decision makers in collecting and generating data to aid them in their investigative, intelligence, and case management activities. IIDS is the program's vehicle in providing self-service reporting and analysis at everyone's fingertips that allow decision makers to spend less time looking for answers and more time making strategic decisions.

ICE Decision Support Program Characteristics:

- Information Sharing across the ICE enterprise
- Automated, repeatable, model-based procedures for assisting users and managers with coming to an informed decision
- Data Governance to ensure consistent metadata, business rules, and data content throughout the enterprise.
- Standardized Reporting
- Improved Data Quality

The IDSP is also responsible for providing development and support for the maintenance of the ICE Enterprise Data Warehouse (EDW). The EDW provides decision support services across the ICE enterprise to stakeholders in all ICE operational units. Data from across the enterprise is integrated, transformed, cleansed and maintained in the EDW. Access to the data is delivered through multiple presentation layers (e.g., dashboard, reports, statistics, analytics, queries and ad-hoc reporting capabilities). Current and anticipated presentation layers include but are not limited to the following:

- The IIDS executive dashboard
- Office of the Assistant Secretary Decision Support
- The Secure Communities Decisions Support
- Detention and Removal Operations Decision Support
- Office of Investigations Decision Support
- Office of Intelligence Decision Support
- Additional presentation layers as required to support emerging ICE mission requirements

To provide the foundation for the collection and collaboration of information, the ICE Modernization Program (ATLAS), ICE Mission Information Enterprise Query (IMI-EQ) Project procured the hardware (including data storage devices), software and provided partial funding for the initial development necessary to create a common data repository to produce standard and

ad hoc reports. The remaining funding for the initial development was provided by the ICE Office of Detention and Removal Operations (DRO). Consequently, IIDS was initially deployed primarily to the DRO on August 19, 2008. Since its launch, the user community has grown to include the following program offices:

- DRO Executive Information Unit
- DRO Detention Management Division
- DRO Removal Management Division
- DRO Criminal Alien Division
- DRO Field Operations Division (canned reports)
- Office of State and Local Coordination
- Office of the Assistant Secretary
- Secure Communities Interoperability
- Fugitive Operation Support Center

New initiatives are underway to provide historical, current, and predictive views of business operations to support ICE organizations. This FY 2011 funding request is specifically targeted at the IIDS effort to support various program reporting needs. This investment will provide FY 2011 funding in the amount of \$3.0 million.

Impact on Performance (Relationship of Increase to Strategic Goals)

The ICE Decision Support Program initiative supports DHS Goal - 5 Strengthen and Unify DHS Operations and Management and DHS Objective - 5.2 Advance Intelligence and Information Sharing and will improve information sharing efforts across ICE. The decision support initiative outlined herein supports the larger information sharing goals of the department, as well as strengthening and unifying the operations and management of ICE's mission areas. Specifically, it delivers support to law enforcement officers by capturing and sharing investigative and intelligence data throughout the lifecycle of a case from a single point of access. It creates intelligence and investigation statistics for management, congressional and White House reports.

The most significant improvement to be gained by funding the IDSP will be development towards standardized metrics through ICE Operational Reports, Trend Analysis Reporting, and Statistical Reports. Additional performance gains will be realized through new decision support functionality that includes Ad-Hoc Reporting, the assurance of a Sole Data Source, and Reduce Data Integrity Issues, thus ensuring the highest data quality and reporting information sources available to ICE leadership and the IDSP customers. In addition, it will also reduce time gathering and data massaging from separate, stovepipe applications/databases, as well as reduce the time spent on data reconciliation.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Justification of Program Changes
(Dollars in Thousands)

Program Increase 8: Atlas Cyber Security Modernization
PPA: Automation Modernization
Program Increase: Positions 0, FTE 0, Dollars \$8,000
Strategic Goal(s) & Objectives: 5.1 Strengthen and Unify DHS Operations and Management
Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollar s (\$000)	Pos	FTE	Dollar s (\$000)	Pos	FTE	Dollar s (\$000)
Current Services Level							-	-	-
Program Increase							-	-	8,000
Total Request	-	-	-	-	-	-	-	-	8,000

Description of Item

This funding request is specifically targeted at creating a robust IT environment where individual systems are hardened, authentication is hardened, and ICE has increased capability to identify threats and react in much more effective manner.

Non-Personnel costs (\$8.0 million):

- Intelligence fusion capability (\$2.3 M): Improve intelligence fusion capability, centered on connectivity to the Joint Worldwide Intelligence Communications System (JWICS), Homeland Secure Data Network (HSDN), and state-of-the-art SOC capabilities to give ICE the required intelligence information needed to identify state-sponsored attacks that otherwise may go undetected. This capability will also implement cross domain solutions to facilitate information sharing with Federal, State, and local partners.
- Enterprise Cyber Identity Management (\$1.0 M): Continue integrating Single Sign-On (SSO) capability into the ICE enterprise, which will give ICE the ability to provide Project Management Office and Engineering support to maintain and expand service offerings for SSO Stewardship, Public Key Infrastructure (PKI) stewardship, as well as support for HSPD-12 across the department.
- Enterprise Operations Center (EOC) (\$3.0 M): Establish the basic EOC facility footprint for a purchased/leased facility; buildout and equip the Service Desk, the Network Operations Center, Security Operations Center; the Law Enforcement Service Center; provide the common technical infrastructure; and space necessary for the future build out of, National Law Enforcement Communications Center, ICE Reporting and Operations Center and Sensitive Compartmented Information Facility in subsequent years. The ICE EOC will be instituted in coordination with, and serve as backup to, the DHS enterprise-wide operations center being implemented by U.S. Customs and Border Protection, the

DHS network steward, which is charged with coordinating the DHS enterprise-wide operations center.

- Immediate Security Solutions (\$0.7 M): Continue implementation of recommended security solutions identified as a result of risk assessments, ICE's Top 25 security concerns, and other findings and recommendations.
- Project Management Office (PMO) Support (\$1.0 M): Partial contribution for shared support between the four Atlas Automation Modernization projects, used to staff the contractor PMO to provide integrated sound program management support for the FY11 initiatives, the ongoing multi-year program activities that were funded in prior years, plan future program activities, and ensure program adherence to cost, schedule, and performance goals.

Justification

The Atlas Cyber Security Modernization Initiative will ensure that ICE can protect its sensitive information, provide information integrity, and ensure that its computer enterprise is available to support its missions. It will also ensure that DHS will realize the security and efficiency benefits of a Single Sign-On, PKI and HSPD-12 environment to protect and share information within the Department and with mission partners. Overall, ICE will be able to protect itself against known and suspected threats and attacks, promote increased awareness of security violations, fully integrate information assurance awareness and training activities across the ICE enterprise, improve customer satisfaction, and raise the security baseline, reducing the overall risk to the ICE and DHS environment.

Impact on Performance (Relationship of Increase to Strategic Goals)

This expanded Cyber Defense capability will support the entire ICE computer enterprise. In order to handle the demands imposed by the DHS SOC, each DHS component, including ICE, is required to have its own cyber defense capabilities. All DHS Components are required to build secret compartmentalized information facilities (SCIF) in their SOC/CSIRC facilities, backup facilities, and HQ environments so that necessary intelligence information can be received by cleared personnel to protect ICE IT assets against known or suspected attacks. The certification and accreditation (C&A) effort will integrate hardening guidelines into all ICE systems and applications across the enterprise, thereby protecting assets against known vulnerabilities and reducing the overall risk to DHS. The Cyber Identity Management Services will provide benefit throughout all DHS components with Single Sign-On access to DHS applications, reduced helpdesk calls, and use of HSPD-12 Personal Identity Verification (PIV) cards for access management

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Justification of Proposed Changes in Appropriation Salaries and Expenses
Appropriation Language

For expenses of immigration and customs enforcement automated systems, [\$90,000,000] \$84,700,000, to remain available until expended[: *Provided*, That of the funds made available under this heading, \$10,000,000 shall not be obligated until the Committees on Appropriations of the Senate and the House of Representatives receive an expenditure plan prepared by the Secretary of Homeland Security: *Provided further*, That of the total amount provided under this heading, up to \$10,000,000 may be transferred to U.S. Immigration and Customs Enforcement "Salaries and Expenses" account for data center migration]. (*Department of Homeland Security Appropriations Act, 2010.*)

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	7	12	59,456
FY 2010 Enacted	36	19	90,000
Adjustments-to-Base	-	-	-
Increases	-	-	-
Decreases	-	-	-
Non recur one time cost	(36)	(19)	(90,000)
Total Decreases	(36)	(19)	(90,000)
Total, Adjustments-to-Base	(36)	(19)	(90,000)
FY 2011 Current Services	-	-	-
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Atlas Cyber Security Modernization	-	-	8,000
Atlas IT Infrastructure	1	1	9,000
Atlas Tactical Communications	-	-	8,000
Detention and Removal Operations	14	14	9,000
Modernization	4	4	7,000
Electronic Health Records	-	-	2,000
ICE Decision Support Program	-	-	2,000
Law Enforcement Systems	17	17	38,700
Modernization	-	-	3,000
Modernization of Financial Systems	-	-	3,000
Total, Program Changes	36	36	84,700
FY 2011 President's Budget	36	36	84,700
FY 2010 to FY 2011 Total Change	-	17	(5,300)

C. Summary of Requirements

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	7	12	59,456
FY 2010 Enacted	36	19	90,000
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Decreases	(36)	(19)	(90,000)
Total, Adjustments-to-Base	(36)	(19)	(90,000)
FY 2011 Current Services	-	-	-
Program Changes	-	-	-
Total, Program Changes	36	36	84,700
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total President's Budget	36	36	84,700
Total Change 2010 to 2011	-	17	(5,300)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			President's Budget			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Automation Modernization	36	19	90,000	36	36	84,700	-	17	(5,300)	36	36	84,700	(36)	(19)	(90,000)
Subtotal, Estimates Program Project Activity	36	19	90,000	36	36	84,700	-	17	(5,300)	36	36	84,700	(36)	(19)	(90,000)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	36	19	90,000	36	36	84,700	-	17	(5,300)	36	36	84,700	(36)	(19)	(90,000)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,447	2,190	3,363	1,173
11.3 Other than full-time permanent	128	193	325	132
11.5 Other personnel compensation	9	14	134	120
12.1 Benefits	360	545	982	437
21.0 Travel	28	42	40	(2)
23.3 Communications, utilities, and misc. charges	21	32	30	(2)
25.1 Advisory and assistance services	31,701	47,986	43,865	(4,121)
25.2 Other services	1,476	2,235	2,103	(132)
25.3 Purchases from Gov't accts.	468	709	667	(42)
25.4 O&M of facilities	16	25	23	(2)
26.0 Supplies and materials	2,188	3,312	3,117	(195)
31.0 Equipment	21,614	32,717	30,051	(2,666)
Total, Direct Obligations	59,456	90,000	84,700	(5,300)
Unobligated Balance, start of year	(21,947)	(40,301)	(40,301)	-
Unobligated Balance, end of year	40,301	40,301	40,301	-
Recoveries of prior year obligations	(472)	-	-	-
Total, Other Adjustments	17,882	-	-	-
Total, Direct Obligations	77,338	90,000	84,700	(5,300)

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
GS-15	1	1	1	-
GS-14	5	18	18	-
GS-13	1	17	17	-
Total Permanent Positions	7	36	36	-
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	7	36	36	-
Full Time Equivalent	12	19	36	17
Headquarters	7	36	36	-
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total, Location	7	36	36	-
Average ES Salary	-	-	-	-
Average GS Salary	116,793	111,164	113,388	2,224
Average Grade	14	14	14	-

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Funding Schedule
(Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,447	2,190	3,363	1,173
11.3 Other than full-time permanent	128	193	325	132
11.5 Other personnel compensation	9	14	134	120
12.1 Benefits	360	545	982	437
Total, Total Personnel and Compensation Benefits	1,944	2,942	4,804	1,862
21.0 Travel	28	42	40	(2)
23.3 Communications, utilities, and misc. charges	21	32	30	(2)
25.1 Advisory and assistance services	31,701	47,986	43,865	(4,121)
25.2 Other services	1,476	2,235	2,103	(132)
25.3 Purchases from Gov't accts.	468	709	667	(42)
25.4 O&M of facilities	16	25	23	(2)
26.0 Supplies and materials	2,188	3,312	3,117	(195)
31.0 Equipment	21,614	32,717	30,051	(2,666)
Total, Other Object Classes	57,512	87,058	79,896	(7,162)
Unobligated Balance, start of year	(21,947)	(40,301)	(40,301)	-
Unobligated Balance, end of year	40,301	40,301	40,301	-
Recoveries of Prior Year Obligations	(472)	-	-	-
Total, Adjustments	17,882	-	-	-
Net, Direct Obligations	77,338	90,000	84,700	(5,300)

PPA Mission Statement

In FY 2011, ICE has included several information technology (IT) transformational initiatives into the Automation Modernization program: ICE Law Enforcement Systems Modernization, ATLAS Program – Infrastructure, Cyber Security Modernization, Tactical Communications, Detention and Removals Operations (DRO) Modernization program, and the replacement of ICE's Financial System. The Automation Modernization program will allow ICE to improve information sharing across the Department of Homeland Security (DHS) and ICE organizations, strengthen information availability, improve detainee tracking and preparation of travel documents, provide a fully secure IT environment, and enhance financial management and audit practices.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,447	2,190	3,363	1,173

Permanent Positions includes salaries and benefits for 17 new FTEs in FY 2011, totaling an increase of \$1,173 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	128	193	325	132

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	9	14	134	120

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Benefits	360	545	982	437

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	28	42	40	(2)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes a decrease of \$2 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	21	32	30	(2)

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes a decrease of \$2 thousand for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	31,701	47,986	43,865	(4,121)

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes a decrease of \$4,121 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
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25.2 Other services	1,476	2,235	2,103	(132)
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Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes a decrease of \$132 thousand for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	468	709	667	(42)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 requests a decrease of \$42 thousand for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	16	25	23	(2)

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$2 thousand

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
26.0 Supplies and materials	2,188	3,312	3,117	(195)

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes a decrease of \$195 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
31.0 Equipment	21,614	32,717	30,051	(2,666)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes a decrease of \$2,666 thousand.

I. Changes in Full Time Equivalent

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Changes in Full-Time Equivalents**

	FY 2009	FY 2010	FY 2011
Base: Year-end Actual from Prior Year	11	12	19
INCREASES			
FY 2009 President's Budget Enhancements	7		
FY 2009 Congressional Add-Ons	-		
Hiring for FY 2009 Unfilled Vacancies		6	
FY 2010 Enacted Enhancements		19	
Annualization of FY 2010 Enhancements			17
Sub-Total Increases	7	25	17
DECREASES			
FY 2009 Unfilled Vacancies	(6)		
FY 2010 Transfer to Salaries and Expenses Account		(18)	
Sub-Total Decreases	(6)	(18)	-
Year-end Actual/Estimated FTEs	12	19	36
Net Change from prior year base to Budget Year Estimate	1	7	17

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction



Fiscal Year 2011
Overview
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Immigration and Customs Enforcement Construction

I. Appropriation Overview

A – Mission Statement for Construction

The Construction Program provides housing, processing, medical, administrative, and support facilities needed to assist and meet the needs of Detention and Removal activities. The Construction account funds are available until expended.

B – Budget Activities:

The ICE Construction Program has the authority to plan, design, and construct: housing, and processing, medical, administrative, and support facilities to support the detention of aliens, as well as perform repair and alteration of existing structures.

C – Budget Request Summary:

ICE's Office of Asset Management (OAM) has been recovering and redirecting previous multi-year funds to accomplish critical repairs for the last two years. Critical projects include: adding additional space in processing, medical, administrative, and support facilities; capitol improvement projects to replace critical systems that are approaching their maximum life expectancy; and projects to replace critical systems that are approaching their maximum life expectancy.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security U.S. Immigration and Customs Enforcement Construction

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Construction	9	20,704	-	4,818	-	-	-	(4,818)	-	-	-	(4,818)
Subtotal, Enacted Appropriations and Budget Estimates	9	20,704	-	4,818	-	-	-	(4,818)	-	-	-	(4,818)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	9	20,704	-	4,818	-	-	-	(4,818)	-	-	-	(4,818)

Note: FY 2009 actual obligations include \$16.8 million in carryover funds.

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction
Program Performance Justification
(Dollars in Thousands)

PPA: Construction

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	9	9	20,704
2010 Enacted	-	-	4,818
2011 Adjustments-to-Base	-	-	(4,818)
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	(4,818)

U.S. Immigration and Customs Enforcement does not request funding for Construction in FY 2011. This is a \$4.8 million decrease from the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

ICE relies on a mix of Service Processing Centers (SPCs) that it owns and operates, as well as more than 300 Inter-governmental Service Agreement facilities owned by State and local governments and contractor-owned and operated facilities to house individuals who have entered the United States illegally and are undergoing adjudication. At present, approximately 89 percent of the detainee population is housed at contractor or state or local government-owned and operated facilities, with the remaining 11 percent housed at seven ICE-owned SPCs. The SPCs are located in: Aguadilla, Puerto Rico; Batavia, New York; El Centro, California; El Paso, Texas; Florence, Arizona; Miami, Florida; and Los Fresnos, Texas.

The number of illegal alien detainees held in the DHS/ICE system has risen significantly in recent years, with a corresponding increase in the cost for housing and serving this population.

ICE has included in the Budget a general provision that would allow the Secretary to sell surplus facilities if such sales are deemed to be in the best interest of the Federal government. While privatization is being studied there still remains the responsibility to provide safe and secure facilities for detainees and the ICE detention staff.

In FY 2009, ICE used \$16.8 million in carryover balances from Construction Program funding, and \$3.9 million in Construction funds that were appropriated in FY 2009 for alterations and repairs to existing ICE-owned SPCs.

In FY 2010, ICE is using carry-forward funding and appropriations of \$4.8 million to perform repairs and alterations based on health and safety issues, to maintain ICE-owned facilities.

In FY 2011, as additional requirements for medical, processing, dining, and warehousing grow due to increased populations at the SPCs, ICE constantly scrubs prior activity in the Construction account to determine if any recoveries can be made due to lower than anticipated projects costs. Remaining and recovered funds will be used for critical repairs, to maintain the present level of functionality of the SPCs as well as maintain a small emergency buffer in case of unanticipated failures to critical mechanical/electrical systems or natural disasters. In FY 2011, projects will be limited to health, life, and safety issues.

IV. Program Justification Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

[For necessary expenses to plan, construct, renovate, equip, and maintain buildings and facilities necessary for the administration and enforcement of the laws relating to customs and immigration, \$4,818,000, to remain available until expended: Provided further, That none of the funds made available in this Act may be used to solicit or consider any request to privatize facilities currently owned by the United States Government and used to detain illegal aliens until the Committees on Appropriations of the Senate and the House of Representatives receive a plan for carrying out that privatization.] (Department of Homeland Security Appropriations Act, 2010.)

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	9	9	20,704
FY 2010 Enacted	-	-	4,818
Adjustments-to-Base	-	-	-
Increases	-	-	-
Decreases	-	-	-
Adjustment for Multi-Year Funds	-	-	(4,818)
Total Decreases	-	-	(4,818)
Total, Adjustments-to-Base	-	-	(4,818)
FY 2011 Current Services	-	-	-
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	-	-	-
FY 2010 to FY 2011 Total Change	-	-	(4,818)

C. Summary of Requirements

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	9	9	20,704
FY 2010 Enacted	-	-	4,818
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Decreases	-	-	(4,818)
Total, Adjustments-to-Base	-	-	(4,818)
FY 2011 Current Services	-	-	-
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	(4,818)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Construction	-	-	4,818	-	-	-	-	-	(4,818)	-	-	-	-	-	-
Subtotal, Estimates Program Project Activity	-	-	4,818	-	-	-	-	-	(4,818)	-	-	-	-	-	(4,818)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	-	-	4,818	-	-	-	-	-	(4,818)	-	-	-	-	-	(4,818)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 O&M of facilities	20,704	4,818	-	(4,818)
Total, Object Class	20,704	4,818	-	(4,818)
Unobligated Balance, start of year	(34,598)	(23,128)	(23,128)	-
Unobligated Balance, end of year	23,128	23,128	23,128	-
Recoveries of Prior Year Obligations	(4,235)	-	-	-
Total, Adjustments	(15,705)	-	-	-
Total, Direct Obligations	4,999	4,818	-	(4,818)

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction
Permanent Positions by Grade**

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Grades and Salary Ranges				
GS-13	1	-	-	-
GS-6	8	-	-	-
Total Permanent Positions	9	-	-	-
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	9	-	-	-
Full Time Equivalents	9	-	-	-
Headquarters	1	-	-	-
U.S. Field	8	-	-	-
Foreign Field	-	-	-	-
Total, Location	9	-	-	-
Average ES Salary	-	-	-	-
Average GS Salary	45,943	-	-	-
Average Grade	6	-	-	-

G. Capital Investment and Construction Initiative Listing

The Illegal Immigration Reform and Immigrant Responsibility Act of 1996 and other immigration statutes authorize ICE to detain illegal aliens who are charged with immigration violations, have entered the United States illegally, or have been ordered to leave the country. These aliens can be detained while their immigration proceedings are administered, which in turn facilitates their proper and expedient removal from the country. ICE's Office of Detention and Removal (DRO) administers a national detention program that uses funding appropriated specifically for the care of these aliens and includes the transportation, housing, subsistence, medical care, and guard service necessary to provide safe and humane environments for the detainee population and detention staff. The responsibility begins when a detainee enters DRO custody and continues until the alien can be released into the community or removed from the United States.

The ICE Construction Program provides housing, processing, medical, administrative, and support facilities needed to support the detention of aliens. These expansion projects are part of an ongoing capital investment program that is intended to meet the growing national demand for detention capacity. ICE continues to address the need for bed space and support facilities required to handle the processing and removal of aliens during immigration proceedings, relative to the total number of potentially removable aliens in the country.

Carry-forward funds will be used for maintenance of existing ICE owned SPC.

Facility Repair & Alterations

1. Project Description, Justification, and Scope

Repair and alteration projects are continually identified at existing ICE owned facilities. These projects are not capital construction projects, but are repair and alteration projects necessary to maintain government owned facilities and ensure they comply with life safety requirements and code compliance.

2. Significant Changes

In FY 2010, carryover funds and appropriations within the no-year Construction account will be used for emergency repairs and alterations. Only critical repairs will be funded; all upgrades will be prioritized.

3. Project Schedule

	Work Initiated	Work Completed	Physical Start	Physical Complete	Total Estimated Cost (000)	Total Project Cost (000)
FY 2011 Budget Request	\$0	\$0	10/01/2009	9/30/2010	\$0	\$0

**4. Schedule of Project Funding
(Dollars in Thousands)**

	Prior	FY 2009	FY 2010	FY 2011	Total
Obligation (actual and planned)	\$34,057	\$5,000	\$4,818	\$0	\$43,875
Expenditure (actual and planned)	\$34,057	\$5,000	\$4,818	\$0	\$43,875

Repair and alteration projects are not capital construction projects and are not illustrated in the same manner as capital construction projects. Breakdown of projects related to expenditures is modified to reflect segments of repair and alteration.

5. Method of Performance

All detention-related projects are currently planned, managed, and monitored within the ICE Office of Asset Management. ICE/OAM entered into a MOU with the United States Army Corps of Engineers (USACE) to provide environmental documentation, planning, design, construction, procurement, and management of services to include construction design, planning, and project management.

6. Budget Allocation to Programs

	Allocated Budget (Thousands)
Program	FY 2011
Construction	\$0
Total	\$0

7. Compliance with Applicable Public Laws, Regulations, Standards, and Executive Orders

The United States Army Corps of Engineers (USACE) is responsible for the compliance of all applicable laws, code compliance, regulations and standards for all ICE projects. The services being provided by USACE are managed and monitored by ICE/OAM. ICE projects must comply with the following life-safety codes and standards:

- Local building codes or the latest edition of one of the model building codes, including Uniform Building Code (UBC); Building Officials & Code Administrators International (BOCA); Standard Building Code (SBC); and International Building Code 2000 (IBC)
- National Fire Protection Association (NFPA) Standard 101 Life Safety Code
- National Electric Code

ICE Facilities must also comply with the ICE Detention Design Guidelines (2002 edition), and the ICE Detention Construction Guidelines (2004 edition).

Handicapped accessibility codes and standards apply to ICE facilities as follows:

- Facilities must comply with the Uniform Federal Accessibility Standards, Federal Standard 795
- Facilities should comply with the Americans with Disabilities Act Accessibility Guidelines (ADAAG)

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction
Funding Schedule
(Dollars in Thousands)**

PPA: Construction	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 O&M of facilities	20,704	4,818	-	(4,818)
Total, Object Class	20,704	4,818	-	(4,818)
Unobligated Balance, start of year	(34,598)	(23,128)	(23,128)	-
Unobligated Balance, end of year	23,128	23,128	23,128	-
Recoveries of Prior Year Obligations	(4,235)	-	-	-
Total, Adjustments	(15,705)	-	-	-
Total, Construction	4,999	4,818	-	(4,818)
Full Time Equivalents	9	-	-	-

PPA Mission Statement

The Construction account funds are available until expended. The Construction account uses its resources to plan, construct, renovate, equip, and maintain buildings and facilities necessary for the administration and enforcement of customs and immigration laws.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	20,704	4,818	-	(4,818)

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$4,818 thousand.

I. Changes in Full Time Equivalent

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction
Changes in Full-Time Equivalents**

	FY 2009	FY 2010	FY 2011
Base: Year-end Actual from Prior Year	9	-	-
INCREASES			
Sub-Total Increases	-	-	-
DECREASES			
Adjustments to Base	(9)		
Sub-Total Decreases	(9)	-	-
Year-end Actual/Estimated FTEs	-	-	-
Net Change from prior year base to Budget Year Estimate	(9)	-	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Student Exchange and Visitor Program



Fiscal Year 2011
Overview
Congressional Budget Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Immigration and Customs Enforcement (ICE) Student Exchange and Visitor Program

I. Appropriation Overview

A – Mission Statement for Student Exchange and Visitor Program

The Student and Exchange Visitor Program's (SEVP) mission is to enhance national security by collecting, maintaining, and providing reliable information on foreign students, exchange visitors, and the schools and exchange programs that host them. SEVP is an enforcement tool to assist in keeping our Nation safe while facilitating the participation of students and exchange visitors in the academic programs in the United States.

B – Budget Activities:

SEVP administers the School Certification Program and manages the Student and Exchange Visitor Information System (SEVIS), a web-based system for maintaining information on international students and exchange visitors (F, M, and J visa classifications) in the United States. SEVP also provides outreach and training for SEVIS users. SEVIS is used by the Compliance Enforcement Unit (CEU) to identify foreign students and exchange visitors who fail to enroll or maintain status at their schools. The CEU also uses SEVIS to identify schools and exchange visitor programs that are not in compliance with regulatory requirements.

C – Budget Request Summary:

ICE requests \$120.0 million and 387 positions, 387 FTE, for SEVP in FY 2011. This is the same as FY 2010. The requested funds will provide the resources needed to fund base requirements for salaries and benefits and operational expenses.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Student Exchange and Visitor Program
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Student Exchange and Visitor Program	34	81,002	387	120,000	387	120,000	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	34	81,002	387	120,000	387	120,000	-	-	-	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	34	81,002	387	120,000	387	120,000	-	-	-	-	-	-

Note: 135 FTE are counted in the S&E appropriation that perform SEVP duties and are not included in the SEVP FY 2009 actuals.

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Student Exchange and Visitor Program
Program Performance Justification**
(Dollars in Thousands)

PPA: Student Exchange and Visitor Program

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	34	34	81,002
2010 Enacted	387	387	120,000
2011 Current Services	387	387	120,000
2011 Total Request	387	387	120,000
Total Change 2010 to 2011	-	-	-

U.S. Immigration and Customs Enforcement requests \$120.0 million for this activity. There is no change from the FY 2010 enacted level. In FY 2011, this PPA is estimated to pay \$0.4 million in service-wide costs (e.g., rent, working capital fund).

CURRENT SERVICES PROGRAM DESCRIPTION:

The Department of Homeland Security (DHS), U.S. Immigration and Customs Enforcement (ICE) Student and Exchange Visitor Program (SEVP) works to enhance national security. The program accomplishes this by collecting, maintaining, and providing reliable information on foreign students, exchange visitors, and the schools and exchange programs that host them. SEVP facilitates the participation of students and exchange visitors in the academic programs in the United States and works to ensure that the programs are not used to illegally allow entrance into the country.

SEVP administers the Student and Exchange Visitor Information System (SEVIS). SEVIS collects, maintains and provides information on foreign students, exchange visitors and their dependents on F, M, and J visas while studying in the United States. SEVIS also maintains information on the schools and program sponsors authorized to use SEVIS and host foreign students and exchange visitors. SEVIS assists in the identification of those who are not in compliance with visa rules and immigration law and who may be a threat to national security.

SEVIS is ICE's core technology in this critical homeland security mission. It is the first web-based system that provides real-time, up-to-date information on F, M, and J visa

holders. The system can be accessed at any time making it an effective law enforcement tool used by agencies within the Department of Homeland Security, Department of State, and Department of Justice. SEVIS is used by the Compliance Enforcement Unit (CEU) to identify foreign students and exchange visitors who fail to enroll or maintain status at their schools. SEVP and CEU also use SEVIS to identify schools and exchange visitor programs that are not in compliance with regulatory requirements. Information maintained in SEVIS is instrumental in supporting ICE's role in conducting human smuggling investigations that identify and prosecute criminal organizations involved in the transporting and harboring of illegal aliens into the United States.

All prospective students and exchange visitors are required to pay a SEVP processing fee electronically or by check using the Form I-901 (currently fees are \$200 for F and M visa holders, \$180 for J visa holders and \$35 for some exchange visitors) prior to seeking a visa at consulates and embassies overseas. This fee, in addition to the fees collected from schools seeking certification to host nonimmigrant students, provides the full funding for SEVP, including CEU agents that support enforcement of SEVP policies and regulations. Statutory and regulatory guidance requires SEVP to review its fee structure every two years to ensure that the cost of the services that are provided are fully captured by fees assessed on those receiving the services. The last fee study was completed in FY 2007; a new fee study initiated in FY 2009 is scheduled for completion by the end of the 2nd Quarter of FY 2010 for the FY 2011-2012 program fees.

Key Accomplishments

SEVP operations are dependent on revenue meeting forecasts. In FY 2009, even though fees were increased, there was a revenue shortfall due to application volumes falling below projections, likely due in part to the depressed world economy; SEVP implemented a contingency plan to accommodate the shortfall. SEVP was proactive to ensure enhanced performance as planned but delayed some planned hiring activities for FY 2009 until FY 2010 and FY 2011 to ensure spending did not exceed available funds.

FY 2009 significant SEVP accomplishments included:

- Implementation of the revised fee rule;
- Continued development of a newly configured SEVIS II system that is based on tracking and monitoring individuals rather than records (SEVIS II will be highly interoperable with all of ICE's stakeholders eliminating critical vulnerabilities);
- Increased outreach to the academic and student communities with SEVP Response Center, a dedicated customer information and queries resolution that handles more than 2100 calls monthly;
- Developed and implemented a reorganization plan to establish the management, organization and grade structure to effectively integrate 88 additional FTE for recertification and field liaison activities;
- Developed and implemented a systematic hiring plan to prioritize hiring new positions and fill existing vacancies;
- Developed recertification process and deployment plan for 24 FTE for recertification;

- Developed a revenue contingency plan to monitor fee receipts, project revenue shortfalls and identify potential savings based on current revenues;
- Initiated a new fee study which is scheduled for completion by the end 2nd Quarter FY 2010 for the FY 2011-2012 program fees;
- Completed a 14 city national tour in support of the FY 2009 fee rule resulting in less than 114 comments to this rule;
- Promulgated an Interim Final Rule extending optional practice training to 29 months for those F-1 students in Science, Technology, Education and Mathematics fields;
- Promulgated a Final Rule on extending Optional Practical Training;
- Developed a plan for the digitization of all SEVIS school files with anticipated implementation in January 2011;
- Developed a comprehensive strategy to assume management of eight flight schools previously authorized by the Department of State to provide professional flight training to J visa nonimmigrants;
- Led a significant inter-governmental effort involving various federal components, certified schools and the 56 state Department of Motor Vehicles offices to identify a prescribed information sharing program and a process for exceptions processing;
- Implemented a Strategic Communications program that positions the SEVP director into relationships with key national decision makers such as university and college presidents and provosts; and
- Continued development of SEVP Automated Management System.

FY 2010 planned accomplishments include:

- Hiring of 24 FTE to staff recertification positions within SEVP;
- Hiring of 64 FTEs which will provide assistance to SEVP's stakeholders to improve SEVP's ability to effectively ensure optimal compliance by the academic community with immigration regulation;
- Formulation of comprehensive revision of the sections of 8 CFR 214 under SEVP's authority to clarify the specifications for nonimmigrant students (F and M visas) and exchange visitors (J visas), explain the school certification criteria with more detail, incorporates all comments/questions received since the implementation of SEVIS incorporate significant refinements in policy and procedures, supporting the transition to SEVIS II and deletes obsolete provisions and language;
- Completing fee study and formulating fee rule for FY 2011-2012 program fees with recommendations regarding potential fee adjustments based on revised application volume projections and future program requirements;
- Development of a Border Commuter Regulation that will provide implementing instructions for use of the F3 and M3 visas;
- Completion of the first phase of automated Standard Operating Plans for SEVP; and
- Deployment of SEVP Automated Management System.

For FY 2011, SEVP is not seeking additional resources for staffing increases or new initiatives but a fee study is underway to determine the correct fee amounts to fund SEVP activities. Rather, SEVP will continue to work on the existing initiatives and further execute activities and programs newly established in FY 2009. Also, SEVP will continue working on the development of SEVIS II.

Below is a more detailed analysis of the accomplishments and goals for the ongoing compliance enforcement, SEVIS II, recertification and liaison initiatives that were newly established in FY 2009.

Compliance Enforcement: The budget supports expansion of SEVIS compliance enforcement efforts that are essential to support ICE and DHS strategic objectives to prevent the unlawful exploitation of our Nation's people and institutions by nonimmigrant's violating laws within the homeland, and to enforce nonimmigrant compliance with our immigration, customs, and criminal laws.

FY 2009 significant accomplishments included:

- The Compliance Enforcement Unit (CEU) analyzed 149,114 SEVIS leads in FY 2009, in contrast to 99,546 analyzed in FY 2008. This represents an increase of 50%. The CEU also responded to 132 requests for analysis to support major criminal cases. This is 81% higher than the 73 requests for analytical support in FY 2008. To support these efforts, approximately \$4,880,000 in SEVIS funding was spent on CEU analytical and support contracts.
- ICE Field Agents initiated 3,488 SEVIS investigations in FY 2009, up from 2,317 in FY 2008. This represents an increase of 51% from FY 2008 to FY 2009.
- In FY 2009, SEVIS investigations resulted in 1,033 SEVIS-related arrests, up 27% from the 815 SEVIS arrests made in FY 2008.
- ICE Agents expended 181,990 hours toward SEVIS compliance investigations in FY 2009. This represents a 27% increase from the 142,916 hours expended in FY 2008.
- Approximately \$350,000 in SEVIS funding was spent on surveillance, tracking, utility and specialized IT equipment to support major SEVIS visa fraud investigative activities by field offices.
- Approximately \$105,000 of SEVIS funding was spent to support major visa fraud cases investigating criminal exploitations of SEVIS.

FY 2010 planned accomplishments include:

- The CEU will increase all categories of leads, referrals and arrests by ten percent. To support these cases, SEVP will purchase specialized equipment for surveillance, tracking, utility and IT resources for compliance cases requiring positive identification of foreign nationals during field encounters including mobile biometric identification equipment.
- The CEU will increase major criminal investigative activities involving sensitive national security concerns and major criminal fraud cases by more than ten percent. Key areas where funding will be used include, but are not limited to:

analysis, surveillance, undercover operations, collection of evidence, and prosecutions.

- Increase capability to provide higher-level specialized analytical support for SEVIS major criminal investigations.

For FY 2011, SEVP and OI will hire the remaining 99 out of 129 FTE for CEU activities funded by the fee increase in FY 2009. Hiring of these additional resources was deferred to FY 2011 as part of the revenue contingency plan because of the shortfall in fee receipts beginning in FY 2009. It is expected that the number of new major visa fraud cases will continue to increase in FY 2011. Also, a number of the current major criminal cases are expected to mature to the completion phase.

SEVIS II: Fundamental to the attainment of any DHS and ICE strategic objective to detect and deter threats to our homeland through terrorist exploitation of legitimate student entry pathways into the Homeland is SEVP's ability to collect information and track legitimate non-immigrant students and certified schools. This tracking can only be accomplished through the SEVIS system.

The current SEVIS system does not adequately meet the needs of the national security, law enforcement, and educational institution communities, which all rely heavily on SEVIS data and its interoperability. The SEVIS II initiative supports the DHS Strategic Goal of Prevention, Objective 2.2, Enforce Trade and Immigration Laws. It will meet the needs of the intelligence and enforcement communities increasing the ability to track and monitor individuals; integrate seamlessly with other intelligence systems; and provide real-time critical individual-based information. A newly configured and deployed SEVIS II system based on tracking and monitoring individuals rather than records that is highly interoperable with all of our stakeholders will eliminate critical vulnerabilities.

FY 2009 significant accomplishments included:

- Accommodated the use of biometric information to positively identify students and exchange visitors;
- Improved queries quality via name checks and biological information;
- Provided primary end users (port of entry and departure, and investigators) with the ability to accomplish real-time verification of data; and
- Enhanced search capability, and improved tracking and monitoring systems of other key national security and law enforcement agencies.

FY 2010 planned accomplishments include:

- Continue design and development of SEVIS II system that is based on tracking and monitoring individuals rather than records;
- Work with ICE OCIO to re-baseline the SEVIS II Lifecycle Cost Estimate (LCCE) and development and deployment schedule;
- Present re-baselined SEVIS II project to the DHS Acquisition Review Board (ARB) for formal approval of revised development schedule and LCCE;
- Work with U.S. Citizenship and Immigration Services (USCIS) Transformation Program Office to ensure that key components of SEVIS II development,

including Account Setup, and critical interfaces to USCIS systems are coordinated and delivered in accordance with the revised SEVIS II development schedule;

- Continue full engagement with academic and program sponsor community to ensure that system performance requirements are met and their interests and requirements are fully incorporated into SEVIS II;
- Continue outreach and partnership with Department of State and other DHS partners with the SEVIS II system; and
- Continue operations and maintenance of SEVIS.

In FY2011, SEVP will continue development activities for SEVIS II in accordance with the re-baselined cost and schedule. SEVP will continue to work closely with key program stakeholders in the academic and program sponsor communities and SEVIS II partners to share information and collaborate on development issues. SEVP will continue to operate and maintain SEVIS to fully meet mission requirements until SEVIS II is fully deployed and operational.

Recertification: The Enhanced Border Security and Visa Entry Reform Act of 2002 mandated that DHS conduct recertification of certified educational institutions every two years. SEVP recertification is a review of an educational institution previously certified to affirm that the educational institutions remains eligible and is complying with regulatory recordkeeping, retention, and reporting requirements. The focus of recertification is past performance coupled with a review to ensure that the educational institution maintains its basic eligibility for initial certification. The process may include an on-site visit or review. Approximately 9,200 educational institutions have been certified by SEVP.

FY 2009 significant accomplishments included:

- Completed position descriptions for personnel needed to initiate the recertification process and forwarded to Workforce Management for posting;
- Completed documentation of recertification standard operating procedures and related job aids; and
- Prepared for data migration (from SEVIS I to SEVIS II) associated with recertification of all SEVIS certified schools.

FY 2010 planned accomplishments include:

- Hiring of additional staff to provide a recertification program capability for SEVP;
- Coordinating expanded efforts with the new liaison unit and the already established compliance enforcement unit; and
- Coordinating with SEVP's stakeholders, to include the Department of State, to ensure timely and thorough recertification reviews.

For FY 2011, it is expected that the 33 FTEs for this initiative will be refining their work processes and enabling thorough and timely recertification reviews of educational institutions.

Liaison: The purpose of the SEVP Liaison initiative is to improve dialog and provide assistance between SEVP and the stakeholder communities it serves. Liaisons will proactively provide training as required, disseminate information on policy changes and conduct follow-up visits with stakeholders as needed. Liaisons will be fully trained in all aspects of the Student and Exchange Visitor Program and will be central to ensuring communication between the program and its stakeholders. Liaisons will undergo a comprehensive training program prior to their assignment so that the program can work toward consistency in its policies and procedures. Through the liaisons, SEVP hopes to see improved data integrity in SEVIS. Liaisons will be co-located in ICE Special Agent In-Charge offices across the United States. They will provide assistance to the more than 9,000 schools approved by SEVP as well as stakeholders. The budget request to fund the hiring and deployment of the liaison representatives will enable SEVP to improve its ability to effectively ensure optimal compliance by the academic community with immigration regulations.

Although staffing of the Liaison initiative was deferred due to budget constraints, FY 2009 significant accomplishments included:

- Continued development and refinement of Liaison territories structure and resubmitted request for approval of revised territory (SAC/RAC) offices;
- Development of Liaison training tools; and
- Development of comprehensive remote office and automation support.

FY 2010 planned accomplishments include:

- Hiring additional staff to establish a liaison function for SEVP. These positions and related support costs will provide support to educational institutions that desire to host foreign students and exchange visitors. By statute, these institutions require initial certification by SEVP and subsequent recertification every two years; and
- Coordinating expanded efforts with the new liaison unit and the already established compliance enforcement unit.

For FY 2011, the 64 FTEs for this initiative will have developed a fully functioning and robust liaison program that coordinates on a routine basis with other OI, ICE, DHS, and educational institution stakeholders.

IV. Program Justification Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not applicable.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Student Exchange and Visitor Program
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	34	34	81,002
FY 2010 Enacted	387	387	120,000
Adjustments-to-Base	-	-	-
FY 2011 Current Services	387	387	120,000
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	387	387	120,000
FY 2010 to FY 2011 Total Change	-	-	-

C. Summary of Requirements

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Student Exchange and Visitor Program
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	34	34	81,002
FY 2010 Enacted	387	387	120,000
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
FY 2011 Current Services	387	387	120,000
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	387	387	120,000
Total Change 2010 to 2011	-	-	-

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Student Exchange and Visitor Program	387	387	120,000	387	387	120,000	-	-	-	-	-	-	-	-	-
Subtotal, Estimates Program Project Activity	387	387	120,000	387	387	120,000	-	-	-	-	-	-	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	387	387	120,000	387	387	120,000	-	-	-	-	-	-	-	-	-

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Student Exchange and Visitor Program
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	10,766	15,950	15,950	-
11.3 Other than full-time permanent	17	26	26	-
11.5 Other personnel compensation	118	175	175	-
12.1 Benefits	4,214	6,243	6,243	-
21.0 Travel	1,115	1,652	1,652	-
22.0 Transportation of things	357	529	529	-
23.1 GSA rent	1	1	1	-
23.3 Communications, utilities, and misc. charges	32	47	47	-
25.1 Advisory and assistance services	32,940	48,797	48,797	-
25.2 Other services	7,746	11,476	11,476	-
25.3 Purchases from Gov't accts.	41	60	60	-
25.7 Operation and maintenance of equipment	16,124	23,887	23,887	-
26.0 Supplies and materials	3,047	4,514	4,514	-
31.0 Equipment	4,484	6,643	6,643	-
Total, Object Class	81,002	120,000	120,000	-
Unobligated Balance, start of year	(39,862)	(60,569)	(60,569)	-
Unobligated Balance, end of year	60,569	60,569	60,569	-
Recoveries of Prior Year Obligations	(677)	-	-	-
Total, Adjustments	20,030	-	-	-
Total, Direct Obligations	101,032	120,000	120,000	-

F. Permanent Positions by Grade

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Student Exchange and Visitor Program
Permanent Positions by Grade

Grades and Salary Ranges	FY 2009 EOY Proj. Actual	2010 President's Budget	2011 Request - Guidance	2010 - 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	---	---	---	---
Total, EX	---	---	---	---
GS-15	7	7	9	2
GS-14	36	36	36	---
GS-13	288	288	286	(2)
GS-12	3	3	3	---
GS-11	33	33	33	---
GS-10	---	---	---	---
GS-9	10	10	10	---
GS-8	---	---	---	---
GS-7	10	10	10	---
GS-6	---	---	---	---
GS-5	---	---	---	---
GS-4	---	---	---	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	387	387	387	---
Unfilled Positions EOY	353	15	15	---
Total Perm. Employment EOY	34	372	372	---
FTE	34	387	387	---
Headquarters	96	96	96	---
U.S. Field	291	291	291	---
Foreign Field	---	---	---	---
Total Permanent Positions	387	387	387	---
Average ES Salary	\$ ---	\$ ---	\$ ---	\$ ---
Average GS Salary	\$ 95,867	\$ 98,743	\$ 100,718	\$ 1,975
Average GS Grade	12.70	12.70	12.70	---

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications (object class summary)

Department of Homeland Security U.S. Immigration and Customs Enforcement Student Exchange and Visitor Program Funding Schedule (Dollars in Thousands)

PPA: Student Exchange and Visitor Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	10,766	15,950	15,950	-
11.3 Other than full-time permanent	17	26	26	-
11.5 Other personnel compensation	118	175	175	-
12.1 Benefits	4,214	6,243	6,243	-
21.0 Travel	1,115	1,652	1,652	-
22.0 Transportation of things	357	529	529	-
23.1 GSA rent	1	1	1	-
23.3 Communications, utilities, and misc. charges	32	47	47	-
25.1 Advisory and assistance services	32,940	48,797	48,797	-
25.2 Other services	7,746	11,476	11,476	-
25.3 Purchases from Gov't accts.	41	60	60	-
25.7 Operation and maintenance of equipment	16,124	23,887	23,887	-
26.0 Supplies and materials	3,047	4,514	4,514	-
31.0 Equipment	4,484	6,643	6,643	-
Total, Object Class	81,002	120,000	120,000	-
Unobligated Balance, start of year	(39,862)	(60,569)	(60,569)	-
Unobligated Balance, end of year	60,569	60,569	60,569	-
Recoveries of Prior Year Obligations	(677)	-	-	-
Total, Adjustments	20,030	-	-	-
Total, Student Exchange and Visitor Program	101,032	120,000	120,000	-

PPA Mission Statement

The Student and Exchange Visitor Program (SEVP), which is a division of U.S. Immigration and Customs Enforcement (ICE) administers the School Certification Program and manages the Student and Exchange Visitor Information System (SEVIS), a web-based system for maintaining information on international students and exchange visitors (F, M, J visa classification) in the United States. SEVIS is designed to keep our nation safe while facilitating the participation of students and exchange visitors seeking to study in the United States.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	10,766	15,950	15,950	-

Permanent Positions includes salaries and benefits for 0 new FTEs in FY 2011 and no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	17	26	26	-

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	118	175	175	-

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Benefits	4,214	6,243	6,243	-

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	1,115	1,652	1,652	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	357	529	529	-

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 GSA Rent	1	1	1	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	32	47	47	-

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	32,940	48,797	48,797	-

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	7,746	11,476	11,476	-

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	41	60	60	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 requests no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	16,124	23,887	23,887	-

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	3,047	4,514	4,514	-

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	4,484	6,643	6,643	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes no change.

I. Changes in Full Time Equivalent

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Student Exchange and Visitor Program
 Changes in Full-Time Equivalents

	FY 2009	FY 2010	FY 2011
Base: Year-end Actual from Prior Year	34	34	387
INCREASES			
FY 2009 Enacted Enhancements	126		
FY 2010 Hiring of Delayed Hires from FY 2009		227	
FY 2010 President's Budget Enhancements		126	
Attrition Hiring	8	17	20
Sub-Total Increases	134	370	20
DECREASES			
FY 2009 Cancelled Hires due to Low Collections	-126		
Attrition	-8	-17	-20
Sub-Total Decreases	-134	-17	-20
Year-end Actual/Estimated FTEs	34	387	387
Net Change from prior year base to Budget Year Estimate:	0	353	0

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund



Fiscal Year 2011
Overview
Congressional Budget Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Breached Bond Detention Fund

I. Appropriation Overview

A – Mission Statement for Breached Bond Detention Fund

The Breached Bond Detention Fund was authorized in Section 112 of the Department of Justice Appropriations Act of 1993 (P.L. 102-395). The Act amended Section 286 of the Immigration and Nationality Act (INA) of 1952, as amended, by establishing, in the General Fund of the Treasury, a separate account to be called the Breached Bond Detention Fund. The first \$8,000,000 in breached cash and surety bonds collected goes to the General Fund of the U.S. Treasury. All collections in excess of \$8,000,000 posted under the INA, which are recovered by the Department of Justice, are deposited as offsetting collections into this fund.

B – Budget Activities:

Amounts deposited into the fund, which remain available until expended, can be used for expenses incurred in the collection of breached bonds, bond management, litigation activities to obtain compliance from surety companies found to be delinquent in meeting their obligations, and for expenses associated with the detention of criminal and illegal aliens.

C – Budget Request Summary:

For FY 2011, ICE requests 13 positions, 13 FTE, and \$75,000,000 for new collections and corresponding spending authority. ICE uses this money as part of its overall detention budget and in FY 2011 will allow ICE to fund an estimated 1,541 detention beds and related costs such as healthcare and compliance oversight.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Breached Bond Detention Fund	9	74,895	13	75,000	13	75,000	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	9	74,895	13	75,000	13	75,000	-	-	-	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	9	74,895	13	75,000	13	75,000	-	-	-	-	-	-

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
Program Performance Justification
(Dollars in Thousands)

PPA: Breached Bond Detention Fund

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	13	9	74,895
2010 Enacted	13	13	75,000
2011 Current Services	13	13	75,000
2011 Total Request	13	13	75,000
Total Change 2010 to 2011	-	-	-

U.S. Immigration and Customs Enforcement requests \$75.0 million for this activity. There is no change from the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Breached Bond Detention Fund was authorized in Section 112 of the Department of Justice Appropriations Act of 1993 (P.L. 102-395). The Act amended Section 286 of the Immigration and Nationality Act (INA) of 1952, as amended, by establishing, in the General Fund of the Treasury, a separate account to be called the Breached Bond/Detention Fund. The first \$8,000,000 in breached cash and surety bonds collected goes to the General Fund of the U.S. Treasury. All collections in excess of the first \$8,000,000 are deposited as offsetting collections into this fund. Amounts deposited into the fund, which remain available until expended, are used for expenses incurred in the collection of breached bonds, bond management, litigation activities to obtain compliance from surety companies found to be delinquent in meeting their obligations, and for expenses associated with the detention of criminal and illegal aliens.

All collections in excess of the first \$8,000,000 are deposited as offsetting collections into the Breached Bond Detention fund. Amounts deposited into the fund, which remain available until expended, are used for expenses incurred in the collection of breached bonds, bond management, litigation activities to obtain compliance from surety companies found to be delinquent in meeting their obligations, and for expenses associated with the detention of criminal and illegal aliens.

ICE uses these resources to support bed space and related costs such as healthcare and compliance oversight. These funds also support 13 staff including bond control specialists, immigration enforcement agents, and administrative personnel.¹

¹ Previously, this FTE figure was reported as 63 FTE in the President's Budget FY 2010 request; the revised total of 13 FTE reflects an analysis of active positions currently funded by Breached Bond.

IV. Program Justification Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	13	9	74,895
FY 2010 Enacted	13	13	75,000
Adjustments-to-Base	-	-	-
FY 2011 Current Services	13	13	75,000
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	13	13	75,000
FY 2010 to FY 2011 Total Change	-	-	-

C. Summary of Requirements

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	13	9	74,895
FY 2010 Enacted	13	13	75,000
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
FY 2011 Current Services	13	13	75,000
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	13	13	75,000
Total Change 2010 to 2011	-	-	-

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Breached Bond Detention Fund	13	13	75,000	13	13	75,000	-	-	-	-	-	-	-	-	-
Subtotal, Estimates Program Project Activity	13	13	75,000	13	13	75,000	-	-	-	-	-	-	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	13	13	75,000	13	13	75,000	-	-	-	-	-	-	-	-	-

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	778	779	779	-
11.3 Other than full-time permanent	85	85	85	-
11.5 Other personnel compensation	113	113	113	-
11.8 Special Service Pay	10	10	10	-
12.1 Benefits	289	290	290	-
21.0 Travel	65	66	66	-
23.3 Communications, utilities, and misc. charges	373	374	374	-
25.1 Advisory and assistance services	29	29	29	-
25.2 Other services	2,477	2,481	2,481	-
25.4 O&M of facilities	34,679	34,727	34,727	-
25.6 Medical care	35,603	35,651	35,651	-
26.0 Supplies and materials	70	70	70	-
31.0 Equipment	113	113	113	-
32.0 Land & structures	9	9	9	-
99.0 Other	202	203	203	-
Total, Object Class	74,895	75,000	75,000	-
Unobligated Balance, start of year	(44,381)	(27,076)	(27,076)	-
Unobligated Balance, end of year	27,076	27,076	27,076	-
Recoveries of Prior Year Obligations	(5,147)	-	-	-
Total, Adjustments	(22,452)	-	-	-
Total, Direct Obligations	52,443	75,000	75,000	-

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
GS-11	1	1	1	-
GS-9	12	12	12	-
Total Permanent Positions	13	13	13	-
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	13	13	13	-
Full Time Equivalents	9	13	13	-
Headquarters	-	-	-	-
U.S. Field	13	13	13	-
Foreign Field	-	-	-	-
Total, Location	13	13	13	-
Average ES Salary	-	-	-	-
Average GS Salary	55,490	56,600	57,732	1,132
Average Grade	9	9	9	-

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
 Funding Schedule
 (Dollars in Thousands)

PPA: Breached Bond Detention Fund	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	778	779	779	-
11.3 Other than full-time permanent	85	85	85	-
11.5 Other personnel compensation	113	113	113	-
11.8 Special Service Pay	10	10	10	-
12.1 Benefits	289	290	290	-
21.0 Travel	65	66	66	-
23.3 Communications, utilities, and misc. charges	373	374	374	-
25.1 Advisory and assistance services	29	29	29	-
25.2 Other services	2,477	2,481	2,481	-
25.4 O&M of facilities	34,679	34,727	34,727	-
25.6 Medical care	35,603	35,651	35,651	-
26.0 Supplies and materials	70	70	70	-
31.0 Equipment	113	113	113	-
32.0 Land & structures	9	9	9	-
99.0 Other	202	203	203	-
Total, Object Class	74,895	75,000	75,000	-
Unobligated Balance, start of year	(44,381)	(27,076)	(27,076)	-
Unobligated Balance, end of year	27,076	27,076	27,076	-
Recoveries of Prior Year Obligations	(5,147)	-	-	-
Total, Adjustments	(22,452)	-	-	-
Total, Breached Bond Detention Fund	52,443	75,000	75,000	-
Full Time Equivalents	9	13	13	-

PPA Mission Statement

The Breached Bond Detention Fund was authorized in Section 112 of the Department of Justice Appropriations Act of 1993 (P.L. 102-395). The Act amended Section 286 of the Immigration and Nationality Act (INA) of 1952, as amended, by establishing, in the General Fund of the Treasury, a separate account to be called the Breached Bond/Detention Fund. The first \$8,000,000 in breached cash and surety bonds collected goes to the General Fund of the U.S. Treasury. All collections in excess of \$8,000,000 posted under the INA, which are recovered by the Department of Justice, are deposited as offsetting collections into this fund. Amounts deposited into the fund, which remain available until expended, can be used for expenses incurred in the collection of breached bonds, bond management, litigation activities to obtain compliance from surety companies found to be delinquent in meeting their obligations, and for expenses associated with the detention of criminal and illegal aliens.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	778	779	779	-

Permanent Positions includes salaries and benefits for 0 new FTEs in FY 2011 with no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	85	85	85	-

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	113	113	113	-

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	10	10	10	-

Special Services Pay includes payments for personal services that do not represent salaries or wages paid directly to Federal employees and military personnel.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Benefits	289	290	290	-

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	65	66	66	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	373	374	374	-

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes no change for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	29	29	29	-

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	2,477	2,481	2,481	-

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes no change for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	34,679	34,727	34,727	-

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	35,603	35,651	35,651	-

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	70	70	70	-

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	113	113	113	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	9	9	9	-

Land and Structures includes the costs for land and interests in land; buildings and other structures; roads; additions to buildings; nonstructural (or resource) improvements, such as fences and landscaping; and fixed equipment additions and replacements. The FY 2011 request includes no increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
99.0 Other	202	203	203	-

Other includes charges that cannot be distributed to any of the object classes listed previously.

I. Changes in Full Time Equivalent

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
Changes in Full-Time Equivalents**

	FY 2009	FY 2010	FY 2011
Base: Year-end Actual from Prior Year	9	13	13
INCREASES			
Hiring	4		
Sub-Total Increases	4	-	-
DECREASES			
Sub-Total Decreases	-	-	-
Year-end Actual/Estimated FTEs	13	13	13
Net Change from prior year base to Budget Year Estimate	4	-	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Immigration Inspection User Fees

I. Appropriation Overview

A – Mission Statement for Immigration Inspection User Fees

The ICE Immigration User Fee account is a repository for fees collected from passengers arriving on commercial aircraft and vessels at U.S.-operated air and sea ports of entry as codified in 8 U.S.C 1103, 1356, section 286, the Immigration and Nationality Act. These fees are used to recover some of the costs of ICE operations to deter, detect, detain, adjudicate, and remove passengers attempting to make an unauthorized landing or to unlawfully bring aliens into the United States through air and sea ports. These ICE activities encompass: expanding, operating, and maintaining information systems for nonimmigrant control; detecting fraudulent documents used by passengers traveling to the United States; investigating crimes relating to admissibility and establishing the government's legal position regarding all detentions and representing the government in all legal proceedings involving immigration and admissibility; transportation of detained aliens to immigration legal proceedings who arrive at air and sea ports of entry; providing detention and removal services for inadmissible aliens arriving on commercial aircraft or vessels and for any inadmissible alien who has attempted illegal entry into the United States through avoidance of immigration inspection at air or sea ports-of-entry; and providing training and technical assistance to commercial airline and vessel personnel regarding detection of fraudulent documents; and program oversight and management.

B – Budget Activities:

The Immigration Inspection User Fee will fund 276 ICE positions.

C – Budget Request Summary:

ICE requests 276 positions, 276 FTE, and \$116,387,475 in new collections and corresponding spending authority for FY 2011. The increase from FY 2010 represents a projected increase in fee collections based on increased passenger volume and will allow for the funding of 1,380 detention beds.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Immigration Inspection User Fees	139	106,285	276	109,800	276	116,387	-	6,587	-	-	-	6,587
Subtotal, Enacted Appropriations and Budget Estimates	139	106,285	276	109,800	276	116,387	-	6,587	-	-	-	6,587
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	139	106,285	276	109,800	276	116,387	-	6,587	-	-	-	6,587

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees
Program Performance Justification**
(Dollars in Thousands)

PPA: Immigration Inspection User Fees

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	187	139	106,285
2010 Enacted	276	276	109,800
2011 Adjustments-to-Base	-	-	6,587
2011 Current Services	276	276	116,387
2011 Total Request	276	276	116,387
Total Change 2010 to 2011	-	-	6,587

U.S. Immigration and Customs Enforcement requests \$116.4 million for this activity. This is a \$6.6 million increase from the FY 2010 enacted level, which is for an adjustment in the estimated collection of fees.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Immigration User Fee account was established as a repository for fees collected from passengers arriving at air and sea ports-of-entry on airlines and vessels for immigration inspection and fines imposed to prevent unauthorized landing and unlawful bringing of aliens into the United States, penalties for document fraud, and liquidated damages and expenses collected. The fees cover the cost of providing detention and removal services, investigations, legal proceedings, and intelligence services for the detection of fraudulent documents, supporting immigration inspection and detection of inadmissible aliens arriving on commercial aircraft and vessels and for any inadmissible alien who has attempted illegal entry into the United States through avoidance of immigration inspection at air or sea ports-of-entry. All deposits into the Immigration User Fee account are available until expended. U.S. Customs and Border Protection projects a six percent increase over FY 2010 in air travel and corresponding passenger volume and fee collections during FY 2011.

IV. Program Justification Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not applicable

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	187	139	106,285
FY 2010 Enacted	276	276	109,800
Adjustments-to-Base	-	-	-
Increases	-	-	-
Adjustment for Estimated Fee Collections	-	-	6,587
Total Increases	-	-	6,587
Decreases	-	-	-
Total, Adjustments-to-Base	-	-	6,587
FY 2011 Current Services	276	276	116,387
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	276	276	116,387
FY 2010 to FY 2011 Total Change	-	-	6,587

C. Summary of Requirements

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	187	139	106,285
FY 2010 Enacted	276	276	109,800
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	6,587
Total, Adjustments-to-Base	-	-	6,587
FY 2011 Current Services	276	276	116,387
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	276	276	116,387
Total Change 2010 to 2011	-	-	6,587

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Immigration Inspection User Fees	276	276	109,800	276	276	116,387	-	-	6,587	-	-	-	-	-	6,587
Subtotal, Estimates Program Project Activity	276	276	109,800	276	276	116,387	-	-	6,587	-	-	-	-	-	6,587
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	276	276	109,800	276	276	116,387	-	-	6,587	-	-	-	-	-	6,587

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	9,883	10,210	10,823	613
11.3 Other than full-time permanent	207	214	227	13
11.5 Other personnel compensation	2,091	2,160	2,290	130
12.1 Benefits	4,422	4,568	4,842	274
21.0 Travel	182	188	199	11
22.0 Transportation of things	108	111	118	7
23.2 Other rent	3	3	3	-
23.3 Communications, utilities, and misc. charges	87	90	96	6
25.1 Advisory and assistance services	4,450	4,597	4,873	276
25.2 Other services	29,833	30,821	32,667	1,846
25.3 Purchases from Gov't accts.	18	18	20	2
25.4 O&M of facilities	18,497	19,109	20,255	1,146
25.6 Medical care	14,384	14,860	15,751	891
25.7 Operation and maintenance of equipment	6,537	6,753	7,159	406
26.0 Supplies and materials	10,476	10,822	11,471	649
31.0 Equipment	5,107	5,276	5,593	317
Total, Object Class	106,285	109,800	116,387	6,587
Unobligated Balance, start of year	(69,631)	(71,874)	71,874	143,748
Unobligated Balance, end of year	71,874	71,874	(71,874)	(143,748)
Recoveries of Prior Year Obligations	(3,859)	-	-	-
Total, Adjustments	(1,616)	-	-	-
Total, Direct Obligations	104,669	109,800	116,387	6,587

F. Permanent Positions by Grade

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees
Permanent Positions by Grade

Grades and Salary Ranges	FY 2009 EOY Proj. Actual	2010 President's Budget	2011 Request - Guidance	2010 - 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	---	---	---	---
Total, EX	---	---	---	---
GS-15	---	---	---	---
GS-14	39	39	39	---
GS-13	75	75	75	---
GS-12	50	50	50	---
GS-11	1	1	1	---
GS-10	---	---	---	---
GS-9	93	93	93	---
GS-8	2	2	2	---
GS-7	16	16	16	---
GS-6	---	---	---	---
GS-5	---	---	---	---
GS-4	---	---	---	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	276	276	276	---
Unfiled Positions EOY	---	---	---	---
Total Perm. Employment EOY	276	276	276	---
FTE	276	276	276	---
Headquarters	12	12	12	---
U.S. Field	264	264	264	---
Foreign Field	---	---	---	---
Total Permanent Positions	276	276	276	---
Average ES Salary	\$ ---	\$ ---	\$ ---	\$ ---
Average GS Salary	\$ 90,080	\$ 90,080	\$ 90,080	\$ ---
Average GS Grade	11.23	11.23	11.23	---

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justifications (object class summary)

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees
 Funding Schedule
 (Dollars in Thousands)

PPA: Immigration Inspection User Fees	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	9,883	10,210	10,823	613
11.3 Other than full-time permanent	207	214	227	13
11.5 Other personnel compensation	2,091	2,160	2,290	130
12.1 Benefits	4,422	4,568	4,842	274
21.0 Travel	182	188	199	11
22.0 Transportation of things	108	111	118	7
23.2 Other rent	3	3	3	-
23.3 Communications, utilities, and misc. charges	87	90	96	6
25.1 Advisory and assistance services	4,450	4,597	4,873	276
25.2 Other services	29,833	30,821	32,667	1,846
25.3 Purchases from Gov't accts.	18	18	20	2
25.4 O&M of facilities	18,497	19,109	20,255	1,146
25.6 Medical care	14,384	14,860	15,751	891
25.7 Operation and maintenance of equipment	6,537	6,753	7,159	406
26.0 Supplies and materials	10,476	10,822	11,471	649
31.0 Equipment	5,107	5,276	5,593	317
Total, Object Class	106,285	109,800	116,387	6,587
Unobligated Balance, start of year	(69,631)	(71,874)	71,874	143,748
Unobligated Balance, end of year	71,874	71,874	(71,874)	(143,748)
Recoveries of Prior Year Obligations	(3,859)	-	-	-
Total, Adjustments	(1,616)	-	-	-
Total, Immigration Inspection User Fees	104,669	109,800	116,387	6,587
Full Time Equivalents	139	276	276	-

PPA Mission Statement

The Immigration User Fee account was established as a repository for fees collected from arriving airline passenger for immigration inspection and fines imposed to prevent unauthorized landing and unlawful bringing of aliens into the United States, penalties for document fraud, and liquidated damages and expenses collected. The fees cover the cost of providing detention and removal services for inadmissible aliens arriving on commercial aircraft and vessels and for any inadmissible alien who has attempted illegal entry in to the United States through avoidance of immigration inspection at air or sea ports-of-entry. All deposits into the Immigration User Fee account are available until expended.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	9,883	10,210	10,823	613

Permanent Positions includes salaries and benefits for 0 new FTEs in FY 2011, with an increase of \$613 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	207	214	227	13

Other than Permanent includes regular salaries and wages paid to civilian employees for part-time, temporary, or intermittent employment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	2,091	2,160	2,290	130

Other Personnel Compensation includes compensation above the basic rates paid directly to civilian employees, such as overtime, holiday pay, night work differential, and hazardous duty pay, supervisory differential, cash incentive awards, and royalties.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Benefits	4,422	4,568	4,842	274

Benefits include cash payments to other funds for the benefit of Federal civilian employees or direct payments to these employees, including life insurance, health insurance, employee retirement, work injury disabilities or death and professional liability insurance, recruitment, retention, or other incentives, and other allowances and payments

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	182	188	199	11

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$11 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	108	111	118	7

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes an increase of \$7 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	3	3	3	-

Other Rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request includes no changes from the previous year.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	87	90	96	6

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phone (land line). The FY 2011 includes an increase of \$6 thousand for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	4,450	4,597	4,873	276

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes an increase of \$276 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	29,833	30,821	32,667	1,846

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes an increase of \$1,846 thousand for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	18	18	20	2

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 requests an increase of \$2 thousand for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	18,497	19,109	20,255	1,146

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$1,146 thousand for these activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	14,384	14,860	15,751	891

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request includes an increase of \$891 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	6,537	6,753	7,159	406

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$406 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	10,476	10,822	11,471	649

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an increase of \$649 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	5,107	5,276	5,593	317

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes an increase of \$317 thousand.

I. Changes in Full Time Equivalent

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees
Changes in Full-Time Equivalents**

	FY 2009	FY 2010	FY 2011
Base: Year-end Actual from Prior Year	133	276	276
INCREASES			
Attrition Hiring	143		
Sub-Total Increases	143	0	0
DECREASES			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	276	276	276
Net Change from prior year base to Budget Year Estimate:	143	0	0

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not applicable

Department of Homeland Security

Immigration and Customs Enforcement



Fiscal Year 2011
Strategic Context
Congressional Justification

FY 2011 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

IMMIGRATION AND CUSTOMS ENFORCEMENT

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A. Mission and Description of U.S. Immigration and Customs Enforcement

U.S. Immigration and Customs Enforcement (ICE) is the largest investigative arm of the Department of Homeland Security (DHS). ICE's mission is to protect America and uphold public safety by targeting the people, money, and materials that support terrorists and criminal activities. The ICE organization is composed of law enforcement divisions and several support divisions. The four main operations of ICE are investigations of customs and immigration violations, criminal alien enforcement, international investigations, and detention and removal operations. These operations are carried out by the Office of Investigations (Domestic), Office of International Affairs, and Detention and Removal Operations, with support by the Office of Intelligence, Office of the Principal Legal Advisor, Office of Professional Responsibility, Office of Secure Communities/Comprehensive Identification and Removal of Criminal Aliens, and the offices of mission support.

The *Office of Investigations (OI)* enforces trade, immigration, and customs laws. OI investigates a wide range of criminal activities including: illegal immigration; weapons trafficking (including weapons of mass destruction and nuclear, biological, chemical, and radiological agents); narcotics and contraband smuggling; human smuggling and trafficking; money laundering and other financial crimes; fraudulent trade practices and intellectual property rights violations; child pornography; and child sex tourism.

The *Office of International Affairs (OIA)* enhances and promotes the ICE mission of protecting the United States by using an international, multi-faceted, law enforcement approach and partnering with foreign and domestic counterparts to combat criminal and terrorist activities.

The *Office of Detention and Removal Operations (DRO)* processes, detains, and removes criminal aliens, aliens residing illegally in the United States, and non-immigrants apprehended for infraction of immigration laws (including administrative violations). DRO is responsible for the safe and humane treatment of detained aliens while in ICE custody. This includes the safe and secure transportation from the point of apprehension through each phase of their immigration proceedings including removal of the alien from the United States. In addition to managing the detained alien population, the Criminal Alien Program (CAP) identifies criminal aliens who are incarcerated in Federal, State, and local facilities. CAP prepares criminal aliens for immigration proceedings and ensures that they are not released into the community. DRO also manages the ICE Fugitive Operations program that locates and captures aliens who have violated conditions of release and subsequently absconded.

The *Office of the Principal Legal Advisor (OPLA)* provides the legal advice, training, and services required to support the ICE mission. As the legal representative for the U.S. Government at immigration court hearings, OPLA attorneys handle a variety of immigration-related issues that range from contested removals to custody determinations to applications for administrative relief. Additionally, OPLA provides legal advice in customs-related enforcement actions, represents the Government in Merit System Protection Board and Equal Employment Opportunity hearings, provides ethics advice, handles matters involving commercial and administrative law, and litigates the removal of human rights abusers and aliens that threaten the national security of the United States.

The *Office of Professional Responsibility (OPR)* is assigned a broad range of mission responsibilities. Among the most important duties tasked to OPR is the investigation of allegations of misconduct involving employees of ICE and Customs and Border Protection (CBP). In addition to maintaining its ability to conduct internal investigations, OPR conducts independent inspections and reviews of ICE offices, operations and processes so as to provide executive management with an independent review

of the agency's organizational health and assess the effectiveness and efficiency of the overall ICE mission. OPR ensures that all ICE applicants are properly screened prior to entering on duty by appropriately assessing the security clearance level needed for all ICE Federal and contract employees. Finally, the OPR Security Management Unit provides appropriate oversight for all physical, communication and operational security requirements governing ICE employees and facilities worldwide.

The *Office of Intelligence* collects, analyzes, and distributes information on critical homeland security vulnerabilities that could be exploited by terrorist and criminal organizations. Intelligence utilizes data and information on the movement of people, money, and materials into, within, and out of the United States to provide accurate and timely reporting to ICE leadership and field agents. Intelligence Operations' Field Intelligence Groups (FIGs) are the agency's primary vehicle for intelligence analysis in support of field operations and enforcement. FIGs link headquarters and field components to facilitate intelligence collection, integration, analysis, and dissemination.

Secure Communities/A Comprehensive Plan to Identify and Remove Criminal Aliens (SC/CIRCA) is a plan to improve community safety by transforming the way the Federal government cooperates with State and local law enforcement agencies to identify, detain, and remove criminal aliens held in custody and at large. The Office of SC/CIRCA is working to revolutionize immigration enforcement by using technology to share information between law enforcement agencies and by applying risk-based methodologies to focus resources on assisting local communities in the removal of those criminal aliens representing the greatest threat to community safety.

The *Mission Support* offices includes the Office of the Assistant Secretary, Office of the Chief Financial Officer, Office of Acquisition Management, and Office of the Chief Information Officer. Their functions are:

- Office of the Assistant Secretary (OAS) is responsible for the advancement of the agency's objectives outlined in the ICE strategic plan. This includes both operational and management support to meet day-to-day organizational needs, as well as long-term agency goals. The operational division provides leadership and coordination for all of ICE's operational components, to address operational challenges, and to support ICE's continued growth and development as a premier law enforcement agency. The management division provides coordination of all administrative and managerial components of ICE. OAS is responsible for OSLC program management, Human Capital, Congressional Relations, Public Affairs, Training and the Freedom of Information Act office.
- Office of the Chief Financial Officer (OCFO) works to effectively manage cost controls and to determine the availability and efficient use of resources and services. OCFO implements mechanisms to develop performance-budget integration, strategic and competitive sourcing, financial management, and capital asset management to support ICE's mission.
- Office of Acquisition Management (OAQ) is a customer-focused organization with an enterprise-wide, strategic approach to procurement. OAQ operates as a full business partner with internal and external organizations and serves as a strategic asset dedicated to improving the agency's overall business performance. The mission of OAQ is to create quality business solutions that accomplish ICE's mission goals.

- The Office of the Chief Information Officer (OCIO) provides information technology services and products that enable ICE and DHS to meet their respective missions. In order to meet these goals, OCIO has developed a number of critical IT initiatives that will help ICE to modernize its IT systems, adapt and conform to modern IT management disciplines, and provide IT solutions throughout ICE.

B. Major Programs and Key Strategic Issues

ICE continues to move forward and maintain focus on changing threats and the strategic issues facing our Nation, and is improving community safety by transforming the way the federal government cooperates with state and local law enforcement agencies to identify, detain and remove all criminal aliens held in custody.

Investigations (OI) - ICE received \$2,183.798 million for Investigations activities in FY 2010.

The Office of Investigations (OI) enforces customs and immigration laws through the investigation of activities, persons, and events that may pose a threat to the safety or security of the United States and its citizens.

Key Accomplishments/Planned Accomplishments

In addition to ongoing activities, OI accomplished the following in FY 2009:

- Executed operations in seven additional Border Enforcement Task Force (BEST) locations in FY 2009 to bring the total number to 17; new BEST seaport operations in Los Angeles/Long Beach, Miami, and New York/New Jersey; southwest border BEST operations in Las Cruces and Deming, New Mexico; northern border BEST operations in Detroit, Michigan; and an overseas BEST in Mexico City;
- Managed the Armas Cruzadas Surge Operation consisting of a three month enforcement period to utilize all available assets to conduct enforcement activities which will maximize weapons interdictions including targeting of known weapons proliferation networks and conducting roving southbound operations with CBP at the ports of entry (POEs);
- Temporarily enhanced Southwest Border investigative resources to address border violence along the U.S./Mexico border and focus on cross border and threats in the region including contraband smuggling, money laundering and bulk cash smuggling, human smuggling and trafficking, transnational criminal gangs, and tunnel detection;
- Coordinated with Census, the State Department, and U.S. Customs and Border Protection (CBP) to put in place the necessary regulation changes so that the serial numbers on all firearms exported from the U.S. will be captured at the time of export;
- In coordination with CBP, implemented HQ-initiated Fraud Investigative Strike Team Operations to ten ports/ICE offices;
- Project Canadian Operations Linked to Telemarketing (COLT), identifying, disrupting and dismantling organizations perpetrating this fraudulent scheme and seizing the proceeds as well as returning money to victims of such crimes.

In addition to ongoing activities, OI plans to accomplish the following in FY 2010:

- Permanently expand investigative resources at the Southwest Border to address border violence along the U.S./Mexico border and focus on cross border and threats in the region including contraband smuggling, money laundering and bulk cash smuggling, human smuggling and trafficking, transnational criminal gangs, and tunnel detection;
- Expand the BEST program to additional seaport locations in San Juan, Puerto Rico, New Orleans, Louisiana, Charleston, South Carolina, Boston, Massachusetts, Houston, Texas, and Honolulu, Hawaii;
- Coordinate with CBP to expand the "security bond" initiative targeting the illegal diversion of commercial goods transported globally via the in-bond process;

In FY 2011, OI will:

- Expand Operation Armas Cruzadas to incorporate additional agency partners and increase the scope of targeting, interdiction, and investigation of the smuggling of weapons from the U.S. into Mexico to reduce the flow of weapons trafficking through U.S. borders;

International Affairs - ICE received \$154.007 million for international activities in FY 2010.

The Office of International Affairs (OIA) conducts criminal investigations of legal violations involving contraband smuggling, immigration violations, money laundering, arms/technology trafficking, child sexual exploitation (child pornography and child sex tourism), and cyber crimes overseas. OIA Attaché offices also acquire law enforcement intelligence and information; support other Department of Homeland Security (DHS) missions (e.g., DHS security initiatives and trade programs such as the Container Security Initiative (CSI), and the Trade Transparency Units [TTUs]); conduct international training; and act as the in-country ICE liaison with foreign governments and Embassy Staff.

The Attachés are responsible for the enforcement of health and safety issues related to products imported to the United States, including tainted or prohibited foodstuffs, unsafe toys, and other consumer products. OIA initiates investigative activities abroad and acquires law enforcement intelligence and information to support the ICE mission. OIA coordinates with foreign counterparts to share information under negotiated bilateral agreements and Customs Mutual Assistance Agreements. The Attaché offices also refer foreign leads to domestic ICE investigation offices and handle ICE investigative leads. OIA conducts and coordinates international training of law enforcement counterparts overseas resulting in enforcement outcomes and coordinates training through International Law Enforcement Academies (ILEA). OIA represents the ICE and DHS interests to international organizations, and acts as the in-country ICE liaison with foreign governments and U.S. Embassy staff to strengthen international law enforcement communications and relationships.

OIA also supports other DHS programs such as CSI. The Attaché offices investigate and enforce laws for other Federal agencies that have a Memorandum of Understanding (MOU) with DHS, and any other matters as directed by the Secretary of DHS. OIA may also serve as senior DHS representatives in some overseas locations. In addition to supporting the goals of DHS, OIA's activities also support the goals set forth by the DOS in the areas of regional stability, counter-terrorism, homeland security, weapons of mass destruction, international crime and drugs, economic prosperity, and public diplomacy.

Authorized by the Homeland Security Act of 2002, the Visa Security Program (VSP) and Security Advisory Opinion Unit (SAOU) reduce the potential for criminals, terrorists, and persons of interest to

exploit the legal visa process to enter the U.S. by detecting and interdicting the applicants, processes, and locations where fraudulent visas may be obtained. The VSP and SAOU foster coordinated decision making across DHS and the Department of State (DOS) to utilize law enforcement expertise and analysis to maximize the enforcement benefit of the visa process.

In implementing the VSP, OIA is working closely with DOS to enhance national security by providing an additional level of review and security needed to identify terrorists, other criminals, and persons of special interest from foreign locations before they enter the U.S.

The Visa Security Program enhances the security of visa issuance at high-risk overseas posts by deploying highly skilled and experienced law enforcement officers who conduct in-depth investigative reviews of visa applications that raise security concerns, investigate concerns relating to visa fraud and other criminal activity which can exploit the visa system, and provide advice and training on security issues to DOS consular officers, thereby enhancing their ability to screen security risks as they adjudicate visas and refuse or revoke applications when warranted. The VSP has expanded to 14 posts in 12 countries as of the close of Fiscal Year 2009 third quarter, has screened over 692,000 visa applicants resulting in recommendations leading to the denial of over 650 visa applicants.

Key Accomplishments/Planned Accomplishments

In FY 2009, OIA/International Investigations:

- Opened new Attaché offices in several strategic locations, including Brussels, Belgium, Cartagena, Colombia, Guayaquil, Ecuador, and Amman, Jordan;
- Established the RIA Unit within OIA to work with DRO and DOS to negotiate and maintain removal agreements with foreign countries. This unit develops approaches for working with recalcitrant countries which do not allow the repatriation of their citizens and works with other U.S. Government agencies to negotiate various mutual assistance agreements and other international agreements;
- Deployed Assistant Attachés for Removals to six additional Attaché offices overseas to coordinate with host governments to facilitate removals of aliens under orders from the U.S.;
- Received authority to establish an Attaché office in Kabul, Afghanistan in support of the “civilian surge” initiative;
- Supported the Southwest Border Initiative Surge to combat the ongoing and increasing cross-border violence by sending 12 additional personnel on temporary assignment to four existing offices in Monterrey, Hermosillo, Juarez, and Tijuana to increase in operational investigations, seizures, arrests, and investigative leads to domestic field offices;
- Established a Border Enforcement Security Task Force (BEST) in Mexico City in cooperation with Mexican law enforcement agencies to facilitate the exchange of information and rapid bilateral investigation of violations on both sides of the border through coordination with the 15 existing Southwest border BESTs and the Armas Cruzadas Virtual Web Portal;
- As part of the Merida Initiative, sent 14 criminal investigators and 1 intelligence analyst to teach Basic Investigative Methods to approximately 1,350 students and continued to support the training;
- Entered into a Memorandum of Agreement with Jamaica, which established Project Jamaican Operations Linked to Telemarketing (JOLT) that serves to identify, disrupt, and dismantle the severe increase in Jamaican based telemarketing fraud operations that prey on U.S. citizens, many of whom are senior citizens;
- Conducted a joint DHS bilateral Bulk Cash Smuggling (BCS) operations utilizing real-time exchange of cash declaration information and intelligence to combat the threat of international BCS by assisting foreign customs administrations in targeting cash couriers. FY09 HAW

- operations in Italy, Spain, the United Kingdom, Taiwan, Israel, and the Kingdom of Bahrain resulted in dozens of currency seizures totaling more than \$600,700,000 in U.S. currency;
- Co-sponsored, with Australian Customs, the Asia Pacific Economic Cooperation (APEC) Workshop on Detecting and Deterring Cash Couriers and Bulk Cash Smugglers in Sydney, Australia for 80 participants from 20 APEC economies, featuring presentations from international customs and law enforcement experts, case studies, and practical exercises and visited the Sydney International Airport to see how Australian Customs targets illicit cash couriers;
 - Coordinated an unprecedented multilateral BCS operation with Group of Eight (G8) member countries, targeting illicit cash couriers traveling on commercial airlines to locations in the Middle East and Asia resulting in simultaneous BCS interdictions and forced declarations in airports in member countries, examination of approximately 515 international flights, and at least 63 cash seizures with an approximate aggregate value of \$3 million U.S.; joint US/Australian South East Asia Regional BCS training representing 8 nations and 26 government agencies that resulted in simultaneous BCS interdiction and training at airport locations in 2 different countries and a cash seizure at one airport and multiple forced declarations at the other;
 - Deployed 13 Biometric Data Collection Kits and trained over 200 Philippine National Police personnel on their use and benefits in the fight against global terrorism, which led to the identification of over 120 individuals that were added to the Terrorist Identities Datamart Environment;
 - Facilitated the removal of high level/value detainees, i.e., Nazi guard Ivan Demanjuk, Irish Republic Army member Pol Brennan, Palestinian Liberation Organization (PLO) member Khaled Aljaseem;
 - Successfully investigated an international alien smuggling and document fraud organization in Colombia;
 - Produced the Annual Report of the Task Force on the Prohibition of Importation of Products of Forced or Prison Labor from the People's Republic of China (PRC), a mandatory annual report summarizing the activities of the China Prison Labor Task Force established by Congress to promote the effective enforcement of section 307 of the Tariff Act of 1930 with respect to the PRC and chaired by the Assistant Secretary of ICE;
 - Provided Export Control and Related Border Security (EXBS) training to authorities in 6 countries and over 180 foreign law enforcement officials;
 - Provided BCS overseas training to over 1,245 foreign law enforcement officers in 27 countries;
 - Coordinated ILEA training for approximately 850 local and national police, customs and immigration officers and prosecutors from 56 countries. Conducted cultural repatriations of 450 objects to five different countries.

In FY 2010, OIA/International Investigations will:

- Deploy a Senior ICE executive at INTERPOL headquarters in Lyon, France;
- Deploy Assistant Attaché for Removals to 3 additional Attaché office locations overseas to coordinate with host governments to facilitate removals of aliens under orders from the U.S.;

In FY 2011, OIA/International Investigations will:

- Augment its current presence in Mexico to a total of 40 U.S. direct-hire enforcement personnel by adding personnel to existing offices. This includes 12 special agents funded by an FY 2010 enhancement and 3 special agents funded by a reprogramming of base appropriated funds.

In FY 2009, OIA/VSP:

- Expanded Visa Security Program (VSP) operations to two new highest-risk visa adjudicating posts consistent with the VSP Expansion Plan;
- Exceeded the Government Performance and Results Act (GPRA) performance target for the number of visas recommended for refusal based on derogatory information, by recommending denial for 1,027 visa applicants;
- Expanded SAO Unit (SAOU) operations to CBP's National Targeting Center-Passenger (NTC-P) facility to increase collaboration between ICE and CBP and support our common goal to prevent terrorists and criminal suspects from entering the U.S.;
- Collaborated with DOS in revising the rules governing the sharing of TECS data with DOS' Consular Lookout and Support System (CLASS). Initial revisions to the rules in FY 2009 provided over 500,000 records related to international war criminals and other individuals inadmissible under U.S. law to DOS, to prevent those individuals from receiving visas to travel to the United States; and
- Trained 63 ICE Special Agents as Visa Security Officers (VSOs).

In FY 2010, OIA/VSP will:

- Open two Visa Security Units (VSUs) in high-risk locations; conducting in-depth visa applicant reviews/investigations, and providing advice and training to DOS Consular Officers. ICE is mandated by Congress to use the remaining two-year enhancement funds of \$3.437 million it received for expansion by the close of FY 2010 pursuant to its Expansion Plan or the funds will be lost;

In FY 2011, OIA/VSP will:

- Support investigative initiatives by identifying emerging patterns and national security threats of increased risk from terrorists, criminals, and other ineligible visa applicants; and

Detention and Removals Operations (DRO) – In FY 2010 ICE received \$3,313.945 million for DRO activities.

In FY 2009, ICE undertook a review of how to improve the current system of detention which resulted in the announcement of several major reforms to ICE's detention system. These reforms are intended to address the vast majority of complaints about the current immigration and detention system, while allowing ICE to maintain a significant, robust detention capacity to carry out serious immigration enforcement. ICE is committed to taking the steps that will lead the agency away from the present decentralized, jail-oriented approach to a system wholly designed for and based on ICE's needs.

Steps will include housing detainees in a set of facilities designed, located and operated for immigration detention purposes and increasingly relying on ICE employees instead of contractors for more of the core operational decisions and no longer relying primarily on excess capacity in penal institutions. These reforms will bring improved custodial conditions, ICE oversight, medical care, and fiscal prudence.

In FY 2010, through the newly created Office of Detention Policy and Planning (ODPP), ICE has initiated the following Detention Reform activities: (1) Revision of immigration detention standards to reflect the conditions appropriate for various immigration detainee populations while keeping costs neutral; (2) Systematic review of high cost detention space to maximize the use of less expensive detention resources, and efforts to encourage the private sector to develop innovative and less expensive civil detention facilities; (3) Improving detention by reviewing contracts for all detention

facilities to identify opportunities to centralize all detention contracts managed by field offices. ICE plans to achieve a cost savings via centralized procurement management and its work with the Office of the Federal Detention Trustee. In addition, ICE is refining a risk assessment instrument that will improve custody decisions and ensure bed space is being used prudently. ICE is also developing a medical care risk assessment system to assist in the appropriate placement of detainees with medical and mental health issue to avoid unnecessary and costly transfers.

In FY 2010, ICE launched two initiatives with the objective of reducing the Average Length of Stay (ALOS) for the detained population to a target of 28 days in FY 2011 from 33.6 days in FY 2010. The reduction in ALOS will allow ICE to increase the number of aliens it can detain to potentially 430,000 in FY 2011 while utilizing the same number of beds.

In FY 2010, ICE will continue to integrate and harmonize all of its efforts to identify, prosecute and remove criminal aliens across its program offices. Secure Communities has promoted key enforcement initiatives that have led to record levels of criminal alien removals. Specifically, through Secure Communities oversight, DRO's Fugitive Operations and Criminal Alien Program and OI's LESC, ICE aims to reduce the population of criminal aliens in the United States. These efforts have been successful, but in FY 2010 ICE will work to make them even more successful and efficient. One way under consideration is the possible integration of Secure Communities into the DRO program. This shift would ensure the programs' efforts are centralized and streamlined. With Secure Communities linked more directly to DRO operations, ICE would be able to apply a risk-based approach consistently across all funding sources. This would further the ICE priority to identify and remove criminal aliens and strengthen the overall effort to do so.

The National Fugitive Operations Program (NFOP) is responsible for reducing the fugitive alien population in the United States. At the end of FY 2008, there were an estimated 557,761 fugitive aliens at large in the United States, according to the DRO Deportable Alien Control System (DACs). As of August 24, 2009, there were 540,505 fugitive aliens-at-large. ICE works to reduce the fugitive alien population by using Fugitive Operations Teams (FOTs), which consist of:

- One Supervisory Detention and Deportation Officer (SDDO);
- Four Deportation Officers (DOs);
- One Immigration Enforcement Agent (IEA); and
- One Deportation and Removal Assistant (DRA).

DRO created the Fugitive Operation Support Center (FOSC) to enhance the efficiency and effectiveness of the NFOP. The FOSC reviews and updates ICE fugitive alien cases in the Enforce Alien Removal Module (EARM), provides comprehensive leads to the FOTs, closes cases as appropriate, and facilitates the overall efforts to arrest fugitives. As a component of the NFOP, the goal established for the FOSC is to eliminate 26,000 cases from the fugitive population each fiscal year.

The Criminal Alien Program (CAP) conducts ICE-wide operations to identify and arrest criminal aliens who are incarcerated within federal, state, and local prisons and jails. ICE ensures that all efforts are made to arrest and remove these individuals from the community by securing a final order of removal prior to the termination of their period of imprisonment. The identification and processing of incarcerated criminal aliens, prior to release from jails and prisons, decreases or eliminates the time spent in ICE custody, reducing the overall cost to the U.S. Government. Additionally, integral to the

effective execution of this program is the aggressive prosecution of criminal offenders identified by DRO officers.

National security and public safety are ICE's first priorities. To that end, ICE detains all aliens who pose a threat to community safety or national security, as well as those ICE is required to detain under U.S. immigration law. The Alternatives to Detention (ATD) Program enables ICE to remove people from detention who, if monitored on ATD, will appear for hearings and removal. ATD is comprised of two primary programs: the Intensive Supervision Appearance Program (ISAP) and the Enhanced Supervision/Reporting (ESR) Program. Also funded within the ATD program is a separate Bond Management Unit.

Appropriations to the Transportation and Removal Program fund safe and secure transportation of aliens in ICE custody and removals of aliens from the United States, as ordered by an immigration judge.

The Removal Management Division (RMD) formulates all DRO transportation and removal policy, planning, and requirements, and oversees and supports Field Offices' execution of transportation and removal funding through four units: (1) Travel Document Unit; (2) Removal Coordination Unit; (3) Flight Operations Unit; and (4) Case Management Unit, including oversight of the DRO Cuban Unit and Post Order Custody Review (POCR) operations. RMD, through these units, ensures the Transportation and Removal Program funds are efficiently and effectively used.

Key Accomplishments/Planned Accomplishments

In FY 2009, DRO/Custody Operations began taking the steps toward reforming the immigration detention system and implementing initiatives to achieve greater program efficiency. These include:

- Created the Office of Detention Policy and Planning (ODPP) to improve the design and long-term oversight of the detention system, to ensure more uniform conditions of confinement and medical care and to design and create a civil detention system tailored to the needs of ICE;
- Discontinued use of family detention at the T. Don Hutto Family Residential Facility in Texas;
- Hired an expert in healthcare administration and a medical expert to provide an independent review of medical complaints and denials of requests for medical services;
- Recruited 23 ICE detention managers to work in DRO, supporting the Field Office Directors and stationed in 23 significant facilities, to substantially increase direct federal oversight.
- Formed two advisory groups of local and national organizations interested in ICE's detention system. These groups will provide feedback and input to the Assistant Secretary. One will focus on general policies and practices, while the other will focus on detainee health care.

In FY 2009, DRO/Fugitive Operations had the following successes:

- Of the ICE fugitives arrested in FY 2009, 11,289 were criminal aliens. Of the non-fugitive arrests, 4,655 were criminal aliens. In FY 2008, these figures were 5,652 criminal fugitives and 2,267 non-fugitive criminals.
- In FY 2009, ICE Fugitive Operations teams more than doubled the number of criminal arrests made in FY 2008.
- ICE reduced the fugitive case backlog. At the end of FY 2009, ICE's fugitive case backlog was 534,497 fugitive aliens, which is 23,265 fewer fugitives than the backlog recorded on October 1, 2008. PLEASE CONFIRM THESE NUMBER

- All of the 104 funded Fugitive Operations Teams (FOTs) are operational and conducting enforcement activities across the United States. Presently, each of the 24 DRO Field Offices has at least one operational FOT.
- In FY 2009, 26,571 fugitive aliens were arrested and 8,523 non-fugitive aliens were arrested.
- In FY 2009, the FOOSC resolved 37,022 fugitive cases, assisting in the reduction of the fugitive backlog.

In FY 2009, DRO/CAP:

- In FY 2009, CAP DRO encountered, through interviews or screenings, over 771,000 people and issued over 232,796 charging documents;
- In FY 2009, CAP DRO had 14,587 cases were presented to the U.S. Attorney's office for criminal prosecution and, of those, 9,598 cases were accepted;
- Strategically allocated 336 Secure Communities-funded positions to enhance existing JCART, VCAS, and CAP nationwide based on the risk-based assessment;
- Deployed 67 VTC units, including three Bureau of Prison sites; and

In FY 2009, DRO/TRP:

- Operated seven charters outside of the Americas returning 495 alien passengers to Albania, Cambodia, Egypt, Indonesia, Jordan, Morocco, Nigeria, Pakistan, the Philippines, Palestinian Authority, and Liberia while also supporting the policies of "catch and return" and increased interior enforcement operations. FOU moved nearly 200,000 aliens, domestic and foreign; by increasing the number of ICE chartered aircraft and simultaneously augmenting JPATS aircraft.
- Coordinated and effected the commercial removal of 21,163 aliens. In addition, RMD moved 220,083 aliens through ICE managed aircraft during FY2009. By comparison, ICE movements for all of FY 2008 totaled 67,219.
- Transported 16,529 aliens through use and success of the Pennsylvania Transportation Hub (PATH) program to transport a total of 16,529 aliens.

In FY 2010 and 2011, DRO/Custody Operations will continue efforts towards improving the quality and care for detainees, increasing program efficiencies, and addressing priorities as follows:

- Implement an electronic policy management system to centralize publication of policies, facilitate development and modification of new policies, and allow collaboration across DRO and with other ICE programs;
- Sustain American Correctional Association (ACA) accreditation for all DRO-operated facilities.

In FY 2010 and FY 2011, DRO/Fugitive Operations:

- Conduct fugitive alien enforcement operations by 104 FOTs to target criminal aliens and those found to be a threat to community safety or national security;

In FY 2010, DRO/CAP will:

- Strategically allocate 80 additional Secure Communities funded positions nationwide;
- Continue the deployment of VTC systems to CAP programs throughout the country;
- Work to increase the level of screening nationally to achieve 100 percent in all identified facilities. This will enhance the mission of pursuing a final order of removal prior to the termination of a person's sentence. Upon completion of criminal sentences, aliens are transferred into ICE custody to remove them from the United States; and

In FY 2010 and 2011, DRO/ATD will:

- Conduct a feasibility study to implement “kiosk-type” technology nationwide. This initiative would assist the field office with the enormous task of supervising non-removable aliens who do not pose a risk to the community, by reducing face-to-face meetings with aliens to potentially realign many man-hours to perform in other critical DRO mission areas; and
- Continue with the staggered opening of ISAP program nationwide with the goal of increasing coverage of ATD services to up to 82 new locations and increase the participant capacity up to 24,000.

In FY 2010, DRO/TRP will:

- Increase removals 1% over the same time period in FY09 to meet the FY10 goal of 391,677 removals (including Voluntary Returns);
- Increase the overall number of FOU transported passengers by 1% over the same time period in FY09 to meet the FY10 goal of 230,116;
- Deploy the Electronic Travel Document (eTD) program to one additional country by the end of FY10;
- Employ four ICE charter aircraft operating six days per week to support foreign removals;
- Use the ICE chartered aircraft as a long-range platform capable of supporting special removal missions to South America, Eastern Europe, Africa, Middle East and Pacific Rim;
- Use JPATS contract aircraft to support shorter-range domestic movements with four airplanes—two each located in Alexandria, Louisiana and Phoenix, Arizona; and
- Place Immigration Enforcement Agents and Division of Immigration Health Services medical personnel on all DRO-managed aircraft, both foreign and domestic.

In FY 2011, DRO/CAP will:

- Utilize three Interoperability Response Centers (IRCs) to assist with the deployment of Interoperability throughout the country. CAP special programs will strategically allocate 60 Secure Communities funded contractors between the three IRCs.

In FY 2011, DRO/TRP will:

- Coordinate the movement of more than an estimated 240,000 aliens through the use of eight large and one medium sized aircraft in FY 2011. Accordingly, DRO plans to log 13,000 flight hours or more.

Automation and Modernization - ICE received \$90.000 million for Automation and Modernization (AM) activities in FY 2010.

The ICE Automation Modernization account focuses on specific, discrete IT activities that help ICE achieve its mission, including the Financial System Modernization, DROM, TECS Modernization, and Atlas IT Infrastructure and Tactical Communications.

Key Accomplishments/Planned Accomplishments

FY 2009 – Accomplishments

In FY 2009, Congress appropriated \$57.0 million to further expand Automation Modernization activities including the Financial System Modernization initiative, TECS Modernization, Atlas IT Infrastructure, Atlas Tactical Communications, and DROM. The Automation Modernization programs have achieved the following to date in FY 2009:

Atlas

Atlas IT Infrastructure

- Improved information sharing between ICE and its law enforcement partners by incorporating two additional data collection systems into one database;
- Replaced the primary web hosting platform for DHS data centers, and built IT infrastructure to provide seamless communications across heterogeneous platforms; and
- Upgraded obsolete and failing file and print servers at 155 ICE sites.

Tactical Communications

- Acquired equipment for mobile communications system and hub upgrades, and acquired P25-compliant tactical communications equipment to modernize tactical communications systems in the first of 20 ICE regions (Georgia, North Carolina, and South Carolina); and
- Acquired, integrated, and deployed one mobile law enforcement communications system and one wireless communications kit for ICE emergency/crisis response and special operations.

Cyber Security Modernization (accomplished with prior year funds)

- Instituted enterprise audit log management for all major ICE systems; and
- Deployed a framework to access 20 different ICE IT applications with a single sign-on.

Data Center Migration (accomplished with prior year funds)

- Analyzed data center alternatives for lower cost options (to be facilitated by DHS).

LESM - TECS Modernization

- Gathered requirements for the following projects: Investigative Case Management (including Bank Secrecy Act data access, Money Laundering reporting and tracking, and Telephone Link analysis), Intelligence Reporting and Dissemination, Management Reporting and Workflow, Security and Oversight, Shared Services, and Data Management;
- Established an initial planning capability by securing project management office support to manage requirements and develop the business case;
- Developed TECS architecture and ICE high-level design, and established a development, integration and testing environment;

DROM

- Initiated development of the Detainee Location Tracking (DLT) and Central Reservation System (CRS) modules of the Bed Space, Transportation, and Tracking (BST&T) Management System;
- Expanded ICE Data Warehouse data capacity and reporting capability to support DRO, and expanded web services to allow the eTD application to communicate with other internal or external applications;
- Expanded ENFORCE Alien Removals Module (EARM) to include the ENFORCE Apprehension and Detention Module (EADM); and
- Initiated planning and requirements definition phase for a DROM Document Management System and the Electronic Detainee Visitor Log (eVisitor) application.

Modernization of Financial System

- Acquired an Invoice Payment solution for ICE that will be able to integrate with the Department's Enterprise Solution;
- Acquired an Obligations Document management solution for ICE that will be able to integrate with the Department's Enterprise Solution;

- Acquired a Financial Reporting Database that will interface with various ICE financial data sources such as its current financial system (and future DHS Resource Management Transformation Office (RMTO) solution), its payment system, its asset management systems and external financial sources);
- Acquired ICE Fed Traveler Services to support standardizing electronic travel (e-Travel) processing throughout DHS.

FY 2010 - Projected Accomplishments

In FY 2010, ICE will further expand Automation Modernization activities to include the following initiatives: ICE LESM (which includes TECS Modernization) and eHR. ICE will also continue to develop current services projects that were started in FY 2009.

Atlas

The following are projected FY 2010 accomplishments:

- Continue modernizing an additional 290 ICE sites with new file and print servers;
- Integrate two additional data collection systems into the ICE data warehouse;
- Initiate modernization of 30% of local office networks to improve the performance of all networked IT systems, leading to increases in workforce productivity;
- Complete the implementation of the IT access audit log management initiative;
- Implement vulnerability scanning tools to quickly detect and respond to IT security breaches; and
- Oversee the migration of ICE IT assets from the Department of Justice to DHS Data Centers.

LESM

The TECS modernization effort will support the investigative arm of ICE and update a 20-year-old legacy system, giving ICE improved capabilities. Projected accomplishments for FY 2010 include:

- TECS Modernization – The completion of the requirements definition phase and begin design and development of specific projects from the following: Investigative Case Management, Intelligence Reporting and Dissemination, Management, Management Reporting and Workflow, Security and Oversight, Shared Services, Data Management, Infrastructure Acquisition and Deployment.
- Mobile IDENT – The development of the Mobile IDENT proto-type booking service and pilot at three Special Agent In Charge (SAC) offices for user acceptance and gap analysis.
- ICEPIC - The hardware upgrade and migration to the enterprise data center along with the creation of the COOP for 24-7 support, as well as the support of the national rollout to all SAC offices.
- ICE ACCESS - This initiative will provide requirements gathering with local and state agencies and the U.S. Department of Justice for gang information sharing and data integration. A design strategy will be delivered to plan for the design and development of an integrated solution for the following year.
- Law Enforcement Information Systems Sharing – The completion of enhancements for the sharing of images and photos and the continuation of rollout to five additional information sharing partners.
- Border Enforcement Security Task (BEST) Force Expansion – The gathering and analysis of the requirements and design for the modernization of BEST information technology.
- Intelligence Support –The requirements gathering and design for moving the Data Analysis & Research for Trade Transparency (DARTT) system into the enterprise environment; and the requirements and design for the modernization of Cyber Crimes Center systems and National Child Victim Identification System (NCVIS).

- International Affairs Modernization –The requirements gathering and design of the Office of International Affairs (OIA) systems including Parole Case Tracking System (PCTS), Visa Security System (VSP), World Customs Organization Information Sharing (WCO) and Human Resources Dashboard (HRD).
- Forensic Document Lab –The requirements and design for the modernization of the information technology infrastructure and moving into the enterprise environment.

DROM

The following are the FY 2010 projected accomplishments:

- Expand EARM to include the eTD, Fugitive Case Management System (FCMS) and Alternatives to Detention Program (ATDP);
- Transition EARM into Full Operating Capability (FOC) status;
- Deploy the BST&T DLT Module and provide training to remaining Areas of Responsibility (AORs) and detention facilities;
- Deploy BST&T, DLT, and CRS Modules to achieve Initial Operating Capability (IOC) status; initial delivery will include the point-in-time inventory capability to establish a strong foundation and framework for the subsequent phases of work;
- Begin development and integration of the final BST&T Module, the Transportation Management System (TMS);
- Continue expanding the eTD system as Memoranda of Understanding (MOUs) are executed for target countries to use eTD for issuing electronic travel documents; and
- Award development contracts for the DRO Document Management System and eVisitor Log.

Electronic Health Records (eHR) System

The following are the FY 2010 projected accomplishments:

- Award contracts for validation study, and design and development of a comprehensive certified eHR system including several subsystems;
- Establish an initial planning capability by securing project management office support to manage requirements and expedite documentation;
- Initiate and utilize results of Acquisition Planning and Validation Study to establish the foundation for program execution;
- Develop eHR high-level program control process to establish a comprehensive program management processes to development, integration and testing environment; and
- Develop and assess the alignment of the program to the DHS Enterprise Architecture.

Modernization of Financial System

The following are the FY 2010 projected accomplishments:

- Conduct Fed Traveler/Core Financial System Interface Enhancements (replace batch with online interface)

FY 2011 - Projected Accomplishments

In FY 2011, ICE will further expand Automation Modernization activities to include the following initiatives: Atlas Cyber Security Modernization; Atlas Tactical Communications; and the ICE Decision Support Program.

LESM

Projected accomplishments for FY 2011 include the following project milestones:

- Mobile IDENT – Launch a web interface capability. Replace existing technology to include upgrading workstations supporting Mobile IDENT.
- ICEPIC – Development of a reporting database to include mapping to the TECS Modernization efforts. Enable and expand link analysis, global name resolution, and geospatial capabilities within ICEPIC.
- Law Enforcement Information Sharing Service (LEISS) – Complete development for two factor authentication. Expose law enforcement data to first responders and emergency management teams within ICE and potentially across department. Continue the rollout to five additional information sharing partners.

DROM

In FY 2011, DROM will:

- Complete deployment of BST&T DLT and Central Reservation System (CRS) Modules;
- Complete development and integration of eVisitor Log.

Electronic Health Records System

In FY 2011, the eHR Program office will design and develop the eHR “Core Capabilities” and deploy the system to the 24 DIHS facilities within two releases (utilizing FY 2010 funding). Projected accomplishments for FY 2011 include the following project milestones:

- Configure and develop interfaces, complete testing and prototype testing, and initiate deployment of a eHR application to support ICE medical operations at DIHS-staffed detention facilities; and
- Begin deployment of appropriate eHR capability to over 24 DIHS staffed facilities and the 350 Intergovernmental Service Agreements (IGSA) and Contract Detention Facilities (CDF) housing ICE detainees.

Financial System Modernization

- Develop system integration plans for the interfacing of ICE’s non-core financial systems with Department’s Enterprise Solution.
- Prepare detailed migration plans to transition ICE’s current financial processing system into the Department’s Enterprise Solution.
- Prepare detailed test and evaluation scenarios to verify system functionality and determine level of compliance.
- Cleanse ICE’s current financial systems data to ensure smooth migration to the Department’s Enterprise Solution.

ICE Decision Support Program

Projected accomplishments for FY 2011 include the following project milestones:

- Integrate information from additional enforcement systems into the ICE data warehouse;
- Integrate data from the Law Enforcement Modernization project into the ICE Enterprise Data Warehouse (EDW) and provide reporting capabilities;
- Integrate data from DROM/BST&T modules into the ICE EDW and provide reporting capabilities;
- Develop & Implement Executive Dashboards (SEVIS II & BST&T);

C. Resources Requested and Performance Impact

Current Services

ICE's total budget request for FY 2011 is \$5,835.2 million, which includes the Salaries and Expenses, Automation, and Construction accounts and Breached Bond, User Fee, and SEVP fee authority.

Program Increases

In FY 2011, ICE will focus on core infrastructure needs. These key investments will bolster ICE's enforcement and efficiency efforts.

- **Detention and Removal Operations\$20.0M (0 FTE)**
This request will help detention and removal operations to maintain current bed space. The funding will covers such items as contract costs, medical care, and oversight.
- **Co-Location of ICE Facilities.....\$19.9M (0 FTE)**
This request funds the third year of the ICE-wide co-location strategy to consolidate ICE personnel and operations scattered across multiple buildings in select metropolitan areas with the intended result of improved operational efficiency and long-term cost savings.
- **Office of Investigations Mission Support.....\$15.0M (84 FTE)**
This request will fund a total of 84 mission support FTE to help alleviate administrative functions performed by agents and allow them to focus on their primary function, investigation of transnational and border crime. This funding will help narrow the current gap to ensure that agents have the necessary mission support personnel to support agents in the field.
- **Data Center Migration.....\$10.4 M (0 FTE)**
This request is targeted at migrating data center operations, active online data, and other IT assets from two Department of Justice (DOJ) data centers and multiple processing centers to two new DHS data centers while ensuring near continuous operations of mission-critical IT systems through contingency infrastructure, planning, and testing, to provide systems and data integrity that align with the DHS goal of ensuring that two new DHS Data Centers support fully redundant IT systems.
- **Border Enforcement Security Task Forces (BESTs).....\$10.0M (23 FTE)**
This request will establish BESTs in three additional locations (Massena, NY; San Francisco, CA; and Honolulu, HI) to prevent smuggling and illegal entry of persons, with a priority on terrorist groups, gang members, and criminal aliens.
- **Intellectual Property Rights Enforcement.....\$5.0M (13 FTE)**
This request will fund a total of 13 FTE for the ICE-led National Intellectual Property Rights Coordination Center (IPR Center), a collaborative effort bringing together key US government agencies, to stop intellectual property rights (IPR) violations that threaten our economic stability, restrict the competitiveness of US industry, and endanger the public's health and safety. Additionally, ICE will focus on disrupting criminal organizations through the internet to facilitate IPR crime and provide support for anti-counterfeiting efforts.
- **Information Technology Improvements.....\$84.7M (36 FTE)**

- Atlas IT Infrastructure (\$9.0 million): The FY 2011 request of \$9.0 million will fund the continuing four-year project to modernize network infrastructure at approximately 750 ICE locations by upgrading legacy local area networks (LANs) to provide increased performance, security, and reliability.
- Atlas Tactical Communications (\$8.0 million): This request will be used to acquire Project 25-compliant tactical communications equipment to modernize tactical communications systems in the Chicago Region (states of Illinois, Kentucky, Indiana, Missouri, Kansas, and Wisconsin).
- Atlas Cyber Security Modernization (\$8.0 million): This request will be used to continue implementation of recommended security solutions identified as a result of risk assessments, and ICE's Top 25 security concerns.
- ICE Law Enforcement Systems Modernization (\$38.7 million): This request funds a number of case management (including the TECS Modernization initiative), information sharing, and operational support service projects that will improve dissemination of intelligence information across DHS and the Intelligence Community. The request increases the sharing of information with Federal, state, local, tribal and international law enforcement agencies.
- DRO Modernization (\$9.0 million): This request will be used to develop and deploy the final release of the Detainee Location Tracking (DLT) System and Central Reservation System (CRS) as part of the Bed Space, Tracking, and Transportation (BST&T) Management Solution. Funding will also provide for the Transportation Management System (TMS) module.
- Electronic Health Records (\$7.0 million): This request will be used to begin the design and development of a system that enhances and supports the documentation and coordination of medical services provided to ICE detainees while in custody.
- Financial System Modernization (\$3.0 million): This request will be used to continue ICE's efforts to ensure near-term viability of ICE's current financial system and preparation for migration of the current financial systems to the DHS enterprise solution.
- ICE Decision Support Systems (\$2.0 million): This request will be used for various activities including the development of a new extraction, and transformation and loading process for the integration of data from Law Enforcement Systems Modernization (LESM) data sources to the Enterprise Data Warehouse (EDW).

D. Performance Highlights, Resources, and Alignment to Strategic Goals

For each mission-oriented program, the program performance goal, alignment to DHS Secretary's Priority mission areas, total dollars and FTE, and Government Performance and Results Act (GPRA) performance plan measure/s are shown below. Additional measures are also displayed, as appropriate, to provide a more thorough context of expected performance results.

Program: Automation Modernization						
Performance Goal: Provide timely delivery of mission IT services in direct support of the ICE mission, goals, objectives, and programs.						
Secretary's Priority: Enforcing and Administering Our Immigration Laws						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	None	\$15,000	\$30,700	\$57,000	\$90,000	\$84,700
FTE	None	7	7	18	19	36

Performance Plan Measures

Measure: Percent increase in ICE investigative and enforcement systems incorporated into Decision Support Systems						
Description of Measure: This measure indicates the extent which ICE law enforcement personnel have access to and can retrieve enforcement information from a single integrated - source of enforcement data. Integrated information will enable users to find relevant and timely information from the best sources, along with improving information search and indexing capabilities.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	8%	20%	36%	80%	90%	100%
Actual:	22%	22%	73%	81%	N/A	N/A

Measure: Percent of modernized information technology services available to users						
Description of Measure: Measures percent of progress toward IT modernization available to ICE users (e.g. E - mail services, desktop equipment refresh, and DHS Wide Area Network), which encompasses program modernization activities spanning seven years. This outcome is aligned directly with Atlas stated goals: establish a standard IT environment across ICE by ensuring conformance to the Homeland Security Enterprise Architecture (EA), which will facilitate communication; promote information sharing and collaboration by enabling ICE to increase resource sharing capabilities between ICE users and program areas throughout ICE and the DHS community; and enhance workforce productivity by building a technological foundation to empower the ICE staff with the tools necessary to achieve mission requirements.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	40%	59%	76%	85%
Actual:	None	None	40%	62%	N/A	N/A

Program: Detention and Removal Operations						
Performance Goal: Remove from the United States all aliens with a final order of removal.						
Secretary's Priority: Enforcing and Administering Our Immigration Laws						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$1,749,457	\$2,525,090	\$2,758,701	\$3,120,652	\$3,333,730	\$3,323,637
FTE	5,140	6,735	7,485	8,968	9,555	9,650

Performance Plan Measures

Measure: Number of foreign - born nationals interviewed or screened for removal from the United States.						
Description of Measure: The Criminal Alien Program measures performance by the level of identification of foreign born nationals in jails and prisons. The program goal is to identify all foreign - born nationals incarcerated in all jails and prisons in the United States. This is done by through interviews of foreign - born national or the screening of a foreign - born nationals						

biographical information. One - on - one interviews are done by an Immigration and Customs Enforcement agent/officer to determine if that subject is removable from the U.S. A screening is the investigation of the status of a foreign - born national using the biographical data reported to other law enforcement agencies upon being arrested or through immigration databases. CAP projects a 5% increase each year due to the Secure Communities Interoperability Initiative. This program is scheduled for completion in 2013; there is no projected funding for additional full time employees. Targets for this measure are set based on planned staffing levels.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	370,000	388,500
Actual:	None	None	None	None	N/A	N/A

Measure: Number of illegal aliens removed from the United States

Description of Measure: This measure represents the total number of illegal aliens removed from the United States by the Detention and Removal program during the fiscal year. An illegal alien is someone who is in the United States in violation of immigration laws. Compulsory and confirmed movement of an inadmissible or deportable alien out of the United States based on an order of removal constitutes an alien removed.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	140,130	154,143	None	342,251	391,667	395,584
Actual:	185,944	226,677	264,503	387,790	N/A	N/A

Measure: Percent of detention facilities in compliance with the National Detention Standards

Description of Measure: This measure gauges the percent of detention facilities used by the Detention and Removal Operations program that are in compliance with National Detention Standards. The National Detention Standards were originally issued in September 2000 to facilitate consistent conditions of confinement, access to legal representation, and safe and secure operations across the immigration detention system. The standards have been updated into a performance based format known as the Performance Based National Detention Standards. Through an aggressive inspections program, the program ensures facilities utilized to detain aliens in immigration proceedings or awaiting removal to their countries do so in accordance with the Performance Based National Detention Standards. Compliance with the standards provides the public with assurance that detainees in the program's custody are detained in safe and secure environment and under appropriate conditions of confinement.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	100%	100%	100%
Actual:	None	None	79%	90%	N/A	N/A

Measure: Percent of illegal aliens removed from the U.S. based on the number of illegal aliens processed for immigration law violations during the same period

Description of Measure: This measure reflects the percent of illegal aliens removed from the U.S. during a fiscal year compared to the number of illegal aliens processed for immigration law violations during the same time period. The term "removal" includes removals from the U.S. under all types of orders, including orders by immigration judges, expedited and voluntary removals, and stipulated removals, as well as returns of immigration violators to their country of origin prior to or as a result of the waiving of a hearing before an immigration judge. This measure reflects the impact of program activities to ensure those in the country illegally do not remain.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	68%	74%	75%
Actual:	None	None	None	73.5%	N/A	N/A

Program: International Affairs						
Performance Goal: Reduce international criminal and terrorist activities by partnering with foreign and domestic counterparts.						
Secretary's Priority: Enforcing and Administering Our Immigration Laws						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$139,719	\$140,791	\$107,551	\$133,541	\$143,558	\$154,772
FTE	391	441	441	275	288	309

Performance Plan Measures

Measure: Number of visa applications in which the Visa Security Program discovered derogatory information and provided the information to the Department of State.						
Description of Measure: This measure captures the instances in which the Visa Security Program (VSP) discovered derogatory information on a visa applicant as a result of applicant screening and in - depth vetting by Visa Security Officers (VSO). Derogatory information includes any information that makes a visa applicant ineligible to receive a visa. All information found by the VSO during screening process is provided to the Department of State (DOS) for final adjudication of visa applications.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	955	1050
Actual:	None	None	None	None	N/A	N/A

Measure: Percent of visa applications screened at high - risk visa adjudicating posts						
Description of Measure: This measure indicates the percent of visa applications that undergo review by an Immigration and Customs Enforcement (ICE) Special Agent compared to the total number of visa applications received at all high - risk visa adjudicating posts. Review of visa applications by the program is an added layer of defense in the adjudication of visa applications processed by the State Department to prevent potential terrorists or known criminals from obtaining visas for travel to the U.S. ICE, where posted, ensures that visa applicants are screened against DHS databases prior to Department of State visa issuance						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	21%	FOUO	FOUO
Actual:	None	None	None	FOUO	N/A	N/A

Program: Investigations						
Performance Goal: Prevent the exploitation of systemic vulnerabilities in trade and immigration that allow foreign terrorists, other criminals, and their organizations to endanger the American people, property, and infrastructure.						
Secretary's Priority: Enforcing and Administering Our Immigration Laws						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$1,528,794	\$1,535,748	\$2,071,265	\$1,969,504	\$2,167,524	\$2,272,078
FTE	7,840	8,384	9,056	9,644	10,227	9,676

Performance Plan Measures

Measure: Percent of closed investigations which have an enforcement consequence (arrest, indictment, conviction, seizure, fine, or penalty).						
Description of Measure: More effective immigration and customs enforcement will contribute to enhanced homeland security as well as to greater deterrence. One method for measuring this						

effectiveness is to determine the extent to which criminal investigations are completed successfully, i.e., closed with an enforcement consequence. However, although many criminal cases arise that are worth pursuing, the potential of an investigation is not known at its inception; therefore, it is to be expected that many cases will be closed each year without an enforcement consequence when it is determined that the investigation is no longer viable. In addition to getting criminals off the street, successful investigations also expose and remove, or contribute to the elimination of, vulnerabilities in various aspects of customs and immigration, i.e., the ways in which criminals manage to evade safeguards that are supposed to prevent their illegal activity, and areas in which such safeguards are lax or do not exist.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	38.5%	36.5%	36.6%	47%	48%	49.9%
Actual:	36.4%	35.8%	46.3%	47.7%	N/A	N/A

E. High Priority Performance Goals

ICE estimates that 1.3 million to 2.65 million removable criminal aliens currently reside within the United States. During FY 2009, ICE removed over 136,000 of these criminal aliens, but must dramatically improve its enforcement operations to more adequately target the entire criminal alien population. This High Priority Performance Goal will focus on our efforts to detain and quickly remove dangerous criminal aliens from the United States through our Secure Communities program. Secure Communities is a comprehensive DHS initiative to modernize the criminal alien enforcement process. It supports public safety by strengthening efforts to identify and remove the most dangerous criminal aliens from the United States. The Security communities program goals are to identify criminal aliens through modernized information sharing, and prioritize enforcement actions to ensure apprehension and removal of dangerous criminal aliens.

High Priority Performance Measures:

FYHSP Program Name	Program Performance Goal	Performance Measure	Secretary's Priority
Detention and Removal Operations	Improve the efficiency of the process to detain and remove illegal immigrants from the United States	Number of aliens charged or convicted of a Level 1 offense identified through integrated record checks	Enforcing and Administering Our Immigration Laws
Detention and Removal Operations	Improve the efficiency of the process to detain and remove illegal immigrants from the United States	Criminal aliens convicted of a Level 1 offense removed as a percent of total alien removals	Enforcing and Administering Our Immigration Laws
Detention and Removal Operations	Improve the efficiency of the process to detain and remove illegal immigrants from the United States	Percent of criminal alien programs achieving priority targets	Enforcing and Administering Our Immigration Laws

F. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Digest of FY 2011 Budget Estimates by Activity and FYHSP Program¹
(dollars in thousands)

	FY09 Rev. Enacted ³		FY10 Enacted		FY11 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
DISCRETIONARY						
Investigations	9,320	1,835,967	9,852	1,995,405	10,360	2,078,011
- Domestic Investigations	8,236	1,565,410	8,606	1,649,551	8,980	1,727,038
- Headquarters Management and Administration	766	202,242	869	278,060	951	281,912
- Intelligence	318	68,315	377	67,794	429	69,061
Detention & Removal	8,776	3,042,898	9,408	3,197,540	9,497	3,206,317
Custody Operations	6,831	2,132,637	6,936	2,165,984	6,888	2,286,509
- DRO - Custody Operations	5,157	1,789,468	5,210	1,771,168	5,131	1,903,764
- Headquarters Management and Administration	481	126,634	526	168,334	544	161,079
- Legal Proceedings	1,184	211,535	1,200	221,664	1,213	221,666
- Construction	9	5,000	-	4,818	-	-
Fugitive Operations	740	225,101	745	251,556	749	189,702
- DRO - Fugitive Operations	677	208,477	677	229,682	677	168,449
- Headquarters Management and Administration	63	16,624	68	21,874	72	21,253
Criminal Alien Program	1,019	361,955	1,538	422,652	1,594	355,833
- DRO - Criminal Alien Program	932	189,069	932	192,539	942	179,317
- Headquarters Management and Administration	87	22,886	94	30,113	100	29,573
- Comprehensive Identification and Removal of Criminal Aliens	-	150,000	512	200,000	552	146,943
Alternatives to Detention	186	67,174	189	75,470	201	77,789
- DRO - Alternatives to Detention	170	63,000	172	69,913	182	72,075
- Headquarters Management and Administration	16	4,174	17	5,557	19	5,714
Transportation & Removal	-	256,031	-	281,878	65	296,484
- DRO - Transportation and Removal Program	-	256,031	-	281,878	59	294,632
- Headquarters Management and Administration	-	-	-	-	6	1,852
International Affairs	276	144,952	297	154,007	307	154,772
- Domestic Investigations	244	136,936	260	143,558	266	144,375
- Headquarters Management and Administration	23	5,992	26	8,401	28	8,351
- Intelligence	9	2,024	11	2,048	13	2,046
Automation Modernization	18	77,000	19	90,000	36	84,700
- Automation Modernization	18	77,000	19	90,000	36	84,700
Federal Protective Service²	1,225	640,000	-	-	-	-
- Federal Protective Service	1,225	640,000	-	-	-	-
SUBTOTAL, DISCRETIONARY	19,615	5,740,817	19,576	5,436,952	20,200	5,523,800
MANDATORY						
Investigations	411	184,598	559	188,395	563	194,067
- Student Exchange and Visitor Program	261	120,000	387	120,000	387	120,000
- Immigration Inspection User Fees	150	64,598	172	68,395	176	74,067
Detention & Removal	189	129,402	117	116,405	113	117,320
Custody Operations	189	129,402	117	116,405	113	117,320
- Breached Bond Detention Fund	63	75,000	13	41,405	13	75,000
- Immigration Inspection User Fees	126	54,402	104	75,000	100	42,320
Fugitive Operations	-	-	-	-	-	-
Criminal Alien Program	-	-	-	-	-	-
Alternatives to Detention	-	-	-	-	-	-
Transportation & Removal	-	-	-	-	-	-
International Affairs	-	-	-	-	-	-
Automation Modernization	-	-	-	-	-	-
SUBTOTAL, MANDATORY	600	314,000	676	304,800	676	311,387
TOTAL BUDGET AUTHORITY	20,215	6,054,817	20,252	5,741,752	20,876	5,835,187

¹ This table reflects the following alignment of non-FYHSP programs to FYHSP programs:

Department of Homeland Security

Transportation Security Administration



Fiscal Year 2011
Overview
Congressional Submission

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i. Summary of FY 2011 Budget Estimates by Appropriation

**Department of Homeland Security
Transportation Security Administration
Summary of FY 2011 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)**

Budget Activity	FY 2009 Actual ¹		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE ¹	AMOUNT ²	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Aviation Security	49,319	\$4,717,596	49,282	\$5,214,040	53,608	\$5,559,894	4,326	\$345,854	4,192	765,954	134	(420,100)
Surface Transportation Security	303	67,391	593	110,516	787	137,558	194	27,042	---	(3,594)	194	30,636
Transportation Threat Assessment & Credentialing	178	182,428	246	215,619	262	210,944	16	(4,675)	---	---	16	(4,675)
Transportation Security Support	1,306	940,497	1,501	1,001,780	1,558	1,052,369	57	50,589	44	54,166	13	(3,577)
Federal Air Marshals	---	818,170	---	860,111	---	950,015	---	89,904	---	85,027	---	4,877
Subtotal, Enacted Apprs & Budget Est (Gross Discretionary)	51,106	6,726,082	51,622	7,402,066	56,215	7,910,780	4,593	508,714	4,236	901,553	357	(392,839)
Aviation Security Capital Fund (ASCF)	---	230,731	---	250,000	---	250,000	---	---	---	---	---	---
Airport Checkpoint Security Fund (ACSF)	---	41,676	---	---	---	---	---	---	---	---	---	---
Alien Flight School - Fee	4	5,414	6	4,000	6	4,000	---	---	---	---	---	---
Subtotal, Enacted Apprs & Budget Est (Gross Budgetary Resources)	51,110	7,003,903	51,628	7,656,066	56,221	8,164,780	4,593	508,714	4,236	901,553	357	(392,839)
Less: Adjustments for Other Funding Sources:												
Aviation Security Fees - Offsetting Fees	0	(1,912,532)	0	(2,228,941)	0	(2,149,560)	0	79,381	0	0	0	79,381
Aviation Passenger Security Fees (less ASCF)		(1,505,953)		(1,780,941)		(1,701,560)		79,381				79,381
Aviation Security Infrastructure Fee (ASIF)		(406,579)		(448,000)		(448,000)		---				---
Aviation Fees - Discretionary Fees	---	(1,862)	---	---	---	---	---	---	---	---	---	---
General Aviation at DCA - Fee		(105)										
Indirect Air Cargo - Fee		(1,757)										
Credentialing Fees - Discr - User Fees	-	(88,182)	-	(43,620)	-	(37,220)	-	6,400	-	-	-	6,400
Registered Traveler Program - Fee		(93)										
TWIC - Fee		(76,199)		(9,000)		(9,200)		(200)				(200)
Hazardous Material (HazMat) CDL - Fee		(11,890)		(15,000)		(12,000)		3,000				3,000
General Aviation at DCA - Fee				(100)		(100)		---				---
Indirect Air Cargo - Fee				(2,600)		(1,400)		1,200				1,200
Certified Cargo Screening Pgm - Fee				(5,200)		(5,200)		---				---
Large Aircraft Security Pgm - Fee				(1,600)		(1,200)		400				400
Secure Id Display Area Checks - Fee				(10,000)		(8,000)		2,000				2,000
Other Security Threat Assess - Fee				(100)		(100)		---				---
Sensitive Security Information - Fee				(20)		(20)		---				---
Less: Prior Year Rescission:		(31,000)		(4,000)				4,000				4,000
Net, Discr Apprs and Budget Est	51,106	4,692,506	51,622	5,125,505	56,215	5,724,000	4,593	598,495	4,236	901,553	357	(303,058)
Aviation Fees - Mandatory	---	(250,000)	---	(250,000)	---	(250,000)	---	---	---	---	---	---
Aviation Security Capital Fund		(250,000)		(250,000)		(250,000)		---				---
Airport Checkpoint Security Fund (ACSF)	---		---		---		---		---	---	---	
Credentialing Fees - Mandatory	---	(3,617)	---	(4,000)	---	(4,000)	---	---	---	---	---	---
Alien Flight School - Fee	---	(3,617)	---	(4,000)	---	(4,000)	---	---	---	---	---	---

1 (a) American Recovery and Reinvestment Act (ARRA) 15 FTP/14 FTE not displayed in FY10 enacted as they are funded out of carryover. The FTP/FTE from ARRA should be footnoted in the CJ.

(b) FY10 Av Reg and Surface Inspectors/K-9 FTP/FTE updated after MAX submission to correct number provided.

2 FY10 Passenger fees reflect FY10 President's Request (\$1,780,941K vice enacted amount (\$1,652,000)). All other FY10 fees reflect enacted levels. The FY10 Enacted columns in the Aviation and Summary tables should be footnoted for the P

American Recovery and Reinvestment Act (ARRA)	FY 2009 Actuals		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Checkpoint Support		87,905										
EDS.ETD Procurement and Installation		487,755										

ii. Homeland and Non-Homeland Allocation

Department of Homeland Security
 Transportation Security Administration
 Homeland and Non-Homeland Allocation by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	2009 Actuals ¹				2010 Enacted				2011 Request			
	Homeland		Non-Homeland		Homeland		Non-Homeland		Homeland		Non-Homeland	
	FTE	Amount	FTE	Amount	FTE ¹	Amount ²	FTE	Amount	FTE	Amount	FTE	Amount
I. AVIATION SECURITY	49,319	4,717,896			49,319	4,717,896	49,282	5,214,040	49,282	5,214,040	53,608	5,559,894
1. Screening Partnership Program		\$155,950				\$155,950		\$149,643		\$149,643		\$142,678
2. Screener PC&B	45,341	2,714,330			45,341	2,714,330	44,930	2,758,575	44,930	2,758,575	48,338	2,997,664
3. Screener Training and Other	46	220,624			46	220,624	55	204,713	55	204,713	55	264,643
4. Checkpoint Support	35	72,912			35	72,912	40	128,739	40	128,739	59	360,026
5. EDS Procurement/Installation	91	329,449			91	329,449	102	778,300	102	778,300	116	373,832
6. Screening Technology Maintenance & Utilities		305,393				305,393		316,625		316,625		332,125
7. Operation Integration		14,576				14,576		21,481		21,481		
8. Aviation Regulation & Other Enforcement	1,063	252,005			1,063	252,005	1,132	254,064	1,132	254,064	1,434	368,363
9. Airport Management and Support	2,104	454,647			2,104	454,647	2,285	453,924	2,285	453,924	2,851	577,315
10. FFDG & Flight Crew Training	28	30,989			28	30,989	29	25,127	29	25,127	29	25,694
11. Air Cargo	608	157,568			608	157,568	709	122,849	709	122,849	726	117,554
12. Airport Personnel Security		7,979				7,979						
Aviation Fees - Discretionary Fees - User Fees												
13. General Aviation at DCA - Fee		30				30						
14. Indirect Air Cargo - Fee	3	1,144			3	1,144						
II. SURFACE TRANSPORTATION SECURITY	303	67,391			303	67,391	293	110,516	293	110,516	787	137,558
1. Staffing and Operations	147	40,137			147	40,137	165	42,293	165	42,293	165	39,947
2. Surface Transportation Security Inspectors & Canines	156	27,254			156	27,254	428	68,223	428	68,223	622	97,611
III. TRANSPORTATION THREAT ASSESSMENT &	178	182,428			178	182,428	246	215,619	246	215,619	262	210,944
1. Secure Flight	62	80,377			62	80,377	108	84,363	108	84,363	108	84,637
2. [Cross and] Other Vetting Programs	77	36,175			77	36,175	98	87,636	98	87,636	108	89,087
3. TWIC Appr		6,521				6,521						
Credentialing Fees - Discretionary - User Fees												
4. Registered Traveler Program - Fee	2	579			2	579						
5. TWIC - Fee	22	45,224			22	45,224	21	9,000	21	9,000	21	9,200
6. Hazardous Material (HazMat) CDL - Fee	15	13,552			15	13,552	17	15,000	17	15,000	17	12,000
7. General Aviation at DCA - Fee								100		100		100
8. Indirect Air Cargo - Fee							2	2,600	2	2,600	2	1,400
9. Certified Cargo Screening Pgm - Fee								5,200		5,200	6	5,200
10. Large Aircraft Security Pgm - Fee								1,600		1,600	1,200	1,200
11. Secure Id Display Area Checks - Fee								10,000		10,000		8,000
12. Other Security Threat Assess - Fee								100		100		100
13. Sensitive Security Information - Fee								20		20		20
IV. TRANSPORTATION SECURITY SUPPORT	1,306	940,497			1,306	940,497	1,501	1,001,780	1,501	1,001,780	1,558	1,052,369
1. Intelligence	124	23,007			124	23,007	167	28,203	167	28,203	202	37,788
2. Headquarters Administration	876	245,205			876	245,205	963	248,929	963	248,929	985	271,399
3. Human Capital Services	181	192,543			181	192,543	222	226,338	222	226,338	222	262,747
4. Information Technology	125	476,880			125	476,880	149	498,310	149	498,310	149	480,435
5. Research & Development		2,862				2,862						
V. FEDERAL AIR MARSHALS		818,170				818,170		860,111		860,111		950,015
1. Management and Administration		728,052				728,052		762,569		762,569		822,900
2. Travel and Training		90,118				90,118		97,542		97,542		127,115
3. Air-To-Ground Communications												
Total Direct Appropriations and	51,106	6,726,082			51,106	6,726,082	51,622	7,402,066	51,622	7,402,066	56,215	7,910,780
MANDATORY FEES												
1. Aviation Security Capital Fund (ASCF)		230,731				230,731		250,000		250,000		250,000
2. Airport Checkpoint Security Fund (ACSF)		41,676				41,676						
3. Alien Flight School - Fee	4	5,414			4	5,414	6	4,000	6	4,000	6	4,000
Total Budget Authority	51,110	7,003,903			51,110	7,003,903	51,628	7,656,066	51,628	7,656,066	56,221	8,164,780
FEE ACCOUNT OFFSET												
Discretionary Fees:		(2,002,576)				(2,002,576)		(2,272,561)		(2,272,561)		(2,186,780)
Aviation Security Fees - Offsetting Fees												
1. Aviation Passenger Security Fees (less ASCF)		(1,505,953)				(1,505,953)		(1,780,941)		(1,780,941)		(1,701,560)
2. Aviation Security Infrastructure Fee (ASIF)		(406,579)				(406,579)		(448,000)		(448,000)		(448,000)
Aviation Fees - Discretionary Fees												
3. General Aviation at DCA - Fee		(105)				(105)						
4. Indirect Air Cargo - Fee		(1,757)				(1,757)						
Credentialing Fees - Discretionary - User Fees												
5. Registered Traveler Program - Fee		(93)				(93)						
6. TWIC - Fee		(76,199)				(76,199)		(9,000)		(9,000)		(9,200)
7. Hazardous Material (HazMat) CDL - Fee		(11,890)				(11,890)		(15,000)		(15,000)		(12,000)
8. General Aviation at DCA - Fee								(100)		(100)		(100)
9. Indirect Air Cargo - Fee								(2,600)		(2,600)		(1,400)
10. Certified Cargo Screening Pgm - Fee								(5,200)		(5,200)		(5,200)
11. Large Aircraft Security Pgm - Fee								(1,600)		(1,600)		(1,200)
12. Secure Id Display Area Checks - Fee								(10,000)		(10,000)		(8,000)
13. Other Security Threat Assess - Fee								(100)		(100)		(100)
14. Sensitive Security Information - Fee								(20)		(20)		(20)
Mandatory Fees:												
1. Aviation Security Capital Fund (ASCF)	(4)	(253,617)			(4)	(253,617)	(6)	(254,000)	(6)	(254,000)	(6)	(254,000)
2. Airport Checkpoint Security Fund (ACSF)		(250,000)				(250,000)		(250,000)		(250,000)		(250,000)
3. Alien Flight School - Fee	(4)	(3,617)			(4)	(3,617)	(6)	(4,000)	(6)	(4,000)	(6)	(4,000)
REVISION OF PRIOR YEAR FUNDS												
Net, Direct Appropriations and Budget Estimates	51,106	4,716,710			51,106	4,716,710	51,622	5,125,505	51,622	5,125,505	56,215	5,724,000

1 (a) American Recovery and Reinvestment Act (ARRA) 15 FTP/14 FTE not displayed in FY10 enacted as they are funded out of carryover. The FTP/FTE from ARRA should be footnoted in the CJ.

(b) FY10 Av Reg and Surface Inspectors/K-9 FTP/FTE updated after MAX submission to correct number provided.

2 FY10 Passenger fees reflect FY10 President's Request (\$1,780,941K vice enacted amount (\$1,652,000)). All other FY10 fees reflect enacted levels. The FY10 Enacted columns in the Aviation and Summary tables should be footnoted for the Passenger fee.

American Recovery and Reinvestment Act (ARRA)			
Checkpoint Support	87,905		87,905
EDS/ETD Procurement and Installation	487,755		487,755

Note: FY 09 funded 30 temporary positions which will be annualized as permanent positions in FY 11.

iii. Status of Congressionally Requested Studies, Reports, and Evaluation

**Department of Homeland Security
Transportation Security Administration**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2006	N/A	Conference Report	Air Cargo Pilots Costs Estimates	TSA drafting -- Target delivery date to DHS is 2/1/10
2009	11/16/2009	Omnibus Conference Report	4th Quarter Air Cargo Statistics	TSA drafting -- Target delivery date to DHS is 2/1/10
2009	11/16/2009	Omnibus Conference Report	4th Quarter Explosives Detection Systems Expenditure Plan Update	TSA drafting -- Target delivery date to DHS is 2/1/10
2009	11/16/2009	Omnibus Conference Report	4th Quarter Checkpoint Support Expenditure Plan Update	TSA drafting -- Target delivery date to DHS is 2/1/10
2009	4/6/2009	Omnibus Conference Report	General Aviation	Report is in final editing stage with the CFO
2009	4/6/2009	Omnibus Conference Report	Threat Containment Units	Report is in the DHS Clearance Process
2009	11/16/2009	Omnibus Conference Report	Screening Wait Times 4th Quarter	Transmitted 12/24/09
2009	12/29/2009	Verbal Commitment During 3/31/09 House Appropriations Hearing	Drawdown Study on Transit and Rail Grant Programs	Report is currently in TSA-FEMA clearance
2010	12/28/2009	Conference Report	Explosives Detection Systems Plan	TSA drafting --
2010	12/28/2009	Conference Report	Checkpoint Support Expenditure Plan	TSA drafting --
2010	12/28/2009	Conference Report	Behavior Detection Officer	Report is in the DHS Clearance Process
2010	12/28/2009	Conference Report	Air Cargo Expenditure Plan	TSA drafting -- Target delivery date to DHS is 3/1/10
2010	1/10/2010	Report and Senate Report	Risk Assessments	TSA drafting -- Target delivery date to DHS is 3/1/10
2010	1/25/2010	Conference Report	Secure Flight	TSA drafting -- Target delivery date to DHS is 2/1/10
2010	1/25/2010	Conference Report	Register Traveler	TSA drafting -- Target delivery date to DHS is 3/1/10
2010	2/1/2010	Conference Report	Next Generation Technologies Savings	TSA drafting -- Target delivery date to DHS is 3/1/10
2010	2/1/2010	Conference Report	FAMS Assessment	TSA drafting -- Target delivery date to DHS is 3/1/10
2010	2/1/2010	Conference Report	1st Quarter Recoveries and Deobligations	TSA drafting -- Target delivery date to DHS is 2/1/10
2010	2/16/2010	Conference Report	1st Quarter FAMS Classified Hiring	TSA drafting -- Target delivery date to DHS is 2/1/10
2010	2/16/2010	Conference Report	1st Quarter Air Cargo Statistics	TSA drafting -- Target delivery date to DHS is 2/1/10
2010	2/16/2010	Conference Report	1st Quarter Checkpoint Support Expenditure Plan Update	TSA drafting -- Target delivery date to DHS is 2/1/10
2010	2/16/2010	Conference Report	1st Quarter Explosives Detection Systems Expenditure Plan Update	TSA drafting -- Target delivery date to DHS is 2/1/10
2010	4/15/2010	Conference Report	Unclaimed Money at Airports	TSA drafting -- Target delivery date to DHS is 3/2/10
2010	4/23/2010	Conference Report	Checked Baggage Systems at Smaller Airports	TSA drafting -- Target delivery date to DHS is 3/10/10

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2010	4/26/2010	Conference Report	100 Percent Air Cargo Screening Plan	TSA drafting -- Target delivery date to DHS is 3/15/10
2010	5/17/2010	Conference Report	Deobligations	TSA drafting -- Target delivery date to DHS is 5/3/10
2010	5/17/2010	Conference Report	2nd Quarter Classified Hiring	TSA drafting -- Target delivery date to DHS is 5/3/10
2010	5/17/2010	Conference Report	2nd Quarter Air Cargo Statistics	TSA drafting -- Target delivery date to DHS is 5/3/10
2010	5/17/2010	Conference Report	Update	TSA drafting -- Target delivery date to DHS is 5/3/10
2010	5/17/2010	Conference Report	2nd Quarter Checkpoint Support Expenditure Plan Update 2nd Quarter Report	TSA drafting -- Target delivery date to DHS is 5/3/10
2010	8/16/2010	Conference Report	3rd Quarter Recoveries and Deobligations	TSA drafting -- Target delivery date to DHS is 8/2/10
2010	8/16/2010	Conference Report	3rd Quarter FAMS Classified Hiring	TSA drafting -- Target delivery date to DHS is 8/2/10
2010	8/16/2010	Conference Report	3rd Quarter Air Cargo Statistics	TSA drafting -- Target delivery date to DHS is 8/2/10
2010	8/16/2010	Conference Report	Update	TSA drafting -- Target delivery date to DHS is 8/2/10
2010	8/16/2010	Conference Report	3rd Checkpoint Support Expenditure Plan	TSA drafting -- Target delivery date to DHS is 8/2/10
2010	11/15/2010	Conference Report	4th Quarter Recoveries and Deobligations	TSA drafting -- Target delivery date to DHS is 11/1/10
2010	11/15/2010	Conference Report	4th Quarter FAMS Classified Hiring	TSA drafting -- Target delivery date to DHS is 11/1/10
2010	11/15/2010	Conference Report	4th Quarter Air Cargo Statistics	TSA drafting -- Target delivery date to DHS is 11/1/10
2010	11/15/2010	Conference Report	Update	TSA drafting -- Target delivery date to DHS is 11/1/10
2010	11/15/2010	Conference Report	4th Quarter Checkpoint Support Expenditure Plan Update	TSA drafting -- Target delivery date to DHS is 11/1/10
2010	12/28/2009	Conference Report	VIPR Expenditure Plan	Report is currently in OMB Clearance
2010	7/30/2009	Conference Report	Advance Imaging Technology	Report is in the DHS Clearance Process

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
Transportation Security Administration**

Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)

Budget Activity	Last Year of	Authorized	Appropriation	FY 2011 Request
	Authorization	Level	in Last Year	
	Fiscal Year	Amount	of	
			Amount	Amount
Aviation Security	2011	Such sums	N/A	5,559,894
- Screening Partnership Program	2011	Such sums	N/A	142,678
- Screener Personnel Compensation and Benefits	2011	Such sums	N/A	2,997,664
- Screener Training and Other	2011	Such sums	N/A	264,643
- Checkpoint Support	2011	Such sums	N/A	360,026
- EDS/ETD Procurement and Installation	2011	Such sums	N/A	373,832
- Screening Technology Maintenance & Utilities	2011	Such sums	N/A	332,125
- Operation Integration	2011	Such sums	N/A	---
- Aviation Regulation and Other Enforcement	2011	Such sums	N/A	368,363
- Airport Management and Support	2011	Such sums	N/A	577,315
- Federal Flight Deck Officer and Flight Crew Training	2011	Such sums	N/A	25,694
- Air Cargo	2011	Such sums	N/A	117,554
- Airport Perimeter Security	2011	Such sums	N/A	---
Surface Transportation Security	2011	N/A	N/A	137,558
- Surface Transportation Security Operations and Staffing	2011	N/A	N/A	\$39,947
- surface Transportation Security Inspectors and Canines	2011	N/A	N/A	97,611
Transportation Threat Assessment and Credentialing	2005	Such sums	54,919	214,944
- Secure Flight ¹	2005	Such sums	34,919	84,637
- Crew Vetting ¹	2005	Such sums	10,000	---
- Other Vetting & Screening/Screening Admin & Ops	N/A	N/A	N/A	89,087
- TWIC - Fee	N/A	N/A	N/A	9,200
- HAZMAT CDL - Fee	N/A	N/A	N/A	12,000
- General Aviation at DCA - Fee	N/A	N/A	N/A	100
- Indirect Air Cargo - Fee	N/A	N/A	N/A	1,400
- Certified Cargo Screening Program - Fee	N/A	N/A	N/A	5,200
- Large Aircraft Security Program - Fee	N/A	N/A	N/A	1,200
- Secure Identification Display Area Checks - Fee	N/A	N/A	N/A	8,000
- Other Security Threat Assessments	N/A	N/A	N/A	100
- Sensitive Security Info - Fee	N/A	N/A	N/A	20
- Alien Flight School - Fee ¹	2005	Such sums	10,000	4,000
Transportation Security Support	N/A	N/A	N/A	1,052,369
- Intelligence	N/A	N/A	N/A	37,788
- HQ Administration	N/A	N/A	N/A	271,399
- Human Capital Services	N/A	N/A	N/A	262,747
- Information Technology	N/A	N/A	N/A	480,435
Federal Air Marshal Service	2011	Such sums	N/A	950,015
- Management and Administration	2011	Such sums	N/A	822,900
- Travel and Training	2011	Such sums	N/A	127,115
- Air-to-Ground Communications	2011	Such sums	N/A	---
Aviation Security Capital Fund ²	2028	Such sums	N/A	250,000
Total Direct Authorization/Appropriation				8,164,780

¹ Through FY 2005, these programs were under the Aviation Program and were therefore authorized. The Transportation Threat Assessment and Credentialing Appropriation has not been authorized.

² P.L. 110-53 reauthorized the Aviation Security Capital Fund from FY 2008 through FY 2028.

Department of Homeland Security
Transportation Security Administration
Aviation Security:



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Aviation Security:

I. Appropriation Overview

A – Mission Statement for Aviation Security:

The Aviation and Transportation Security Act (ATSA), Public Law 107-71, enacted on November 19, 2001, established the Transportation Security Administration (TSA) to protect the transportation system and ensure the freedom of movement for people and commerce. The Aviation Security Appropriation consists of programs whose primary focus is to secure aviation transportation. The path to achieving this mission has evolved in the years since the September 11th attacks. Enhancements in aviation security have included emphasis in explosives detection training and technology, modifications to the prohibited items list, and changes to TSA security screening protocols.

B – Budget Activities:

The Aviation Security appropriation includes two distinct components: (1) Transportation Security Officer (TSO) Operations and Equipment and (2) Aviation Direction and Enforcement.

TSO Operations and Equipment - TSO Operations and Equipment includes the Programs, Projects and Activities (PPAs) that support the pay, training, outfitting, and operating costs for the TSO workforce. Funding is also included for checkpoint support, purchase, installation, and maintenance of screening equipment, to include explosives detection systems (EDS) and explosives trace detection machines (ETD).

Aviation Direction and Enforcement - Aviation Direction and Enforcement includes activities that ensure that TSA continues to build a strong security regulation and enforcement presence on-site at the Nation's commercial airports. Funding requested under this decision unit supports air cargo and airport/airline regulation compliance through inspections, international programs, and the airport management and direction staff and airport administrative support.

Terrorism in the aviation domain is an enduring and highly adaptive threat. Terrorists study our vulnerabilities to learn how to exploit our procedural and technological security gaps to increase the lethality and political impact of their attacks. Aviation continues to be a target of coordinated terrorist activity. Examples include the attempted attack of a flight from Amsterdam to Detroit on Christmas Day in 2009, an alleged terrorist plot to detonate liquid explosives onboard multiple aircraft departing from the United Kingdom for the United States in August 2006, and terrorists' intended attacks on U.S.-bound flights originating from multiple foreign airports in December 2003. This request supports efforts to mitigate the risk to the Aviation domain.

C – Budget Request Summary:

The Transportation Security Administration requests 60,663 positions, 53,608 Full-Time Equivalent (FTE), and \$5,559,894 in appropriated funding. Also included in the appropriation is \$250,000 in mandatory fee collections (0 positions/FTE). The total adjustment-to-base includes an increase of 60 positions, 134 FTE, and a decrease of \$420,100,000 in appropriated funding. The total program changes include net increases of 6,567 positions, 4,192 FTE, and \$765,954,000 to enhance security operations. Program changes include:

- Reduce Screening Partnership Program as a result of contract efficiencies (0 positions/FTE and \$10 million)
- Increase Transportation Security Officers at the checkpoint and expand the number of Behavior Detection Officers (BDOs) along with associated training, uniform, and consumable costs (5,705 positions, 3,760 FTE and \$296.858 million) (\$235.062 million Transportation Screener PC&B / \$61.796 million Screening Training and Other)
- Increase Checkpoint Support adding advanced imaging technologies to 500 lanes, expanding the program to cover just under 50% planned lanes and approximately 50-60% of passengers and adding approximately 800 portable Explosive Trace Detection units (10 positions, 5 FTE, and \$231.200 million).
- Accelerate EDS Procurement/Installation (0 positions/FTE and \$82.502 million)
- Eliminate the Operation Integration PPA, absorbing costs within EDS and Checkpoint (0 positions/FTE and \$21.481 million)
- Increase to Aviation Regulation to enhance international security (74 positions, 37 FTE, and \$38.844 million); expand explosives detection canine program by 275 proprietary teams (523 positions, 262 FTE, and \$69.149 million); and increase Canine Cooperative Agreements Stipend (0 positions/FTE and \$3.880 million)
- Corresponding increases to Airport Management and Support for increases in airport rent and utilities to accommodate additional staffing and imaging technologies, transit subsidies, and other personnel and operating costs in support of aviation security program increases (255 positions, 128 FTE, and \$73.162 million).

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security Transportation Security Administration

Aviation Security:

Summary of FY 2011 Budget Estimates by Program Project Activity
FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Screening Partnership Program [Privatized Screening]	-	155,950	-	149,643	-	142,678	-	(6,965)	-	(10,000)	-	3,035
Passenger & Baggage TSO PC&B [Passenger & Baggage Screener - PC&B]	45,341	2,714,330	44,930	2,758,575	48,338	2,997,664	3,408	239,089	3,760	235,062	(352)	4,027
Screening Training and Other	46	220,624	55	204,713	55	264,643	-	59,930	-	61,796	-	(1,866)
Checkpoint Support	35	160,817	40	128,739	59	360,026	19	231,287	5	231,200	14	87
EDS Procurement and installation	91	817,204	102	778,300	116	373,832	14	(404,468)	-	82,502	14	(486,970)
Screening Technology Maintenance & Utilities [EDS/ETD Maintenance]	-	305,393	-	316,625	-	332,125	-	15,500	-	-	-	15,500
Operation Integration	-	14,576	-	21,481	-	-	-	(21,481)	-	(21,481)	-	-
Aviation Regulation and Other Enforcement	1,063	252,005	1,132	254,064	1,434	368,363	302	114,299	299	111,873	3	2,426
Airport Management, IT, and Support	2,104	454,647	2,285	453,924	2,851	577,315	566	123,391	128	73,162	438	50,229
FFDO and Flight Crew Training	28	30,989	29	25,127	29	25,694	-	567	-	-	-	567
Air Cargo	608	157,568	709	122,849	726	117,554	17	(5,295)	-	1,840	17	(7,135)
Airport Perimeter Security	-	7,979	-	-	-	-	-	-	-	-	-	-
Sub-Total (Appropriated)	49,316	5,292,082	49,282	5,214,040	53,608	5,559,894	4,326	345,854	4,192	765,954	134	(420,100)
Discretionary Fees	3	1,174	-	-	-	-	-	-	-	-	-	-
General Aviation - offsetting fee	-	30	-	-	-	-	-	-	-	-	-	-
Air Cargo - offsetting fee	3	1,144	-	-	-	-	-	-	-	-	-	-
Sub-Total, Enacted Appropriations & Budget Estimates (Gross Discretionary)	49,319	5,293,256	49,282	5,214,040	53,608	5,559,894	4,326	345,854	4,192	765,954	134	(420,100)
Aviation Security Capital Fund:	-	230,731	-	250,000	-	250,000	-	-	-	-	-	-
Checkpoint screening security fund:	-	41,676	-	-	-	-	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	49,319	5,565,663	49,282	5,464,040	53,608	5,809,894	4,326	345,854	4,192	765,954	134	(420,100)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
(Gross Budgetary Authority)												
Adjustments from Other Funding Sources												
Aviation Security Fees- Discretionary Offsetting Fees	-	(1,912,532)	-	(2,228,941)	-	(2,149,560)	-	79,381	-	-	-	79,381
Aviation Passenger Security Fees (Less ASCF in FY08)	-	(1,505,953)	-	(1,780,941)	-	(1,701,560)	-	79,381	-	-	-	79,381
Aviation Security Infrastructure Fee (ASIF)	-	(406,579)	-	(448,000)	-	(448,000)	-	-	-	-	-	-
Aviation Security Fees- User Fees	-	(1,862)	-	-	-	-	-	-	-	-	-	-
General Aviation @ DCA Fees	-	(105)	-	-	-	-	-	-	-	-	-	-
Indirect Air Cargo Fees	-	(1,757)	-	-	-	-	-	-	-	-	-	-
Aviation Fees- Mandatory	-	(250,000)	-	(250,000)	-	(250,000)	-	-	-	-	-	-
Aviation Security Capital Fund	-	(250,000)	-	(250,000)	-	(250,000)	-	-	-	-	-	-
Less: Prior Year Rescission		(31,000)										
Net Discretionary Appropriations & Budget Estimates	49,319	5,565,663	49,282	2,985,099	53,608	3,410,334	4,326	425,235	4,192	765,954	134	(340,719)

* FY2009 Checkpoint Support and EDS Procure/Install PPAs include funding for ARRA

III. Current Services Program Description by PPA

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Screening Partnership Program [Privatized Screening]
Program Performance Justification
(Dollars in Thousands)**

PPA: Screening Partnership Program [Privatized Screening]

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	155,950
2010 Enacted	-	-	149,643
2011 Adjustments-to-Base	-	-	3,035
2011 Current Services	-	-	152,678
2011 Program Change	-	-	(10,000)
2011 Total Request	-	-	142,678
Total Change 2010 to 2011	-	-	(6,965)

The Transportation Security Administration requests \$142.7 million for this activity. This is a decrease of \$7.0 million from FY 2010. The change is a result of a \$3.0 million increase for pay inflation and a \$10.0 million decrease from contract efficiencies.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Screening Partnership Program (SPP) was established by ATSA to permit an airport operator to request screening services through a private screening company. Private screening contractors must perform equal to or better than federal screening operations under federal oversight following the same operating procedures. The Screening Partnership Program satisfies a mandate in ATSA to establish a program after a two year pilot program, (PP5). Key lessons learned from evaluation studies and input from internal subject matter experts and external stakeholders assisted in designing the Screening Partnership Program.

The current airports in the program are:

- San Francisco International Airport (SFO)
- Kansas City International Airport (MCI)
- Greater Rochester International Airport (ROC)
- Jackson Hole Airport (JAC)
- Tupelo Regional Airport (TUP)
- Sioux Falls Joe Foss Field Regional Airport, SD (FSD)

- Key West International Airport (EYW)
- 34th Street Heliport in New York City, NY
- Charles Schulz – Sonoma County Airport, CA (STS)
- Roswell Industrial Airport in Roswell, NM (ROW)
- Dawson Community Airport (GDV)
- Wokal Field (GGW)
- Havre City-County Airport (HVR)
- Lewiston Municipal Airport (LWT)
- Frank Wiley Field (MLS)
- Clayton Airport (OLF)
- Sidney-Richland Regional Airport (SDY)

Significant accomplishments in FY 2009 include:

- Awarded a contract for seven Montana airports (MT7) to provide private screening service operations;
- Completed the re-compete contract for ROW and transitioned incumbent contractor to new contractor at ROW;
- Increased the Behavior Detection Officer (BDO), Aviation Direct Access Screening Program (ADASP) / Playbook and Travel Document Checker (TDC) FTE at SPP airports;
- Deployed Visible Intermodal Prevention and Response (VIPR) teams to SPP airports;
- Implemented security requirements in existing contracts as changes are made to Standard Operating Procedures (SOP) or as new security programs are developed; and
- Supported the deployment of H1N1 screening protocols.

FY 2010 planned accomplishments include:

- Re-compete, award and transition contracts for screening services to eight airports: SFO, MCI, ROC, JAC, TUP, FSD; EYW & STS;
- Monitor the Quality Assurance Surveillance Plan to ensure the objectivity of the metrics;
- Implement security requirements in existing contracts as changes are made to Standard Operating Procedures (SOP) or new security programs are developed.

In FY 2011, planned accomplishments include:

- Re-compete contracts for screening services at two airports: EYW and STS;
- Execute possible option years: SFO, MCI, ROC, JAC, TUP, FSD, ROW, and MT7; BTM, GPI and WYS;
 - Continue with FY 2010 areas of emphasis.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Passenger & Baggage TSO PC&B
Program Performance Justification
(Dollars in Thousands)**

PPA: Passenger & Baggage TSO PC&B

	Perm. Pos	FTE	Amount
2009 Actuals	50,187	45,341	2,714,330
2010 Enacted	49,468	44,930	2,758,575
2011 Adjustments-to-Base	(422)	(352)	4,027
2011 Current Services	49,046	44,578	2,762,602
2011 Program Change	5,705	3,760	235,062
2011 Total Request	54,751	48,338	2,997,664
Total Change 2010 to 2011	5,283	3,408	239,089

The Transportation Security Administration requests \$3.0 billion for this activity. This is an increase of \$239.1 million from FY 2010. The \$4.0 million adjustment to base consists of pay inflation, the annualization for 109 Bomb Appraisal Officers (BAOs) received in FY 2010, and the realignment of the BAO program from Screener PC&B to Airport Management. The \$235.1 million program increase reflects increasing the number of Transportation Security Officers (TSOs) at the checkpoint in order to support the accelerated deployment of advanced imaging technology (AIT) and expanding the number of Behavior Detection Officers (BDOs).

TSA’s request to realign the BAO program is based on the following:

- The BAOs report directly to the Federal Security Directors (FSDs).
- The mission of the BAO program is to deter terrorist or criminal operations against aviation, which involves the use of explosive devices. This mission is a much more limited scope than that of the Transportation Security Officers.
- In contrast to TSOs, the number of BAOs is not determined by the Staffing Allocation Model (SAM) model. The deployment of BAOs is determined through risk assessment and maximum coverage patterns.
- Due to the fact that BAOs must have the Explosive Ordinance Disposal or civilian-equivalent training as a pre-requisite, this program is not generally a step in TSO career progression.

CURRENT SERVICES PROGRAM DESCRIPTION

Passenger and baggage screening protects commercial air travelers by preventing dangerous or deadly objects that individuals are attempting to smuggle onto aircraft, either on their person or

in their carry-on or checked baggage. The TSA screening process must strike the appropriate balance between preventing security breaches and maintaining the efficient movement of law-abiding passengers through the security checkpoints. After passenger check-in, TSOs use various types of electronic detection and imaging machines, including X-ray machines; explosives trace detection equipment, walk-through metal detectors (WTMD), advanced imaging technology (AIT), and hand-held metal detectors. At the checkpoints, TSOs perform some physical searches of carry-on baggage and pat-down searches of airline passengers, crew and airport employees in conjunction with the use of behavior recognition techniques and the validation of travel documents.

TSO Workforce and Attrition

By law, all TSOs -- both private and federal -- are required to be U.S. citizens; pass a background investigation; and have a high school diploma, a general equivalency diploma, or sufficient experience. They must undergo extensive training and be certified to screen passengers and use the detection equipment. TSOs are subject to periodic training and testing, failure to pass any phase of training or a certification examination is grounds for employment termination.

TSOs are just one of the layers of security needed to thwart the threats to the aviation system. TSA has added more specialized security positions with different skill sets such as Travel Document Checkers (TDCs) and Behavior Detection Officers (BDOs) to enhance the level of security provided and to move security beyond the checkpoint environment. These additional layers of security have proven to be successful in implementation. TSA has seen the benefits of these new positions in providing a career path for TSOs, which has had a direct impact on reducing attrition and enabling TSA to retain a more tenured TSO workforce. TSA also established a TSO Referral system to attract TSO candidates and facilitate recruitment and increase retention. This program was based on an idea from TSA's employee-driven Idea Factory.

TSA determines and allocates FTE to the airports through the Staffing Allocation Model (SAM). This model is constantly refined to most effectively allocate and manage the TSO workforce. Through the efficient allocation of resources, TSA reduced overtime expenditures by approximately 55 percent since FY 2003, utilized 'Split-Shifts' rotations, and increased work hours dedicated for training.

The TSO budgeted FTE levels are broken down as follows:

TSO Budgeted FTE by Job title						
Job title	Band	FY07 FTE	FY08 FTE	FY09 FTE^{1/}	FY10 FTE	FY11 FTE
TSOs	D, E	32,176	32,180	31,536	29,792	32,417
Lead/Master TSOs ^{2/}	F	5,490	5,490	5,490	6,090	6,615
Supervisory/Expert TSOs ^{2/}	G	4,360	4,360	4,360	4,610	4,960
BDOs	F,G,H,I	589	2,011	2,860	2,986	3,196
BAOs ^{3/}	H, I	118	297	297	352	Realigned to Airport Mgmt
Managers	H, I	1,045	1,100	1,100	1,100	1,150
TOTAL		43,778	45,438	45,643	44,930	48,338

TSO FTE Allocated to Security Duties						
Job Duty	FY07 FTE	FY08 FTE	FY09 FTE^{1/}	FY10 FTE ^{2/}	FY11 FTE	
TDC	-	2,001	2,001	2,001	2,001	
ADASP	726	1,279	1,654	1,654	1,654	
BDOs	589	2,011	2,860	2,986	3,196	
BAO	118	297	297	352	Realigned to Airport Mgmt	
Checkpoint / Other	42,345	39,850	38,831	37,937	41,487	
TOTAL	43,778	45,438	45,643	44,930	48,338	

^{1/} TSO Workforce is composed of approximately 11,000 PT TSOs and 37,000 FT TSOs (of which over 3,000 are Split Shift Employees).

^{2/} The increase in FY 10 and FY 11 is to more accurately reflect TSOs outside the entry level/journeyman position. Prior to this budget submission, these line items were titled "Lead TSOs" and "Supervisory TSOs". The workforce has been expanded to include "Master" and "Expert" TSO. The responsibilities of the TSOs have increased over the years, becoming more specialized with additional technology requirements (liquid bottle scanners) and additional responsibilities.

^{3/} TSA is requesting the BAO program be realigned to Airport Management PPA

In FY 2009, TSA had a record low attrition rate:

Attrition Type	Work Schedule	FY04	FY05	FY06	FY07	FY08	FY09
Voluntary	Full-Time ONLY	13.6%	13.4%	12.6%	11.6%	10.8%	5.30%
Voluntary	Part-Time ONLY	57.8%	44.1%	38.6%	37.4%	31.8%	15.50%
Voluntary	TOTAL	18.0%	17.4%	16.5%	17.4%	15.8%	7.70%

Career Progression Program

This program enables widespread career growth and professional development opportunities for high-performing TSOs, while reducing attrition and adding additional security. The career progression structure allows TSA to distinguish and retain the more experienced and top performing TSOs. Test results show a positive correlation between longevity and performance, including detection ability, screening efficiency and customer service. As threats evolve and increase in complexity, the advanced skills of the TSA workforce are necessary to stay ahead of terrorist capabilities.

Program benefits include:

- Providing for the promotions of TSOs to E Band, a TSO compensation scale above the existing entry-level D Band. TSOs are eligible based on a minimum of two year's experience, specific level of performance and additional training/duties.
- Increasing the number of available positions for specialized technical career tracks. Master and Expert TSOs are BDOs or Security Training Instructors (STI) compensated at higher band levels. BDOs screen passengers by observation techniques (SPOT) to identify potentially high-risk individuals based on involuntary physical and physiological reactions. STIs perform training instruction based on national and local training programs.
- Deploying new skill sets and training to TSOs which dramatically increase their abilities. Programs such as the Aviation Direct Access Screening Program (ADASP) / Playbook, Visible Intermodal Prevention and Response (VIPR) Program, SPOT, and TDC program have enhanced TSOs' security expertise.
- Formally creating Coordination Center Officers. These TSOs assist with facilitating smooth communications and analyzing information on threats and responding to crises. Coordination Center Officers also ensure directives from management are met in a timely and accurate fashion.

Workforce Initiatives

Through the SAM process, TSA has been able to identify operational and efficiency gains made possible through better scheduling, the increased use of part-time and split-shift employees, technology improvements and management practices. These gains led to the expansion of security initiatives, largely accomplished within existing resources, which have significantly strengthened air transportation security. The workforce initiatives include:

- Travel Document Checker (TDC) Program - This program ensures that only passengers with authentic boarding passes can access the sterile areas of airports and board aircraft. Specially trained TSOs, using black lights and magnifying loupes, are positioned in front of the checkpoint to check passengers' boarding passes and identification. It also allows TSA to better control passenger flow in and around the

checkpoints while allowing TSOs access to for sensitive security information regarding threats, watch lists, false documents etc.

- Screening of Passengers by Observation Techniques (SPOT) - This essential behavior recognition and analysis program adds an important layer of security in all areas of an airport. It provides a non-intrusive means of identifying potentially high-risk individuals who exhibit behaviors that deviate from an established environmental baseline, which could possibly suggest intentions of terrorism and/or criminal activity. This request includes increasing the number of BDOs by 350.
- Visible Intermodal Prevention and Response (VIPR) teams - These teams consist of TSOs, BDOs, Transportation Security Inspectors (TSIs) and Federal Air Marshals (FAMs). Their duty is to screen passengers, look for suspicious behavior and act as a visible deterrent in multiple transportation sectors, including buses, mass transit and airports. New technology, including the use of mobile radiological screening equipment has expanded the reach and capability of TSA's VIPR teams.
- Aviation Direct Access Screening Program (ADASP) / Playbook – This is an enhanced layer of security in response to a possible threat posed by airport and aircraft operator employees or other individuals and vehicles entering or present within a Security Identification Display Area (SIDA), Air Operations Area (AOA), secured, or sterile area. The ADASP program is currently being integrated into Playbook, which is designed as a comprehensive, flexible deployment system of countermeasures that are coordinated at the local airport level in order to respond quickly to emergency conditions or hostile acts. It's supported through local decision-making between the Airport Operator and the Federal Security Director (FSD), playbook involves working collaboratively with stakeholders and coordinating the assets of TSA, local law enforcement, and other Department of Homeland Security (DHS) agencies to improve an airport's overall security posture. The objective of ADASP/Playbook is to establish uniform procedures and standards for TSOs to screen individuals, their accessible property and vehicles upon entering a direct access point screening location, and conduct visual inspections of aircraft.
- The Aviation Screening Assessment Program (ASAP) - This program measures TSO screening performance using realistic and standardized assessment scenarios. The primary purpose of ASAP is to provide statistical data to determine reasons for failure within the checkpoint and checked baggage screening process. ASAP test results provide critical information to TSA leadership that helps with the improvement of aviation security and the identification of vulnerabilities across screening operations. Through continuous data analysis, recommendations and potential impacts are provided to various stakeholders in the organization. Each ASAP cycle is six-months long with the number of assessments required per cycle based on the factors to be evaluated. A total of 6,600 assessments will be executed by the end of FY 2010.

Workers' Compensation

TSA continues to aggressively reduce U.S. Department of Labor Office of Workers' Compensation Program (OWCP) costs through strategies of prevention, education, case management, and nurse intervention. TSA field operations are required to develop a local safety program targeted at inspections, hazard recognition and analysis, hazard abatement, and injury documentation. The Office of Occupational Safety, Health and Environment (OSHE) provided field support to the nation's airports to develop their safety programs, and eleven safety courses aimed at injury prevention are posted on TSA's Online Learning Center. TSA's national nurse case management program at 21 airports has successfully assisted TSOs in returning to employment in a shorter time. The Periodic Roll Initiative (PRI), established in April 2007 is a joint effort with the Nurse Case Management team where all of the long term disability (Periodic Roll) cases are examined for opportunities to return employees back to work when medically feasible.

In addition, the President's Safety, Health, and Return to Employment Initiative (SHARE) requires Federal agencies to reduce the Total Case Rate (TCR) and Lost Time Case Rate (LTCR) by three percent each Fiscal Year from the FY 2003 baseline. TSA has exceeded its goal of reducing the number of TSO injuries and illnesses. The Total Case Rate (TCR) was reduced from a rate of 29.06 total cases per 100 employees in FY 2005 to 7.55 in FY 2009, a decrease of 74.2 percent. The Lost Time Case Rate (LTCR) Decreased from 12.89 cases per 100 employees in FY 2005 to 3.53 cases in FY 2009, a decrease of 72.6 percent.

In FY 2011, TSA will seek to continue the trend of reducing numbers of TSO injuries and illnesses.

	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	Percent Change FY 2005 - FY 2008
Total Case Rate (TCR)	22.89	36.27	29.06	16.46	13.93	10.15	7.55	-74.02%
Lost Time Case Rate (LTCR)	--	--	12.89	8.94	7.19	5.14	3.53	-72.61%

These initiatives have led to a \$10.9 million decrease in OWCP costs between FY 2009 and FY 2011 (from \$55.5 million for FY 2009 to an estimated \$44.6 million for FY 2011). TSA anticipates that these efforts will mitigate injuries in the out-years.

Accomplishments and Enhancements

Significant accomplishments in FY 2009 include:

- Reduced wait times to under 20 minutes. Over 99% of wait times are less than 20 minutes;
- Tripled the number of IED Checkpoint drills;

- Trained approximately 55,000 TSA employees on ENGAGE! (for employees working at the checkpoint) and/or COACH!! training (supervisory training), an extensive retraining program that brought together the latest thinking from intelligence, explosives detection, and inhuman factors that can affect security.
- Transitioned to the use of STIs for recertification training, in lieu of contractors for a reduction of costs in the out-years without degrading the program.
- Screened more than 570 million people and more than 420 million bags. This year, TSOs prevented passengers from bringing onto planes more than 830 guns.
- As a result of BDO and TDC referrals, 518 people were arrested.

FY 2010 planned accomplishments include:

- Utilizing advanced communication systems for TSOs throughout the airport;
- Expanding the use of STIs for re-certification training;
- Initial distribution and piloting of Credential Authentication Technology/Boarding Pass Scanning System (CAT/BPSS) devices at TDC stations;
- Supporting BDOs participation in TSA's Performance Accountability and Standards System (PASS); and
- Executing 6,600 ASAP assessments at airports.

FY 2011 planned accomplishments:

- Continue deployment of CAT/BPSS devices to TDC stations;
- Complete 6,600 ASAP assessments at airports;
- Accelerate the implementation of advanced imaging technology (AIT), which provides the capability to detect dangerous materials, including non-metallics. By the end of FY 2011, TSA plans to have deployed over 1,000 machines throughout the aviation sector.
- Expand security coverage at our nation's airports by increasing the number of BDOs by 350.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Screening Training and Other
Program Performance Justification**
(Dollars in Thousands)

PPA: Screening Training and Other

	Perm. Pos	FTE	Amount
2009 Actuals	56	46	220,624
2010 Enacted	56	55	204,713
2011 Adjustments-to-Base	-	-	(1,866)
2011 Current Services	56	55	202,847
2011 Program Change	-	-	61,796
2011 Total Request	56	55	264,643
Total Change 2010 to 2011	-	-	59,930

The Transportation Security Administration requests \$264.6 million for this activity. This is an increase of \$59.9 million from FY 2010. The \$1.9 million adjustment to base consists of a \$1.3 million non-recr of FY 2010 funding, \$.104 million increase for pay inflation and a \$.720 million decrease as part of the Bomb Appraisal Officer (BAO) realignment to Airport Management previously discussed in the Screener PC&B PPA. The program change includes \$21 million for consumables relating to the purchase of additional Explosive Trace Detection (ETD) devices and the balance is the training and related consumable/non-payroll expenses associated with the FY 2011 increase in TSOs and BDOs.

CURRENT SERVICES PROGRAM DESCRIPTION

This activity provides the resources to support new and recurring training requirements for the TSO workforce, as well as other direct costs associated with TSO operations.

The following table provides the components of this PPA.

\$ in millions

	FY 2010	FY 2011
TSO Training	\$99.2	\$134.0
Screener Supplies/Janitorial/Uniforms	62.3	87.4
National Deployment Office	25.0	25.0
Environmental Programs	12.1	12.1
Model Workplace Program	2.0	2.0
Tort Claims	4.1	4.1
Total	\$204.7	\$264.6

Transportation Security Officer (TSO) Training: \$134.0 million: TSO training is comprised of a compendium of courses that includes basic training for initial hires, on-the-job training (OJT), lead and supervisor technical training, recurrent training, advanced technical skills training, remedial training, and return-to-duty training. All new hires receive a combination of instructor-led, hands-on, and web-based training. Recurrent and specialized training courses are provided by either classroom instruction or the TSA On-Line Learning Center (OLC).

TSA uses a measurement and evaluation process to ensure that training programs meet established objectives and standards. Training effectiveness is assessed using a four-level model measuring trainee reaction, learning, behavior, and results. TSA also conducts assessments to ensure that a high level of instructional quality is maintained.

The following programs are funded through this activity:

- **New Hire Training Program (NHTP):** The bulk of the security training funding provides for classroom instruction on checkpoint procedures, including travel document checking. The checked baggage screening procedures module includes on-screen-resolution protocol (OSARP) training for all new hires depending upon the equipment in place at their duty location. NHTP provides web-based training, 40 hours of instructor-led training, and hands-on equipment-specific labs at the home/hub airport. To coincide with the introduction of emerging technologies into the mainstream passenger screening process, TSA develops and subsequently delivers training to support those technologies.
- **Recurrent Training:** All TSOs are required to undergo recurrent security training to ensure they maintain proficiency of skills learned during basic training. Additionally, the recurrent courses are designed to keep the workforce up-to-date with procedural changes; new technologies introduced into the screening operations; equipment used by the TSOs in the performance of their duties; and, new threat items. This training is often delivered on a weekly basis and is used to target the TSOs' individual training needs (e.g. X-ray Image Interpretation). Recurrent training courses are also required for BDOs, BAOs and the TDCs programs.
- **Checkpoint Evolution Training:** This new checkpoint strategy incorporates an intelligence-based focus on the interaction and communication with passengers, enlisting them as active participants in the security process. Every TSO working at the checkpoint underwent re-training that consolidated the latest thinking in intelligence, explosives detection, and human factors that can affect security. With the goal of making TSOs more analytical and less "check-list oriented." The NHTP and recurrent training curriculums incorporates elements of this initiative as a theme focusing on four main elements: security-driven imperative to engage passengers; calming of the checkpoint to enhance early detection of hostile intent; increase of unpredictability; and reduction of congestion through passenger engagement at multiple points throughout their journey.

Currently, there are two required instructor-lead training courses for checkpoint evolution. All TSA personnel take the first course and all supervisory personnel (Lead TSOs and above) complete the second course. This second course provides mid-level managers with skills necessary to help reinforce the training and provide guidance to TSOs. By FY 2011, the TSA will have developed the next phase of training that continues to promote the concept of critical thinking and instills the ideals of COACH! and ENGAGE!

- **Travel Document Checker (TDC) Program:** This curriculum provides training for all TSOs assigned to check travel documents and verify identification for individuals seeking access to the screening checkpoint. The curriculum includes training on Standard Operating Procedures, detecting fraudulent documents, utilizing document checking technology, and recognizing acceptable forms of identification. The training will continue to be updated and enhanced as new information is available.
- **Transportation Security Managers (TSM) Technical Training Course:** The technical and leadership competence of TSMs is critical to TSA objectives that serve to protect the traveling public by preventing any deadly or dangerous objects from being transported onto aircraft or other modes of transportation. TSA will develop and deploy a course to strengthen TSMs' technical and managerial skills and provide tools needed to successfully manage the daily responsibilities and challenges and respond and assess all unresolved issues at checkpoint, checked baggage, and SPOT locations.
- **Behavior Detection Officer (BDO) Program:** This curriculum provides training in behavior observation and analysis at the checkpoint for the purpose of identifying passengers exhibiting behaviors indicative of stress, fear and deception. This program, known as Screening Passengers by Observation Techniques (SPOT), is performed by BDOs at all major airports. The curriculum for this program will continue to be upgraded to include additional requirements in behavior detection and reflect new techniques in deception prevention.
- **Security Training Instructor (STI):** This training supports the creation of a permanent TSA in-house instructor certification program. In the past, TSOs performed instructor functions as a collateral duty under the TSA Approved Instructors (TAI) program. The STI program provides more stability and consistency since TSOs become virtually full-time instructors while creating a career progression opportunity. The STI will perform instructional duties 80% of the time and perform security screening duties the remaining 20%. In 2009, STIs provided Basic Screener Training (BST) to 90% of the newly hired TSOs, while the contractor provided 10%. This shift of training delivery responsibilities from headquarters (HQ) to the airports provides flexibility to the field and allows HQ to focus on improving curriculum by using the latest adult learning techniques and technology.
- **Supervisor Technical Training Course (STTC):** The technical and leadership competence of Supervisory Transportation Security Officers (STSOs) is a critical

component of workforce effectiveness and retention. TSA developed and deployed a course to strengthen STSOs' technical and general supervisory skills and provide tools needed to successfully manage the daily responsibilities and challenges faced at the checkpoint and/or checked baggage screening locations. TSA modified this course to include its Lead TSOs (LTSOs), as they also fulfill a critical role in the overall TSO management change. TSA conducts additional STSO Train-the-Trainer courses to enable airports to provide ongoing training to their STSOs and LTSOs at their home airports. TSA plans to develop recurrent training to support the STTC.

- Emerging Technology Training/Aids and Tools: This training supports the evaluation and deployment of emerging screening technologies for passenger, carry-on, and checked baggage screening. Some of these emerging technologies include Advance Imaging Technology (AIT), Advanced Technology (AT), Bottled Liquid Scanners (BLS), Stand Off Detection (SOD), and Auto Explosives Detection Systems. TSA employs a variety of automated training and testing tools to enhance TSO skills, including simulated computer based courses, and training videos. TSA continues to use the latest cutting edge technologies to provide sophisticated scenario-based training.
- Performance Reviews: All TSOs, Lead TSOs, and Supervisory TSOs must participate in an Annual Proficiency Review to ensure that they meet all of the qualifications and performance standards required to perform their duties as required of ATSA. TSOs will continue to be certified annually based on overall performance as defined by the Performance Accountability and Standards System (PASS). In 2009, PASS Technical Proficiency testing focused on image recognition, proper screening techniques, and the ability to identify, detect, and locate prohibited items. Technical proficiency is measured in the following ways:
 - Measuring Image Proficiency -- One image quiz per year administered using the x-ray simulation;
 - Measuring Practical Skills -- A series of Practical Skills Evaluations, including the detection of prohibited items, of all TSOs per year; and
 - Measuring On-Screen Alarm Resolution Protocol (OSARP) Proficiency – One OSARP quiz per year administered using the Employee Assessment Management System (EAMS) software.

Since inception, TSA relied on contractors to conduct practical skills evaluations on its workforce. In FY 2009, this effort was significantly restructured to be conducted by STIs. Over 40,000 TSOs were successfully recertified by TSA employee evaluators using an end-to-end paperless evaluation and reporting system. Additionally, the evaluation criteria itself was restructured into a more focused results-based measure centered on a TSO's ability to find prohibited/threat items. TSA also created more realistic object recognition assessments to accommodate for the evolving technology deployed at airports.

Significant accomplishments for the Screener Training Program in FY 2009 included:

- Provided training for 3,096 new TSOs, trained and certified 70 STIs, redesigned the Bomb Appraisal Officer (BAO) certification course and trained and certified 58 BAO's for placement at airports and trained and certified 732 BDOs;
- Awarded new five-year Specialized Security Training contract;
- Developed advanced imaging technology, advanced technology x-ray, bottled liquid scanner and new explosive trace detection training, and trained all airports where this equipment is deployed;
- Deployed improvised explosives device (IED) training to improve TSO's x-ray recognition and detection of IEDs and implemented the IED Accessory Kit program that provides variability and flexibility with IED kits used for IED recognition training and testing; and
- Trained approximately 55,000 field operations employees in 5 months in unpredictable security skill training.

FY 2010 planned accomplishments include:

- Develop and implement recurrent training for STIs, BDOs, BAOs, and TDC Programs as well as develop and implement a technical training course for Transportation Security Managers;
- Develop Credential Authentication Technology, Shoe Scanner, Exit Lane Breach Technology and Auto EDS training and will train all airports where the equipment is deployed;
- Launch advanced imaging technology and advanced technology x-ray simulation software for use during image analysis training and testing;
- Continue to transition the day-to-day operations of the Practical Skills Evaluation process to STIs/STSOs.
- Integrate ENGAGE! and COACH!! training into new hire and recurrent training materials and launch next phases of Evolution training to field operations workforce.

In FY 2011, TSA will continue to sustain technical training for the aviation security workforce. A fundamental principle of TSA's training mission is to fully engage the workforce both in the classroom and on the job by the use of an interactive learning environment. Both use simulations and action learning techniques and employ new learning products in resident courses and distributed learning.

TSA will continue to analyze the feasibility of using digital video recording tools to upload TSO real-life performance at the checkpoint into an electronic and automated evaluation system. Airport personnel would be able to review the information with the employee and conduct remediation and "re-evaluation" as necessary to ensure that poor performers are able to successfully achieve minimal performance standards or higher.

TSA will test and evaluate the effectiveness of new screening technologies for passengers and baggage. Advanced imaging technology (including millimeter wave and x-ray backscatter), reduced-size EDS for use at checkpoints and possibly as a combined solution for checked

baggage and checkpoint baggage screening, shoe and bottled liquid scanners, and advanced technology X-ray provide increased capabilities. As these new technological advances in screening are tested and implemented, new training modules will be developed and existing training updated to ensure TSOs are knowledgeable, skilled and prepared.

In FY 2011, TSA will provide at the request level basic and advanced training for over 5,000 new TSOs and 350 new BDOs along with career development. The training funding increase requested is directly correlated with the increase in TSO/BDO staffing.

Supplies/ Janitorial/ Uniforms/ and Other: \$87.4 million: Consumable supplies are critical materials used by TSOs to ensure effective screening of passengers, carry-on and checked baggage. These consumable supplies include: disposable gloves, sample swabs or traps, sample wands, daily calibration tokens, sticks or traps, moisture removers, filters, printer paper, and ribbons, reactant materials, special solutions, label seals to identify bags inspected by TSOs, TSA logo inspected tape to reseal cardboard boxes and packages after inspection, and baggage inserts to notify passengers that TSA has opened their bag for inspection and providing contact information in the event of a problem.

TSA began issuing bottled liquids scanning equipment to airports in FY 2007. This equipment requires a sensing element in order to detect traces of certain chemical agents that must be periodically replaced. In FY 2011, TSA will provide almost 550 portable explosive trace detection (ETD) units to checkpoints that will require the use of consumable items for swabbing used in the testing.

TSA continues to support janitorial services contracts for passenger checkpoint and baggage screening areas to ensure a safe, debris-free work environment for TSOs and convey a positive image of TSA work areas to the traveling public. TSA currently provides janitorial reimbursement at over 90 federalized airports and reimbursement requests are increasing at a rate of approximately 22 airports per year.

TSA continues to provide uniforms to new hires as well as provide replacement uniforms to all TSOs through the annual allowance program. The new TSO's TSA plans to hire in FY 2011 will result in increased uniform and supply costs.

National Deployment Office (NDO): \$25 million: The NDO provides additional TSOs and BDOs to Federal Security Officers (FSDs) for screening support during crisis response and recovery operations, seasonal demands, special events or other activities that require higher-than-normal security related staffing levels. Each request for NDO support is analyzed from a cost/benefit/risk perspective to ensure the optimal use of limited resources is achieved. The NDOs responsibilities include deploying TSOs, Transportation Security Inspectors (TSIs) and BDOs in support of Visible Intermodal Prevention and Response (VIPR) Teams. VIPR teams deploy to enhance and augment local transportation security operations in the non-aviation modes of rail, mass transit, bus and/or ferry modes. For disaster response operations, the NDO is responsible for deploying 12 Transportation Security Advance Teams (TSAT), which include 156 personnel, and 41 Transportation Screening Security Teams (TSST), which include 895

personnel. TSA continues to review methods for reducing costs associated with the NDO program.

Significant accomplishments for the NDO in FY 2009 included:

- Conducted security operations to support the field in the following areas:
- Disaster response and recovery operations
- Seasonal Augmentation
- Risk Mitigation Operations (VIPR)
- Special Events (Presidential Inauguration and G-20 Summit)
- Equipment
- Pilot programs
- Training
- Hiring Shortfalls
- Expanded Air Service
- Practical Skills Evaluations
- Identity Verification Call Center
- Transportation Worker Identification Credential Program
- COACH!! and ENGAGE!
- Deployed to 142 locations, providing 1,343 National Deployment Force (NDF) Officers delivering 61,042 days of support.
- Provided Crisis Response Deployments

In FY 2010 and FY 2011, NDO will continue to support the movement of security operations personnel in support of the VIPR teams, security pilot programs, disaster response operations, practical skills evaluations and other emerging operational requirements.

Environmental Program: \$12.1 million: This program provides for the disposition of hazardous materials and abandoned personal property collected by TSA at checkpoints, as well as the maintenance of the environmental management system. TSA has an extensive and complex program to safely and securely identify, sort, store, and protect assets; as well as remove and dispose of hazardous and voluntarily abandoned property. TSA's national hazardous materials disposal program protects the traveling public from exposure to hazardous materials and complies with Federal, State, and Local environmental regulations and laws.

Significant accomplishments for Environmental Programs in FY 2009 included:

- Won the 2009 "Federal Electronics Challenge" (FEC) Gold Award. This award recognizes outstanding environmental stewardship in all three life cycle phases of electronics acquisition, energy efficient utilization, and disposal;
- Conducted the 2nd Biennial TSA Environmental Management Coordinator (EMC) Training Seminar. This training Seminar was developed and executed to re-enforce and update program training as well as to convey and discuss lessons learned from the FY 2008 TSA/EPA Regulatory Workshop. In addition to providing training to EMCs, the seminar leveraged knowledge and best practices from EMCs nationwide

to continue to increase the efficiency of TSA operations in the face of increasing volumes of hazardous voluntarily abandoned property; and

- Completed 238 environmental compliance audits. TSA is well ahead of the GRPA requirement to perform environmental audits at all facilities and operations every three years.

FY 2010 planned accomplishments include:

- Complete a comprehensive review and update the Hazardous Materials Management Program training courses to ensure compliance;
- Continue to implement and maintain the environmental management system and the disposal of hazardous materials and abandoned personal property collected by TSA at checkpoints; and
- Complete a case study to evaluate alternative disposal methods for hazardous voluntarily abandoned property at small TSA airport operations. If successful, TSA may be able to increase the efficiency of the National Hazardous Materials Management contract by eliminating airport operations that will no longer require the services of the contract.

In FY 2011, TSA will complete the implementation of an Environmental Due Diligence Audit program to support TSA's increased direct lease and potential real property purchase activities. This program will ensure TSA's potential environmental liabilities are managed.

Model Workplace Program: \$2 million: This program identifies and implements the best employment ideals and practices to make TSA an employer of choice. The cornerstone of the program is TSA's Integrated Conflict Management System (ICMS). The ICMS builds and sustains an environment in which issues, ideas, and concerns are raised and addressed, and conflict is managed effectively. The system provides skills, structure, and support to cooperatively solve problems necessary for good relationships, teamwork, and organizational effectiveness.

Significant accomplishments for FY 2009 included:

- Achieved over 90 percent success rate in airports reaching ICMS Level 1 and 2 Standards and provided guidance and support to assist the Federal Air Marshal Service;
- Published Level 3 ICMS Standards and began creation of an assessment plan to collect, track and analyze the metric; and
- Conducted HQ ICMS design workshop and developed roll out plan to include establishing HQ Employee Advisory Council.

FY 2010 planned accomplishments include:

- Implement assessment plan and metrics for measuring ICMS Level 3 Standards;
- Begin certifying airports and FAM offices – achieve 25 percent compliance rate; and
- Develop, qualify, and mentor Conflict Management Internal Practitioners.

In FY 2011, Model Workplace Program Office (MWPO) plans to continue to fully embed ICMS throughout TSA seeking to achieve a 90 percent compliance rate for Level 1, 2, and 3 Standards and to define Level 4 standards.

Tort Claims: \$4.1 million: TSA currently screens over 50 million bags per month and over 35 million passengers per month. Occasionally, during the screening process, a screener may damage or misplace passengers' property. TSA reimburses passengers that have experienced loss or damage due to the negligence of a TSA employee.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Checkpoint Support
Program Performance Justification**
(Dollars in Thousands)

PPA: Checkpoint Support

	Perm. Pos	FTE	Amount
2009 Actuals	41	35	160,817
2010 Enacted	41	40	128,739
2011 Adjustments-to-Base	15	14	87
2011 Current Services	56	54	128,826
2011 Program Change	10	5	231,200
2011 Total Request	66	59	360,026
Total Change 2010 to 2011	25	19	231,287

The Transportation Security Administration requests \$360.0 million for Checkpoint Support activities. This is an increase of \$231.3 million over FY 2010 for technologies for explosives detection at airport checkpoints. An adjustment-to-base increase of 15 FTP and \$87,000 reflect positions to support the American Recovery and Reinvestment Act (ARRA) in addition to a program change of 10 FTP.

CURRENT SERVICES PROGRAM DESCRIPTION

The following table provides the components of this PPA.

(dollars in millions)

	FY 2010	FY 2011
Checkpoint Technology	\$117.3	\$344.1
Advanced Surveillance Program	6.0	6.0
Payroll	5.4	9.9
Total	\$128.7	\$360.0

The checkpoint support program provides the resources required to test, evaluate, integrate, and deploy passenger screening and carry-on baggage screening capabilities. This involves technologies, training, checkpoint reconfigurations, closed circuit television surveillance equipment, operational integration of systems, and safety and optimization services at approximately 2,225 passenger checkpoint lanes in our Nation's airports. TSA developed a

strategic plan to enhance screening through improved checkpoint technology which will refine passenger security for aviation. This initiative extends beyond the airport checkpoint and considers the end-to-end passenger experience to improve security and increase efficiency. Focus is on three key elements: improved explosives detection, enhanced hostile intent detection, and extended presence in the passenger journey.

Current technologies that have been deployed include Threat Image Protection (TIP) Ready X-Ray machines (TRX); enhanced walk-through metal detectors (WTMD) that screen persons for metallic weapons such as guns or knives; explosives trace detectors (ETD), which are used to test for explosive residue on selected carry-on items or can be used as a portable device that allows for increased security and an added layer of random screening within the sterile area; bottle liquids scanners (BLS), which screen bottles to determine if they contain explosives or benign liquids; Credential Authentication Technology (CAT), which is used to verify a passenger's travel documents; Automatic Wait Time (AWT) technology, which allows the TSA to monitor wait times at checkpoints; Chemical Analysis Devices (CAD), which are small devices used to identify suspect substances; advanced imaging technology (AIT) consisting of millimeter wave, backscatter x-ray, and other technologies capable of providing images of threat objects on a person's body; and Advanced Technology systems (AT), which are X-ray systems with advanced visual detection capabilities, using multi-view capabilities or automated explosives detection capabilities.

The TSA received ARRA funding to be used at the checkpoint in order to procure and install checkpoint explosives detection equipment. The TSA will use these funds to accelerate the large scale deployment of AT systems, Universal Conveyor Systems (UCS), BLS, AIT, CAT, CAD, and Next Generation Explosive Trace Detectors (NextGen ETDs). By the end of FY 2010, enough AT and BLS will be procured to complete the current nationwide requirements of these systems. ARRA procurements of AIT, UCS, CAT, CAD and NextGen ETD will provide a significant percentage of coverage toward full operating capability of these systems.

FY 2009 significant accomplishments included:

- Conducted Lab Testing on Advanced Technology X-ray systems (AT2) manufactured by 3 vendors, AIT systems from 2 vendors, BLS from 5 vendors, and 1 NextGen ETD vendor.
- Conducted Operational Testing on AIT systems manufactured by 2 vendors, BLS from 2 vendors, and 1 NextGen ETD vendor.
- Procured 44 AT Systems; 400 NextGen ETD; 150 AIT, 500 BLS.
- Deployed 512 AT, 12 AIT, and 89 ETD.

FY 2010 planned accomplishments include:

- Establish a Qualified Products List for AT2 with increased liquids detection capabilities;
- Achieve full operating capability (FOC) for BLS;
- Procure and deploy Credential Authentication Technology/Boarding Pass Scanning Systems (CAT-BPSS);

- Conduct laboratory and operational testing and evaluation for AWT and Shoe Scanner Devices (SSD); and
- Conduct test and evaluation (T&E) support for AT Carry-on Screening, AIT, BLS and NextGen ETD systems, Security Technology Integrated Program (STIP), CAT-BPSS, SSD, and Enhanced Metal Detection (EMD).

FY 2011 planned accomplishments include:

- Continue procurement and deployment for AIT and AWT;
- Continue modifications to the CAT-BPSS to provide ID verification capabilities for law enforcement, airline and airport IDs;
- Procure and deploy SSD that will allow passengers to avoid the inconvenience of removing their shoes for security screening;
- Procure and deploy Portable ETD that will allow for the increased security and an added layer of random screening within the sterile area;
- Continue evaluation and modification of AT2 systems to increase detection capabilities to allow liquids and laptops to remain in carry-on bags for screening;
- Continue evaluation and modification of AIT to provide automated detection capabilities to increase throughput and further remove operator subjectivity from the security decision process. Assessments will continue on new technologies in support of the checkpoint area, as well as enhancing existing T&E capabilities. TSA will also continue to evaluate technologies planned for checkpoint, improvements to existing screening technologies, and products emerging from DHS Science and Technology's R&D program; and
- Establish a new set of technology qualification groups based on Innovative Technology Review Process (ITRP) data and information on next generation technologies to include:
 - Emerging spectrum-based inspection technologies;
 - Advanced EMD including echo-imaging; and
 - Next generation x-ray based systems.

Checkpoint Technology: \$344.1 million: This request includes \$344.1 million to test, procure and deploy improved technology systems to further extend explosives and prohibited item detection coverage at aviation checkpoints. It includes funding to test, purchase, and install new screening equipment and update existing equipment. Funds will also be used for program, engineering, technical support and travel, original equipment manufacturer training, warehousing, consumables, and refurbishing equipment, to provide functionality and performance enhancements, as well as for life-cycle replacements for units reaching the end of their useful life.

TSA analyzes integration of new and modified systems and concepts of operation to ensure operational effectiveness and suitability prior to full system production and deployment. The purpose of this work is to test, evaluate, and analyze pre-production or production representative systems under realistic conditions, including operation by those who will use the equipment under the proposed concept of operations, in the field under a variety of environmental conditions. In particular, this includes:

- Operational test and evaluation as part of the acquisition process for items procured by TSA, including Early Utility Assessments, Initial Operational Test and Evaluation, and Follow-on Operational Test and Evaluation over the project lifecycle;
- Operational test and evaluation in support of regulatory and policy decisions;
- Pilots, concept demonstrations, and field experimentation in support of mission area analyses, concept of operations development, process optimization and improvement, and workforce / vector characterizations; and
- Testing and evaluation capabilities development, to improve the quality and utility of evaluation products.

Equipment purchases may include AT, AIT, AWT, BLS, CPI, SSD, CAT, CAD, NextGen ETD, technology integration solutions, and additional units or upgrades to legacy equipment. This equipment will enable TSA to detect a greater range of threats more quickly and with greater accuracy than existing equipment. TSA will be deploying additional AIT systems that will build off current capabilities such as auto detection algorithms, networking and multiplexing.

This effort will also incorporate, as appropriate, alternative configurations that improve security and throughput while reducing congestion at “soft target” locations like airport lobbies. These enhancements may include remote screening centers, improved divestiture and reorganization zones, or special lanes for no/single carry-on baggage. Funds will also be used for the movement of equipment, small scale construction, and to purchase any ancillary equipment such as roller tables, lift carts, and fatigue mats needed for a particular project.

Technology	FOC	Purchases with Prior Year Funds	After Prior Years Purchaes	Purchases with ARRA Funds	After ARRA Purchases	Purchases with FY10 Funds	After FY10 Purchases	Purchases with FY11 Funds	After FY11 Purchases	PURCHASES TOTAL
Advanced Technology ¹	2325	1561	67%	639	95%	0	95%	25	96%	2225
Universal Conveyor System	2325	0	0%	0	0%	75	3%	35	5%	110
Advanced Imaging Technology	1800	132	7%	365	28%	0	28%	503	56%	1000
Credential Authentication Technology	2325	500	22%	0	22%	800	56%	600	82%	1900
Bottled Liquids Scanner	1300	680	52%	500	91%	120	100%	0	100%	1300
NextGen Explosives Trace Detector	1500	100	7%	600	47%	100	53%	35	56%	835
Portable Explosives Trace Detector	811	0	0%	0	0%	0	0%	811	100%	811
Chemical Analysis Device	140	0	0%	140	100%	0	100%	0	100%	140
Enhanced Metal Detector - 2	1875	0	0%	0	0%	125	7%	50	9%	175
Shoe Scanning Device	2325	0	0%	0	0%	50	2%	50	4%	100
Automated Wait Times	470	0	0%	0	0%	225	48%	245	100%	470

¹ Percentage of FOC based on FY14 estimates. Current nationwide requirements are being met.

Advanced Surveillance Program: \$6.0 million: The Advanced Surveillance Program (ASP) utilizes the existing infrastructure owned and operated by the local airport authority for remote monitoring, threat detection and assessment in a partnership agreement to provide enhanced situational awareness to local TSA. In FY 2011, \$6.0 million of funding is requested for these activities. These systems, collectively known as advanced surveillance systems, have proven to be a key component in the “best practices” of the security industry world-wide for many years.

They provide threat identification, situational awareness, deterrence, loss prevention, investigative and legal activities along with standard management functions. ASP promotes a cooperative partnership and sharing of information between Federal and local authorities and provides invaluable coordination for command and control as well as first responders in the event of an incident or threat. The EDS Procurement and Installation program requests additional funding to support ASP in baggage handling areas.

Payroll: \$9.9 million: The request provides \$9.9 million to support 66 full time positions.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
EDS Procurement and installation
Program Performance Justification**
(Dollars in Thousands)

PPA: EDS Procurement and installation

	Perm. Pos	FTE	Amount
2009 Actuals	111	91	817,204
2010 Enacted	107	102	778,300
2011 Adjustments-to-Base	15	14	(486,970)
2011 Current Services	122	116	291,330
2011 Program Change	-	-	82,502
2011 Total Request	122	116	373,832
Total Change 2010 to 2011	15	14	(404,468)

The Transportation Security Administration requests \$373.8 million for this activity. This reflects a decrease of \$404.5 million below FY 2010 due to an adjustment-to-base decrease of \$487.0 million for FY 2010 non-recurring funds as well as a program change increase of \$82.5 million for optimal baggage screening equipment. Additionally, an adjustment-to-base increase of 15 FTP reflects positions to support the American Recovery and Reinvestment Act (ARRA).

CURRENT SERVICES PROGRAM DESCRIPTION:

The following table provides the components of this PPA.

(dollars in millions)

	FY 2010	FY 2011
Installation	\$809.8	\$500.7
Purchase of Checked Baggage Equipment	202.8	103.6
Payroll	15.7	19.5
Total^{1/}	\$1,028.3	\$623.8

^{1/} Includes mandatory funding of \$250M

TSA requests \$373.8 million, excluding the \$250 million mandatory funding, to support the installation of additional in-line systems for airports selected in accordance with the EDS Strategic Plan. TSA has made steady progress in deploying systems at high priority airports over the past several years.

In 2006, TSA developed a Strategic Plan for achieving optimal screening solutions. Implementation of these optimal solutions will provide for decreased life cycle costs for the EDS program. This plan uses a top-down prioritization model to perform a systematic and comprehensive assessment of screening alternatives at airports and prioritizes projects by balancing security and economic factors. These results feed into a deployment model that identifies the optimal schedule for deploying equipment to airports given funding, equipment availability and other key assumptions. Continuing system deployment efforts are necessary to maintain compliance at the nation's airports.

TSA has made steady progress in deploying systems at high priority airports in the past several years. By the end of FY 2010, it is projected that 200 airports will have one or more operational in-line systems. Currently, there are 285 Category X through Category III airports. Of this number, 158 (55%) have been equipped with completed in-line systems. Forty-two (33%) of the remaining 127 airports in these categories will have some completed in-line systems by the end of FY 2010.

In-line EDS screening systems provide more reliable baggage delivery, greater efficiency, and increased flexibility to accommodate traffic growth. TSA benefits from operational improvements associated with this type of automation. For instance, working conditions for screeners improve with in-line systems. Alarms can be resolved in quieter, dedicated spaces properly designed for the alarm resolution function. On-the-job injuries are reduced as a result of better-designed alarm resolution areas since fewer alarms mean fewer bags are lifted by Transportation Security Officers (TSOs). These are just some examples of the broad reaching benefits of in-line systems.

The FY 2011 request will be used to test, evaluate, select, deploy, and maintain the electronic baggage screening technology systems. The program is responsible for ensuring that 100% of all checked baggage is screened with explosives detection system capability or a suitable alternative. The two primary technologies acquired and deployed under the Electronic Baggage Screening Program (EBSP) are EDS equipment and Explosives Trace Detection (ETD) devices. Continuous improvements are required to increase equipment reliability, reduce downtime, extend service life, and eliminate screener safety hazards in order for EBSP to substantially improve the effectiveness and efficiency of the deployed screening equipment. TSA's activities related to purchasing and installing EDS and ETD systems consist of some or all of the following, depending on the equipment and specific location: 1) operational testing and evaluation, 2) equipment purchase 3) site survey and design, 4) site preparation, 5) facility modification, 6) warehousing and shipping, 7) equipment installation, integration, and multiplexing, 8) independent verification and validation testing, and 9) program support.

Program progress relative to EDS/ETD deployment and facility modifications

	Total Number of TSA Airports*	Entire Airport Completed	Some Screening Areas with Completed Systems	Total Number of Airports with Some Completed Systems	Percentage of Airports with Some Completed Systems**
CAT X	28	15	11	26	93%
CAT I	56	30	13	43	77%
CAT II	77	51	18	69	90%
CAT II	124	62	0	62	50%
Total	285	158	42	200	70%

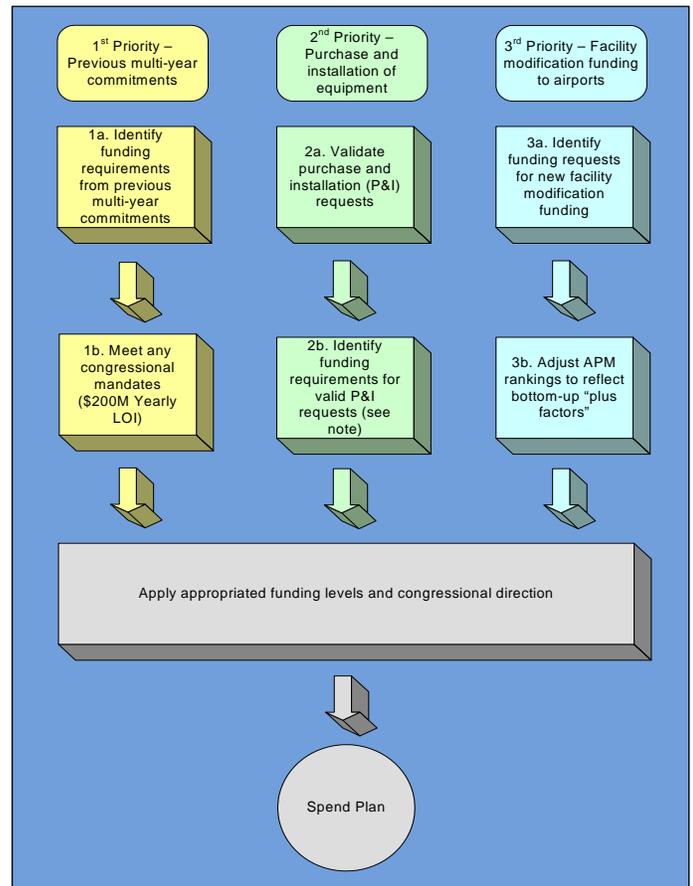
*Based on TSA Threat Category listing as of April 1, 2009

**Category X and I projected to reach 100% by FY 2018

Facility Modification Project Prioritization

Facility modification priorities necessarily occur after resources are allocated to other program commitments. First, the program must assign resources to previously committed multi-year agreements for facility modifications. This is followed by the purchase and installation of EDS equipment to support new airport terminals, to ensure security compliance, to fulfill existing airport agreements and to ensure equipment is available for new projects. Funding for new facility modification projects follows in priority.

To prioritize facility modification projects, several factors are considered beyond the risk-based Airport Prioritization Model (APM) ranking, including the cost share the airport is willing to assume, the scoring of the airport's funding application, and the readiness of the airport to apply funding (i.e., schedule). In this process, TSA first runs a top-down model to generate the APM scores and concurrently reviews airport funding applications submitted. TSA then scores the additional factors and generate a prioritization list. The figure that follows indicates how that process is conducted. Lastly, a factor for readiness is then applied to ensure that funds are directed to airports that are ready to apply them.



EDS

EDS is the main technology used in the checked baggage screening process. This equipment automates what was previously a manually-intensive baggage inspection, allowing faster bag throughput (up to 300 percent) and improved threat detection capabilities. EDS machines are the largest and most expensive security screening equipment in the TSA inventory.

Most of the currently deployed EDS technology developed prior to the Aviation and Transportation Security Act (ATSA) was based on standards set forth by Congress in the Aviation Security Improvement Act of 1990. Since large-scale deployment of EDS systems by TSA in 2002 and 2003, manufacturers have made improvements to lower alarm rates and increase throughput capacity for this equipment. The EDS program saw new technological introductions in the form of the Reveal CT-80, GE 9400 and 9800, and the L-3/Analogic XLB

and King Cobra. Newly entrant EDS machines and significant upgrades to existing EDS technology are constantly under development.

These technologies will offer a variety of enhancements that will improve screening capabilities, increase throughput, and reduce equipment footprint. Engineering and economic modeling of dynamic risk-based Advanced Technology-EDS hybrid systems are in process. Additionally, TSA efforts to contain costs by using reduced size EDS to combine checkpoint and checked baggage operations at low efficiency/high cost airports are being explored. In FY 2011, TSA will procure and deploy equipment offering significant improvements to screening efficiency.

ETD

ETD machines are used both as a primary screening method and a secondary screening method (i.e., resolving EDS alarms). ETDs are the second largest component of equipment cost within the program. ETDs are designed to detect explosives residue left on an item and/or bag. Since the enactment of the ATSA in November 2001, TSA has implemented the 100 percent checked baggage screening requirement; however some solutions in place may not be sustainable as passenger loads increase. TSA plans to replace 100 percent ETD checked baggage screening solutions with EDS or reduced sized dual-use EDS where appropriate. These changes began in FY 2009.

Purchase: \$103.6 million: The FY 2011 request includes \$103.6 million to support the purchase of 152 EDS for deployment in our nation's airports. The procurement will consist of medium throughput, high throughput, and reduced size EDS. Purchases in FY 2011 are planned to support projects where facility modifications will be completed from prior year funded projects and recapitalization of existing equipment as required.

Installation: \$500.7 million: The FY 2011 request includes \$500.7 million for installation. The installation funding supports the multi year- Letter of Intent (LOI) requirement and the installation of electronic baggage screening equipment in the Nation's airports. Installation costs, along with purchase costs, are a component of the total cost of equipment deployment. The cost of installing EDS and ETD systems consists of some or all of the following, depending on the equipment and specific location: 1) site survey and design, 2) site preparation/ facility modification, 3) warehousing and shipping, 4) testing, and 5) program support.

\$100 million for continuation of recapitalization efforts is already underway for standalone systems and for recapitalization of inline systems. Recapitalization of in-line systems is more complex and costly, as baggage conveyors must be removed for access to the EDS units, conveyor controls must be revised to support integration with the new EDS units, and conveyor belts may need to be upgraded to ensure efficient operation of the integrated systems. TSA has begun inline recapitalization by deploying teams to our oldest sites and sites with known deficiencies to evaluate the full scope of the recapitalization effort, and to determine alternatives for and scope of interim baggage screening during the recapitalization.

The funding also supports the Security Technology Integrated Program (STIP). The STIP effort benefits EDS by: 1) providing enhanced security, 2) improving resource management, and 3) assisting in decreasing operational costs by increasing equipment reliability and reducing downtime.

Installation also funds the Advanced Surveillance Program (ASP). ASP provides: 1) remote visibility into the baggage resolution and screening areas, 2) provides an additional layer of security into the locations that TSA screens checked baggage to reduce the risk of threats from being introduced into checked baggage, and 3) creates overall situational awareness to support oversight control for loss prevention. The Checkpoint Support program also requests funds to support ASP in the checkpoint environment.

Installation funding is also used to evaluate the impact of new security technologies, procedures, and policies. TSA analyzes integration of new and modified systems and concepts of operation to ensure operational effectiveness and suitability prior to full system production and deployment. The purpose of this work is to test, evaluate, and analyze pre-production or production representative systems under realistic conditions, including operation by those who will use the equipment under the proposed concept of operations, in the field under a variety of environmental conditions. In particular, this includes:

- Operational test and evaluation as part of the acquisition process for items procured by TSA;
- Operational test and evaluation in support of regulatory and policy decisions in areas such as air cargo;
- Pilots, concept demonstrations, and field experimentation in support of mission area analyses, concept of operations development and workforce characterization; and
- Testing and evaluation capabilities development, to improve the quality and utility of evaluation products.

Payroll: \$19.5 million: The request provides \$19.5 million to support 122 full time positions.

FY 2009 significant accomplishments include:

- Initiated competitive procurement process for all 3 classes of EDS machines, High Volume, Medium Volume, and Reduced Size EDS (RS-EDS);
- Installed 74 RS-EDS and 80 MS-EDS to support both stand-alone and in-line checked baggage inspection systems; and
- Executed facility modifications at 23 of the planned 38 airports nationwide.

FY 2010 planned accomplishments include:

- Complete competitive procurement process of all 3 classes of EDS machines and award contracts based on this competition;
- Complete certification and testing of new EDS detection, throughput, and false alarm rate standards;

- Fund facility modifications at 15 airports nationwide with appropriated FY 2010 funds;
- Procure EDS machines to support ongoing in-line projects and re-capitalization of legacy EDS machines including in-line systems; and
- Conduct T&E support for CBIS i.e. Dual Use AutoEDS, Security Technology Integrated Program (STIP).

FY 2011 planned objectives/accomplishments include:

- Procure and field all three classes of EDS machines to support optimal screening solutions;
- Initiate Tier 2 competition for EDS machine contracts based on higher detection standards and lower FA rates; and
- Fund facility modifications at airports nationwide with appropriated FY 2011 funds.

These targets are maintained through both the recapitalization of aging equipment and the acquisition of reliable new equipment. The proposed reductions will not affect TSA's commitment or ability to maintain these targets.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Screening Technology Maintenance & Utilities [EDS/ETD Maintenance]
Program Performance Justification
(Dollars in Thousands)**

PPA: Screening Technology Maintenance & Utilities [EDS/ETD Maintenance]

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	305,393
2010 Enacted	-	-	316,625
2011 Adjustments-to-Base	-	-	15,500
2011 Current Services	-	-	332,125
2011 Total Request	-	-	332,125
Total Change 2010 to 2011	-	-	15,500

The Transportation Security Administration requests \$332.1 million for this activity. This represents an increase of \$15.5 million over FY 2010. The adjustments-to-base of \$15.5 million primarily includes maintenance for new PSP equipment procured in FY 2009 and FY 2010. This equipment represents new technologies that do not replace existing equipment and are, therefore, net increases to the maintenance requirement as warranties expire.

CURRENT SERVICES PROGRAM DESCRIPTION

The following table provides the components of this PPA.

(dollars in millions)

	FY 2010	FY 2011
Checked Baggage Equipment Maintenance	\$255.4	\$248.8
Checkpoint Equipment Maintenance	51.2	74.2
Utilities	6.0	6.0
Disposal	4.0	3.1
Total	\$316.6	\$332.1

This funding supports the maintenance and associated utilities of Transportation Security Equipment (TSE) in the Nation’s airports. Maintenance is essential to preserve the operational capability of security technology equipment. Equipment failures can increase when maintenance is neglected or delayed. When equipment fails, TSOs are deprived from using their advanced

technological capabilities for screening baggage and passengers to detect unauthorized weapons, explosives, incendiaries, and other destructive devices, items, or substances. Material availability of security screening equipment preserves airport efficiency and minimizes impact on the traveling public.

Once warranties expire (normally 12 months), all TSA checkpoint and checked baggage screening equipment requires maintenance throughout its life cycle. Most maintenance is performed by contractor Field Service Technicians (FST) working for Original Equipment Manufacturers (OEM) or a 3rd party Maintenance Service Provider (MSP). Preventive maintenance is performed according to the manufacturer's recommended schedule (e.g., monthly, annually, etc). Corrective maintenance support is provided 24 hours a day, 7 days a week to perform unplanned corrective repairs in the field. Maintenance contracts include labor costs for all preventive and corrective maintenance, as well as material costs for repair parts or consumables (e.g., ETD swabs).

FY 2009 significant accomplishments include:

- Provided preventive and corrective maintenance to over 13,500 pieces of security equipment;
- Modified EDS contracts to measure contract performance at the airport-level (vs. fleet wide) to better align with operational requirements;
- Competitively awarded a new contract to provide maintenance for Passenger Screening Program (PSP) equipment; and
- Safely and efficiently disposed of over 2,500 pieces of obsolete or unserviceable transportation security screening equipment.

FY 2010 planned accomplishments include:

- Sustain high levels of operational availability achieved in FY 2009 for TSE equipment;
- Acquire and test Maintenance Ticketing Application to facilitate Remote Maintenance Monitoring capability for security screening equipment; and
- Replace aging or unreliable EDS technologies with reduced size EDS with lower maintenance prices.

FY 2011 planned accomplishments include:

- Provide cost effective, mission enhancing maintenance services for the expanded fleet of screening equipment resulting from procurement actions under the FY 2009 ARRA;
- Begin implementing Remote Maintenance Monitoring/Maintenance Ticketing Application; and,
- Reduce EDS average unit maintenance costs due to equipment recapitalization.

Checked Baggage Equipment Maintenance: \$248.8 million: This request includes \$248.8 million for preventive and corrective maintenance activities required to maintain the operation of deployed checked baggage screening systems. These costs include maintenance labor; repair parts; packaging and transportation of repair parts; consumables for ETDs; tools and test equipment/ calibration; maintenance training; and related logistics, data management, safety, occupational health, and environmental management functions.

Below is a breakout of projected maintenance costs for baggage screening equipment:

Equipment	Quantity	FY-11 Total Requirement
CTX-5500	341	\$28,233,696
CTX-9000	264	\$28,499,573
CTX-9400	146	\$13,008,328
CTX-9800	18	\$1,727,247
e6000/ 6000FFOV	506	\$58,387,030
e6600	131	\$12,808,222
Reveal CT-80	559	\$22,629,044
XLB	30	\$3,513,607
King Cobra	5	\$367,719
Fusion Dual-Use	7	\$515,634
AN 6980 Dual-Use	17	\$999,821
Subtotal		\$170,689,920
ETD		
400B	3424	\$36,466,487
Itemiser-W	2477	\$23,757,449
Consumables		\$4,312,606
Excepted Maintenance/Call Center/Environment Issues		\$10,199,014
Subtotal		\$74,735,556
Support Services		\$3,331,250
Total Maintenance Requirement		\$248,756,725
Disposal		\$3,075,000
Utilities		\$6,038,678

Checkpoint Equipment Maintenance: \$74.3 million: This request includes \$74.3 million for the preventive and corrective maintenance activities required to maintain the operation of deployed passenger screening security equipment. These costs include maintenance labor; repair parts; packaging and transportation of repair parts; consumables for ETDs; tools and test equipment/ calibration; and maintenance training.

Below is a breakout of projected maintenance costs for passenger screening systems:

Equipment	FY11 Quantity	FY11 Requirement
ETD		
IonScan 400B	565	\$6,017,396
Itemiser-W	285	\$2,733,497
HH ETD (Sabre 4000)	249	\$1,521,498
FIDO	213	\$818,599
Next Generation	465	\$4,180,437
Consumables		\$987,824
EMD		
Ceia	1,349	\$812,463
Metorex	117	\$79,396
Garrett	191	\$146,438
TRX		
Rapiscan	84	\$885,335
Smiths	69	\$643,616
AT Systems		
Smiths	1,128	\$24,167,175
Rapiscan	1,053	\$8,906,276
AIT		
L-3	461	\$8,776,778
Universal Conveyor Systems		
TBD	228	\$2,515,196
Bottle Liquid Scanners (BLS/ ILD)		
TBD	1,300	\$6,829,063
Cast & Prosthesis Imagers		
Spectrum	36	\$321,491
Standoff Detection		
QinetiQ	22	\$785,868
Credential Authentication Technology		
TBD	800	\$1,260,750
Checkpoint Equipment		\$72,389,096

Maintenance		
Support Services		\$1,865,500
Total Checkpoint Maintenance Requirement		\$74,254,596

Utilities: \$6.0 million: This request includes \$6.0 million in utility payments associated with operation of security equipment and is a recurring cost borne by TSA.

Disposal: \$3.1 million: This request includes \$3.1 million to provide disposal of equipment. Security equipment is decommissioned when evolving operational requirements (e.g. higher screening throughput), technological advancements (e.g. improved detection capability) or supportability problems (e.g. frequent failures) dictate the need for replacement. Sometimes equipment is redeployed to satisfy screening requirements at other airports. Security equipment that is not redeployed is considered for disposal in accordance with the TSA National Disposal Plan and all applicable laws and regulations governing the disposal of hazardous materials. This budget includes funding to dispose of excess security equipment through an agreement with the Defense Reutilization and Marketing Service (DRMS) to provide disposition/disposal services, including hazardous property.

Cost reduction initiatives: TSA is pursuing several initiatives to reduce the unit price of equipment maintenance, including:

- Expansion of competition in the security equipment industry;
- Competitive award of new maintenance contracts;
- Development of a Remote Maintenance Monitoring (RMM) capability;
- Life cycle replacement of aging and unreliable machines;
- Improved reliability and maintainability specifications for new security equipment;
- and
- Review of excess capacity for potential machine decommissioning.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Operation Integration
Program Performance Justification
(Dollars in Thousands)**

PPA: Operation Integration

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	14,576
2010 Enacted	-	-	21,481
2011 Current Services	-	-	21,481
2011 Program Change	-	-	(21,481)
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	(21,481)

The Transportation Security Administration does not request separate funding for this activity in FY 2011 which represents a program decrease of \$21.8 million. An explanation of the decrease can be found in Exhibit IV, Program Justification of Changes.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Aviation Regulation and Other Enforcement
Program Performance Justification
(Dollars in Thousands)**

PPA: Aviation Regulation and Other Enforcement

	Perm. Pos	FTE	Amount
2009 Actuals	1,168	1,063	252,005
2010 Enacted	1,182	1,132	254,064
2011 Adjustments-to-Base	3	3	2,426
2011 Current Services	1,185	1,135	256,490
2011 Program Change	597	299	111,873
2011 Total Request	1,782	1,434	368,363
Total Change 2010 to 2011	600	302	114,299

The Transportation Security Administration requests \$368.4 million for this activity, an increase of \$114.3 million from FY 2010. The increase includes \$2.4 million for adjustments-to-base and \$111.9 million for program changes. Program increases include \$94.2 million associated with the enhanced international security support at 15 offices in high risk areas (74 positions, 37 FTE, and \$38.8 million); funding for 275 additional proprietary canine teams to expand explosives detection at the checkpoint (523 positions, 262 FTE, and \$69.1 million); and increases to local law enforcement cooperative agreement stipends (\$3.9 million) to enhance aviation security.

CURRENT SERVICES DESCRIPTION:

Aviation Regulation is responsible for providing law enforcement and regulatory presence at airports to ensure compliance with required security measures and response to security incidents. It also provides an international component to foster consistency in worldwide security requirements.

The following table provides the components of this PPA. (dollars in millions)

	FY 2010	FY 2011
Regulatory Inspection and Enforcement	\$105.5	\$126.8
International Programs	18.8	58.1
Repair Station Inspections	3.4	3.4
Airport Law Enforcement & Assmts	81.2	81.4
National Explosive Detection Canine Training Program (NEDCTP)	33.6	86.9
Transportation Sector Network Management (TSNM)	11.6	11.8
Total	\$254.1	\$368.4

Regulatory Inspection and Enforcement: \$126.8 million: The mission of the regulatory inspection program is broad and involves the evaluation of the security integrity of more than 450 U.S. airports, 550 foreign airports, and a combined total of over 1,500 domestic and international carriers that operate in the United States. These inspectors also conduct periodic inspections of over 7,500 indirect air carriers operating in the U.S.

The following chart provides historical and current information on the total number of TSA Inspectors (TSIs):

TSA Inspectors

	Full-Time Permanent Positions					
	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
TSI - Aviation Domestic	681	657	778	755	755	1030 ¹
TSI - Aviation Int'l	39	39	45	45	45	45
Total, Aviation Inspectors	720	696	823	800	800	1075
TSI - Int'l Repair Stations	2	15	15	15	15	15
TSI - Cargo	225	300	535	535	620 ²	620
TSI - Cargo Int'l		10	10	10	10	10
Total, Cargo	225	310	545	545	630	630
TSI - Surface	100	100	175	225	404 ³	404
TOTAL	1,047	1,121	1,558	1,585	1,849	2,124

1/ Increase of 275 inspectors/canine handlers in support of additional proprietary teams

2/ Increase of 50 inspectors in P.L. 111-83, conversion of 35 legacy canine teams to proprietary canine teams

3/ Increase of 100 inspectors in P.L. 111-83; Increase of 79 inspectors for the 15 additional VIPR teams

Aviation TSIs (TSI-As) have an essential role in executing local annual inspection plans based on the national inspection plan. As part of their inspection responsibility TSI-As review records and files pertaining to criminal history records checks performed pursuant to federal law. The inspectors also review records and files to ensure compliance of indirect air carriers; private passenger and/or cargo charters; and airmen and aircrew with security requirements. In addition to inspections, TSI-As also perform testing to determine compliance with Transportation Security Regulations. The TSI-As investigate incidents related to violations of TSA regulations, security directives, and approved security programs. Inspectors deliver technical briefings and provide assistance to the aviation industry in interpreting agency policies to ensure compliance with rules. Inspections are both scheduled and random and may include one or all of the critical security elements required by TSA.

To ensure the adequacy and integrity of security at airports, TSIs evaluate the types of fences, lighting, and locks being used, among many other important security measures through visual and hands-on inspection as well as by walking the grounds and interacting with airport personnel. Based on these assessments inspectors will recommend enhancements, where appropriate, for non-regulated airports/facilities, including general aviation landing facilities and airports, and for aircraft operators. Areas of emphasis for inspection and/or assessment include: access control systems, security identification systems, surveillance systems, law enforcement response capabilities, physical security of aviation facilities and aircraft.

Inspectors are given the authority to initiate enforcement actions against airports, air carriers, and indirect air carriers where compliance violations have occurred or corrections have not been made. This includes misconduct of employees that threaten the security of an airport and/or aircraft. Inspectors must be well trained and knowledgeable in the principles of investigation and civil enforcement in order to assist the agency Chief Counsel in the preparation of formal enforcement actions against those who violate security requirements.

Significant accomplishments in FY 2009 include:

- Completed over 11,000 airport inspections, 35,000 aircraft operator inspections, and 5,600 foreign air carrier inspections to ensure compliance with current requirements, as well as conducted follow up inspections to address previously identified compliance issues and completed over 2,200 flight school inspections;
- Participated in over 15,000 Aviation Screening Assessment Program (ASAP) tests, VIPR activities across all modes of transportation, Aviation Direct Access Screening Program (ADASP)/Playbook activities at all airports, and other high visibility activities;
- Conducted week-long full scale airport and aircraft operator inspections (Airport Strikes) in Washington, DC, Los Angeles, Miami, the Hawaiian Islands, Dallas, San Francisco, Atlanta, Newark, Indianapolis, San Juan, Denver, and New York and flight school inspections (Flight School Strikes) in South Florida and Texas;
- Conducted Special Emphasis Inspections (SEI) on Access Control, Selectee Procedures, No-Fly Procedures, and SIDA badges. SEIs were also incorporated into the national inspection plan so that individual airports could locally implement additional SEIs on airport security coordinators, access control, and other various topics; and
- Assisted DHS in the development of the Notice of Proposed Rulemaking (NPRM) for Aircraft Repair Stations.

FY 2010 planned accomplishments include:

- Conduct one baseline comprehensive inspection of all airports, aircraft operators, and foreign air carriers at domestic airports. Perform follow up inspections as needed based on findings from the comprehensive inspections;
- Continue support of the ASAP, VIPR and ADASP/PLAYBOOK activities;

- Expand Airport Strikes to monthly multi-week efforts focusing on comprehensive inspections and testing at high-threat airports; and
- Evaluate comments from the Aircraft Repair Station NPRM and work with DHS to implement the final rule. Pending implementation, begin to conduct repair station inspections in accordance with the final rule.

In FY 2011, TSA will continue FY 2010 activities along with expanding the Aviation Inspector program by adding 275 additional proprietary canine teams. The use of canines in the airport passenger environment is an effective and efficient way to screen people in mass amounts to assist with explosive screening and coordinated work with Behavior Detection Officers (BDOs) to drive behavior changes enhancing security at the checkpoint and other passenger screening areas.

International Programs: \$58.1 million: TSA promotes alignment and consistency between the security requirements of the U.S. and foreign governments. TSA takes a leadership role as a permanent U.S. member in the regional and international organizations concerned with transportation security [i.e., International Civil Aviation Organization (ICAO), the Group of Eight (G8) Transportation Security Subgroup, and the European Civil Aviation Conference (ECAC)]. Through interaction with foreign officials at the bilateral, multilateral and regional levels, best practices in transportation security can be advanced to achieve TSA's vision of a secure, global transportation system.

TSA strives to lead worldwide improvements in transportation security using a multi-layered approach, which includes:

- TSA representatives responsible for liaison activity and representation with over 100 foreign governments, on-site liaison activity and representation in 19 foreign countries;
- Eight international industry representatives responsible for liaison activity and representation with over 240 foreign air carriers;
- Active leadership within the regional and international community that comprises the world's transportation security expertise engaged in policy development; and
- An expanding capacity building program for nations needing assistance in order to meet international standards.

The FY 2011 request includes an increase of \$38.8 million to provide funding for 74 additional positions to enhance and manage international programs at 15 existing offices in high risk areas, to provide equipment and training to host nations to mitigate vulnerabilities, and to ensure compliance with aviation security standards. The increase would also include increases to the number of visits made by TSA's Aviation Security Sustainable International Standards Teams (ASSIST), and support technical and automated systems used by Foreign Airport Assessment program for risk management. This request also includes additional desk officer and regional analysts to support field operations in the Western Hemisphere, Europe, Africa, Middle East and Asia Pacific.

Transportation Security Representatives

TSA Representatives (TSARs) serve as on-site coordinators for the TSA response to terrorist incidents and threats to U.S. assets at foreign transportation modes. The TSARs serve as principal

advisors on transportation security affairs to U.S. Ambassadors and other embassy officials responsible for transportation issues to ensure the safety and security of the transportation system.

TSA has developed a comprehensive staffing scorecard to determine the number of countries that should be assigned to each TSAR. The scorecard accounts for the number of Last Point of Departure (LPD) airports in a given country, the vulnerabilities at those airports, the number of carriers and weekly flights from the airports, threat level in the country, the level of cooperation between the host government and the United States, the amount of assistance needed (and likelihood of sustainment of any help provided), and the level of priority of the country for TSA and the U.S. government.

Significant accomplishments in FY 2009 include:

- Supported Department of Defense AFRICOM with a TSAR detail
- Networked US Centers for Disease Control policy with foreign officials for the containment of the H1N1 virus in aviation
- Led aviation security assessment in advance of Delta Airlines air service from new African locations
- Placed a Senior Civil Aviation Security Advisor in Kabul, Afghanistan, to assist the country with re-establishing commercial aviation service. The advisor works closely with national level foreign government authorities and U.S. mission officials to promote consistency between international security standards, foreign government requirements and ICAO regulatory programs for the Islamic Republic of Afghanistan's National Civil Aviation Security Program. This temporary position will remain in place through FY 2010 and is funded by the U.S. Agency for International Development.

Planned accomplishments in FY 2010:

- Fully establish and select personnel for three new TSAR positions established in FY 2009 – one each in Brasilia, Brazil; Johannesburg, South Africa; and Nassau, The Bahamas. These TSARs will address the increasing air traffic, harmonization and capacity building efforts, and potential risks noted in each region.
- Place a TSAR in Nairobi, Kenya formally manned by a Department of Transportation (DOT) under a Reimbursable Agreement with DOT.
- Implement the scorecard to re-align the country assignments for each TSAR and identify additional TSAR location needs.

In 2011, TSA plans to accomplish the following:

- Staff three new TSARs as a result of an emerging need at strategic locations around the world– one each in Dakar, Senegal; Dubai, United Arab Emirates; and New Delhi, India to address potential risks and harmonization and/or capacity building efforts.

The FY 2011 Request provides funding for TSARs to be placed the following locations.

TSARs		TSARs	
Locations	Number	Locations	Number
Amman	1	Madrid	1
Athens	1	*New Delhi	1
Bangkok	1	Nairobi	1
Beijing	1	Manila	1
Berlin	1	Mexico City	1
Brazil	1	Ottawa	1
Brussels	1	Paris	1
Buenos Aries	1	Rome	1
Caribbean (Miami)	3	Singapore	1
*Dakar	1	Sydney	1
*Dubai	1	Tokyo	1
Johannesburg	1	Warsaw	1
London	2		
Total	16	Total	12

*New in FY 2011

Pre-Clearances

At thirteen airports (8 in Canada, 2 in the Bahamas, 1 in Bermuda, 1 in Aruba, and 1 in Ireland), Customs and Border Protection (CBP) officers pre-clear passengers and baggage for entry into the United States. Inspection procedures involve immigrations, customs, and agriculture screening and are the same as those conducted at ports of entry in the U.S. Pre-cleared international flights arrive at a U.S. domestic gate and passengers deplane directly into the sterile area at more than 60 U.S. airports. In order to permit these passengers to bypass TSA screening, TSA must ensure that the screening measures applied to passengers and their carry-on baggage at the pre-clearance foreign airport is equivalent to those measures performed at domestic U.S. airports. Determination of comparability entails extensive negotiation with the host government and frequent observations of operations.

Significant accomplishments in FY 2009 include:

- Established Pre-Clearance operations in Shannon, Ireland.

Planned accomplishments in FY 2010 and FY 2011:

- Establish Pre-Clearance operations in Dublin, Ireland.

Aviation Security Sustainable International Standards Team (ASSIST)

The primary focus of ASSIST is to assist host nation officials in building aviation security programs abroad. ASSIST deploys single and multifaceted TSA assistance teams that seek to meet aviation security needs of host nation, effectively build sustainable institutions and practices through international alliances. In addition to conducting training courses in support of the International Civil Aviation Organization (ICAO) and the Organization of American States, TSA

developed and fielded an organic capability to provide a sustainable increase in aviation security at locations that demonstrate a need for the help and the ability to ensure long-term sustainment of the improvements. The greatest emphasis is placed on Africa, Latin America and Asia Pacific, in light of the exponential increases in traffic from these regions to the United States and the concerns about security of U.S. passengers and goods.

Significant accomplishments in FY 2009 include:

- Conducted the inaugural ASSIST visit to its first partner nation, St. Lucia, in January 2009 and follow up visits focused on training in emergency communications, Improvised Explosive Device (IED) familiarization, essential instructor skills and basic screener training.
- Liberia, the second nation to partner with TSA under ASSIST, received a survey visit in April 2009. TSA conducted Essential Instructor Skills and Basic Screening Skills Training soon thereafter. This training has been followed with monthly visits to assess the impact of training and other technical assistance.

Planned accomplishments in FY 2010:

- Partner with Georgia, Palau, Liberia and Guatemala to develop a template library of ASSIST documents with model programs, policies and management directives related to aviation security management.

Planned accomplishments in FY 2011:

- Develop additional training to further the teaching of screening skills, train airport and aviation management, and enhance local capacity to design and deliver appropriate interventions.
- Provide on-going training and capacity development to partner nations.
- Increase the number of visits made by ASSIST teams. This will serve to expand the quality of training and will build stronger relationships within various regions.

Cargo Security

Air cargo security, especially those measures applied to goods carried on passenger aircraft, continues to accelerate in importance for DHS. TSA has initiated several efforts to ensure that cargo destined for the United States is subjected to the required level of screening.

Significant accomplishments in FY 2009 include:

- Formed an International Air Cargo Workgroup to develop a comprehensive program for foreign-to-United States transportation of goods. Focusing on cargo carried on both passenger and all-cargo aircraft, the Workgroup designed a risk-based rating and scheduling tool for the International Regulatory Activities Plan (IRAP) to prioritize air cargo facility inspections.

Planned accomplishments in FY 2010:

- Convene the Workgroup and focus on the full spectrum of cargo security issues such as determining acceptance of other countries' cargo programs, identifying best practices for dissemination to other cargo experts, and developing a Country Information Tool package for use by TSARs in support of meetings with foreign civil aviation authorities. TSA continues to express to ICAO an interest in developing international standards for all-cargo operations, but this has not yet received endorsement by the full ICAO membership.
- Partner with Australia to conduct an Air Cargo Security Workshop within the rubric of the Asia-Pacific Economic Council (APEC).

Planned accomplishments in FY 2011:

- Expand outreach efforts regarding all-cargo security and will place added emphasis on the development of international standards with which all ICAO Member States must comply.

International Industry Representatives

International Industry Representatives (IIRs) serve as the principal representative for TSA. The role of the IIR has become increasingly involved as more stringent rules, requirements, and procedures have been imposed on foreign air carriers serving the United States from foreign locations. The IIRs have the responsibility for ensuring air carrier compliance with TSA regulations and that program goals and initiatives are met. IIRs continue to meet, liaise and provide the necessary tools for approved foreign air carriers and foreign all-cargo air carriers to operate to the U.S. Currently, there are over 240 regulated, or soon to be regulated, non-U.S. air carriers assigned to eight IIRs in FY 2010.

Significant accomplishments in FY 2009:

- Reassigned one existing IIR from Frankfurt to Warsaw, Poland.

Planned accomplishments in FY 2010:

- Staff two new overseas IIRs positions in Beijing and Dubai, United Arab Emirates.

In FY 2011, TSA is requesting an additional ten (10) IIRs to keep pace with the continued growth of international (foreign) air carriers serving the U.S. and to help facilitate the outreach to these air carriers. The table below shows the proposed FY 2011 distribution of IIRs:

Locations of IIRs	Number of IIRs
*Dakar	1
Dubai	1
Beijing	1
Dallas	1
Frankfurt	3
*Headquarters	5
*Johannesburg	1
Miami	1
*Nassau	1
*Ottawa	1
*Santiago	1
Singapore	1
Total	18

***New in FY 2011**

Also, the FY 2011 request allows for expansion of global international security programs for multi-modal venues (maritime, land, and rail) which will require TSA outreach and partnering.

Transportation Security Specialists

TSA's Global Policies and Plans program guides TSA's development of policy affecting international operations and stakeholders. This includes planning international projects and diplomatic approaches, strategic planning, and ensuring consistent messaging to international industry members concerning policy and change. TSA also assigns a point of contact to the Department of State, Office of Foreign Mission's Escort Screening Courtesies program to assist with facilitating the movement of dignitaries who are either eligible for escort privileges or to whom expedited screening courtesies are provided.

The Foreign Airport Assessment Program and Air Carrier Inspection Program at foreign airports differ significantly from domestic compliance operations. During airport assessments conducted in foreign countries, Transportation Security Specialists (TSSs) focus on application of International Standards and

Recommended Practices (SARPs) defined by ICAO, to which nearly 190 countries are signatories. TSA is congressionally mandated under 49 U.S.C. 44907 to assess all airports from which there is service to/from the United States against these SARPs. A thorough foreign airport assessment requires approximately one week at the site and an additional four weeks for completion of the report. TSSs also inspect the operations of both domestic and foreign air carriers with U.S. service from these airports to insure compliance with TSA security directives; emergency amendments and Title 49 U.S.C. § 44916. Carrier inspections occur up to two times annually with airport assessments occurring at least once every three years and more frequently according to risk based scheduling.

In FY 2011 TSA is requesting thirty four (34) new TSSs. The requested FTE and associated funding increase will enable TSA to conduct all needed airport assessments, air carrier inspections, and in the very near future, foreign repair station audits.

TSS Location	Number
Miami	25
Dallas	19
Los Angles	17
Singapore	7
Frankfurt	21
HQ	1
Total	90

TSA is working towards automating the Foreign Airport Assessment Program to allow for more timely submission of results as well as to perform more substantive analysis and comparison through a risk management methodology. The tool will be available to all personnel so they can see the work completed throughout the year. Automation of the program allows for more timely submission of results in addition to the ability to perform more substantive analysis and comparison through a risk management methodology. TSS will be able to input the data more quickly and therefore spend more time analyzing the results. Through this tool, TSA will be better able to track trends and identify areas in need of more specific training and assistance.

TSA is also developing a Foreign Airport Dashboard to provide a database and summarize information on foreign airports for easy access and timely information sharing when incidents occur. Specific information included in the database includes airport name; assessments; equipment; FAMS flight coverage; threat information; carriers; frequency of flights; and types of aircraft used. In 2011, TSA is requesting additional resources to support technical and automated systems used by the Foreign Airport Assessment Program.

Significant accomplishments in FY 2009 include:

- Conducted over 115 airport assessments and more than 800 air carrier assessments;
- Initiated a thorough review of the Foreign Airport Assessment Program Standard Operating Procedures
- Deployed inspectors to evaluate security conditions at six new-service airports in Africa in support of Delta Air Lines’ planned operations. At several of the sites, the extensive vulnerabilities precluded issuance of approval for the new service and TSA has agreed to provide assistance and training to help the airports improve their security postures.

Planned accomplishments for FY 2010 include:

- Operational testing and fielding of an automation project that will facilitate data entry, case management, and analysis of the Foreign Airport Assessment Program;

- Establishment of an unclassified Foreign Airport Dashboard to easily identify areas of strengths or concerns and facilitate information dissemination among TSA personnel in multiple offices;
- Expanded outreach efforts to Latin America, Asia-Pacific, and the Middle East;
- Creation of an air carrier startup policy and establish a formal pre-clearance support team; and
- Expansion of explosives detection pilot programs based on threat reporting.

Planned accomplishments for FY 2011:

- Establish and distribute post-assessment training syllabi to airports demonstrating egregious non-compliance in critical SARPs.
- Create a regionally focused annual assessment of security vulnerabilities, to be shared with trusted partner countries with an objective of providing tailored assistance to troubled airports.
- Implement the Foreign Airport Dashboard

Repair Station Inspection Program: \$3.4 million: TSA is required under Vision 100 (49 U.S.C. 44924) to establish security regulations for foreign and domestic aircraft repair stations and to conduct audits of foreign repair stations. The Notice of Proposed Rule Making (NPRM) proposes security requirements for repair stations that are certificated by the Federal Aviation Administration (FAA) and codifies TSA's inspection authority.

Without the implementation of these regulations, the FAA is prevented from issuing new foreign repair station certifications, as provided in Section 1616 of the Implementing Recommendations of the 9/11 Commission Act of 2007. The FAA and industry are concerned that new certifications cannot be granted.

This program serves to ensure the security of maintenance, overhaul, repair and assembly work conducted on air carrier aircraft and components at foreign and domestic repair stations. This will be achieved through specific inspection activities including security reviews and audits, vulnerability assessments and surveys. Implementation of the Vision 100 legislation for repair stations, will allow FAA to certify new part 145 FAA foreign repair stations and for existing facilities to retain FAA certification.

On November 17, 2009, TSA issued a NPRM for aircraft repair station security that among other things, clarifies the agency's inspection authority and imposes security requirements for both domestic and foreign repair stations, notably pertaining to control access for aircraft and aircraft components, challenge, inspections, verification of employee background information, designation of a security coordinator, and establishment of a contingency plan. As they take effect, these security requirements will impose expanded responsibilities and demands on aviation security inspectors. The Repair Station Program office will continue efforts to finalize this rulemaking. Efforts will include:

- Conducting voluntary reviews for security enhancement of foreign and domestic repair stations

- Inspecting for compliance of approximately 4,100 domestic repair stations and 700 foreign repair stations
- Identifying security gaps through security analysis and action programs
- Continuing development and dissemination of security best practices to aircraft repair stations owners/operators
- Development of Repair Station Security Program guidance document (RSSP-GD), the security assessment tool (RSSP-SAT), and the requirements checklist (RSSP-RC)

The Repair Station Inspection program uses a risk-based methodology to schedule foreign airport assessments and foreign air carrier inspections. Currently, all air carriers are inspected once annually unless they have a high “Airport Vulnerability” rating. This rating is used to determine the frequency of assessment and inspection planning based on the outcome of threat, vulnerability and consequence analysis. This methodology allows TSA to efficiently utilize its workforce by visiting airports with a higher likelihood of being a target for criminal or terrorist acts, while taking into account analysis of the protective measures in place and the potential impact for loss.

In absence of a final rule, this program engages industry through a voluntary audit program. This voluntary program involves a three-tier approach for conducting audits:

- Scheduling visits using the risk-based prioritization in conjunction with TSA Foreign Airport Assessment Program;
- Outreach to U.S. Air Carriers to capture the foreign repair stations they contract; and
- Contacting corporations having multi-station ownership for information on their foreign repair stations.

Significant accomplishments in FY 2009 include:

- Conducted familiarization visits to 177 of the prioritized list of the 720 active Foreign Repair Stations
- Completed 639 voluntary reviews for security enhancement of domestic repair stations
- Researched, cataloged, and prioritized 4,900 domestic and foreign repairs stations and developed a list of “best practices” to disseminate to repair stations
- Developed an audit plan to implement upon publication of final rule
- Developed regulation and standard security training.

FY 2010 planned accomplishments include:

- Publishing the NPRM and conducting associated outreach and information sessions with industry and stakeholders;
- Collecting and analyzing comments to the NPRM and developing Final Rule for submission through DHS to the Office of Management and Budget; and
- Continuing familiarization visits with priority sites that had not been previously contacted.

In FY 2011, TSA plans to achieve full implementation of the repair station program to assess and inspect all repair stations both foreign and domestic.

Airport Law Enforcement & Assessments: \$81.4 million: In accordance with the Aviation and Transportation Security Act (ATSA) of 2001, TSA established cooperative agreements with state and local law enforcement agencies to provide uniformed officers at passenger security checkpoints under the flexible response authorities granted to TSA. These agreements provide financial assistance to partially reimburse airports at screening points throughout the U.S for post 9/11 law enforcement hours. They ensure a consistent law enforcement presence is always available to deter suspicious activity and respond quickly in the event of a breach of security at designated checkpoints. In addition to these agreements, 82 airports have Assistant Federal Security Directors (AFSDs) for Law Enforcement to further coordinate TSA's security efforts with local law enforcement. In FY 2010, two new airports in Texas added AFSDs for Law Enforcement, bringing the total number of participating airports to 84.

Through the Cooperative Agreements and adjusting allocations to account for prior year expenditures, TSA has been able to significantly increase the number of airports participating in the Law Enforcement Officer (LEO) program while maintaining the existing level of base program resources. TSA has also instituted more effective program management and oversight to ensure that the resources awarded best meet the program's intended purpose of improving the level of security at our nation's airports.

For FY 2009, TSA funded approximately 330 Cooperative Agreements that included the following LEO patrol and response hours:

Airport Category	Hours
Cat I	504,128
Cat II	443,913
Cat III	371,025
Cat IV	294,759
Cat X	728,405
Total	2,342,230

From FY 2008 to FY 2009, poor economic conditions contributed to a decrease in air service, resulting in reduced participation in the program. Potential economic strengthening and federalization of new airports in FY 2010 are expected to increase participation back to FY 2008 levels.

In FY 2010, TSA will continue to improve program efficiencies and maximize the use of available program funds by reviewing participant's actual annual expenditures and adjusting award levels accordingly. This review process will include site visits to a select number of airports during the course of the fiscal year, which will ensure appropriate use and expenditure of program funding by airport participants.

The FY 2011 request will operate the program at FY 2010 levels.

The FY 2011 funding request for Joint Vulnerability Assessments (JVAs), Man-Portable Air Defense System (MANPADS) Vulnerability Assessments and TSA's Outreach Training Program to Federal, State and Local Law Enforcement Authorities maintains current services.

Joint Vulnerability Assessments (JVAs) are a joint effort undertaken by TSA and FBI with the purpose of assessing current and potential threats to commercial air transportation facilities within the United States. The process is a direct result of the increasing threats to aviation which prompted Congress to pass Section 310 of the Federal Aviation Reauthorization Act of 1966 requiring the Federal Aviation Administration (FAA) and the FBI to conduct joint threat and vulnerability assessments of security at U.S. airports. This responsibility was transferred to TSA under ATSA.

Man-Portable Air Defense System (MANPADS) Vulnerability Assessments are designed to enhance security of air transportation by minimizing the potential for missile or stand-off weapons attack against aircraft. The program is designed to deter, detect and mitigate the MANPADS threat.

TSA also conducts international MANPADS Assist Visits to partner with international allies on joint international assessments that are appropriate and mutually beneficial to the U.S. Government and the host nation. These visits are similar to the domestic MANPADS Vulnerability Assessments and are conducted at foreign airports to help identify and define potential launch locations in areas surrounding the airport by using known terrorist methodology and weapon employment tactics and capabilities.

National Explosives Detection Canine Training Program (NEDCTP): \$86.9 million: TSA's NEDCTP develops, trains, deploys, and certifies explosives detection canine teams to deter and detect the introduction of explosive devices into the transportation system. Each team is comprised of a specially trained canine and either a TSA or State and local law enforcement handler. Bomb threats cause disruption of air, land, and sea commerce and pose an unacceptable danger to the traveling public. Explosives detection canine teams are proven and reliable resources in the detection of explosives and are a key component in a balanced counter-sabotage program. The use of highly trained explosives detection canine teams is also a proven deterrent to terrorist activities directed towards transportation systems, and provides a timely and mobile response in support of the operations of facilities, rail stations, airports, passenger terminals, seaports, and surface carriers. Fostering partnerships throughout the Federal government, State and local law enforcement, and the international community is a key element of NEDCTP's mission.

Through cooperative agreements, TSA provides funding for training, certification and maintenance of the explosives detection capable canines, training for the handlers, and partial reimbursement of handlers' salaries and other costs. The FY 2011 request seeks to increase the current stipend TSA provides, through established cooperative agreements, to each State and local participant by approximately \$10,500. This proposed enhancement is necessary to more appropriately distribute the escalating inflationary and operational costs borne by NEDCTP program participants. Local law enforcement agencies deploy these valuable canine teams and provide DHS with a mobile response platform for specific threats to the transportation systems.

Projected FY 2011 Funded Canine Teams					
Funding Source	Legacy Aviation	Proprietary OSO	FAM	Mass Transit	Total
Base Funding	473	23	22	117	635
Supplemental	50	120			170
FY 2011 Enhancement		275			275
Total	523	418	22	117	1080

In FY 2009, the NEDCTP began the training and deployment of 92 teams that were funded in FY 2008. TSA conducted a total of eight training classes in FY 2009. TSA funded a total of 750 teams in Aviation, Air Cargo, and Surface systems. These teams enhance the layer of security to other modes of transportation within their area of responsibility in addition to the airport.

In FY 2010, the NEDCTP will continue the training and deployment of the 92 teams and 35 additional TSA proprietary teams that were redirected to proprietary handlers due to budgetary constraints with State and local law enforcement participants.

The FY 2011 request includes funding for an additional 275 proprietary teams, as a result of the Christmas Day attack. Out of these 275 teams, 112 teams will be placed at 28 CAT X airports and 163 teams will be placed at 56 CAT I airports. The request also includes the necessary general operating expenses for support including additional explosive training aid storage magazines.

Transportation Security Network Management (TSNM) \$11.8 million: TSNM coordinates aviation security efforts with airlines, airports, and within the general aviation community.

Commercial Airlines

This activity develops new policy, as well as reviews existing policy for needed modification or elimination based on the evolving threat to commercial airlines. The program provides regulatory oversight of commercial airlines including management of the Aircraft Operator Standard Security Program, the Private Charter Program, and associated Security Directives. The office includes 20 Principal Security Inspectors (PSIs) assigned to between one and sixteen airlines each. PSIs act as the TSA representative and provide the industry with supporting interpretations, clarification, and assessments of the regulations and the level of carrier compliance. The PSIs conduct over 250 comprehensive audits each fiscal year covering all mandated security requirements implemented

system-wide by the airlines corporate offices. Included in the audits are reviews of security training programs provided to the flight deck, crew cabin, and ground security coordinators.

In FY 2011, the Commercial Airlines Sector plans to strengthen its relationship with the U.S. Airlines that are certified to operate under the full Aircraft Operator Standard Security Program to provide a stronger support not only on regulatory oversight of commercial airlines on the full Program and on the Private Charter Program but also provide the industry with supporting interpretations, clarification and assessments of the regulations and the level of carrier compliance. As the number of commercial airlines increase each year, PSIs located at Commercial Airlines Sector will also increase the number of comprehensive audits covering all security requirements.

Commercial Airports

The Commercial Airports activity builds meaningful relationships with the commercial airport industry and oversees the development of policies and programs that enhance security at the Nation's commercial airports. The program works to develop national airport security programs that guide security plans by regulated entities. The program also ensures a robust communications system for relaying TSA guidance and information to transportation security stakeholders.

Significant accomplishments in FY 2009 include:

- Issued a Security Directive for increased security in airport badge procedures with the recommendation of the introduction of the use of biometrics for access control systems as well as participation in stakeholder biometric consortium sessions and workshop events.

Planned accomplishments in FY 2010:

- Coordinating (with the Office of Transportation Threat Assessment & Credentialing) development and implementation of consensus-based biometric identification and access control standards for domestic commercial airports.
- Facilitating implementation of methods and technologies to screen airport employees more effectively and efficiently.

The two planned accomplishments in FY 2010 summarize a series of actions that collectively, constitute major planned undertakings requiring technological acquisition and integration by airports, inter-agency interoperability. Also required is coordination at the Federal, State, and local levels, and extensive private sector outreach and information exchange.

In addition, a larger role in coordinating the exchange of sensitive airport vulnerability information developed by the Federal Air Marshal Service (FAMS) and the Federal Bureau of Investigation (FBI) through the Joint Vulnerability Analysis (JVA) program is planned. "*Recommended Security Guidelines for Airport Planning, Design and Construction*" is a touchstone reference used by airport operators, commercial vendors, and other government agencies to support planning and implementation of commercial airport security enhancements. Technology, procedures, policies,

requirements, and capabilities have improved and continue to grow quickly in this field. The Guidelines will be updated in FY 2010, for public release in early FY 2011.

General Aviation (GA)

General Aviation (GA) is responsible for all types of aviation other than regularly scheduled commercial passenger and cargo operations and military aviation. This includes corporate operators, recreational and private aircraft, and charter operations; private and public use of general aviation airports, airmen, and airspace. The program works collaboratively with industry and government stakeholders to develop innovative methods to enhance security and develop, disseminate, and consistently apply a framework of appropriate and feasible security standards. TSNM serves as the “one-stop” shop for all GA security matters. The program uses a threat based and risk management approach to develop strategies, policies, plans, and programs to reduce the security risks and vulnerabilities associated with GA operations.

Significant accomplishments in FY 2009 include:

- Issued the Large Aircraft Security Program (LASP) Notice of Proposed Rulemaking (NPRM) October 30, 2008, with the formal comment period closing on February 27, 2009, following a 60-day extension granted by TSA to further facilitate industry input and encourage additional comments;
- During the formal comment period in January 2009, TSA conducted five public meetings throughout the country to solicit input/feedback from the GA community;
- Processed more than 7,000 comments, as well as actively engaged industry stakeholders in comment sessions to discuss key issues of concerns. These meetings provided TSA with additional insight for the potential development of alternative solutions that appear to be more reasonable and feasible to implement for industry while maintaining an effective level of security.

FY 2010 Planned Accomplishments:

- Modify the existing LASP rulemaking and implement a Supplemental NPRM for GA aircraft;
- Redefine the requirements of the GA Data Management System;
- Develop a pilot project, leveraging the Secure Fixed Based Operator concept for domestic operations;
- Work with Customs and Boarder Protection (CBP) and the Federal Aviation Administration (FAA) to analyze feasibility of aligning the Automatic Detection and Processing Terminal (ADAPT) tool with the Air and Marine Surveillance System (AMOSS) and incorporate Electronic Advanced Passenger Information System (EAPIS) into AMOSS/ADAPT;
- Implement a vulnerability assessment survey tool for GA airports, and
- Develop/implement a GA marketing and educational program for the GA industry to enhance security awareness.

FY 2011 Planned Accomplishments:

- Implement the GA Management System;
- Explore additional databases that will enhance available knowledge of GA operations and operators, and
- Align and merge the AMOSS and ADAPT systems.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Airport Management, IT, and Support
Program Performance Justification**
(Dollars in Thousands)

PPA: Airport Management, IT, and Support

	Perm. Pos	FTE	Amount
2009 Actuals	2,243	2,104	454,647
2010 Enacted	2,390	2,285	453,924
2011 Adjustments-to-Base	455	438	50,229
2011 Current Services	2,845	2,723	504,153
2011 Program Change	255	128	73,162
2011 Total Request	3,100	2,851	577,315
Total Change 2010 to 2011	710	566	123,391

The Transportation Security Administration requests \$577.3 million for this activity. This is a net increase of \$123.4 million from FY 2010. This change includes \$50.2 million for adjustments-to-base and \$73.2 million for program increases associated an increase to the Federal Security Director staff costs and associated non pay costs for TSA’s FY 2011 increase in positions.

CURRENT SERVICES PROGRAM DESCRIPTION

\$ in millions

	FY 2010	FY 2011
Federal Security Director (FSD) and Staff Costs - Field and HQ	\$287.5	\$349.7
Transportation Security Operations Center (TSOC)	28.3	28.6
Airport Parking, Transit, and Fleet	23.1	25.2
Airport Rent and Furniture	115.0	173.8
Total	\$453.9	\$577.3

Federal Security Directors (FSD) Staff and Headquarters PC&B and Non PC&B: \$349.7 million: This funding supports the salaries and benefits of Federal Security Directors (FSDs) and their staff, as well as travel, training, and contract requirements support. In addition, the funding provides for headquarters positions that direct the policy, analysis, and administration of aviation screening. FSDs and staff are critical to supporting the front line operations of the TSOs. To streamline the administrative operations and gain efficiency at the airports, larger airports have been designated as hubs. These hubs provide security direction, administrative support, and

staffing/personnel as needed to smaller, lower staffed airports (spokes). For example, Boston-Logan International Airport is the hub for 7 spoke airports (Bedford-Hanscom, Barnstable, Martha's Vineyard, Nantucket, Provincetown, Westover and Worcester airports).

FSDs and staff travel frequently between the hubs and spoke airports. Funding for airport management and staff provides the proper direction, support, and staff at the spokes to ensure efficient and effective operations.

FSDs and staff develop operational strategies to make the screening process more efficient for the traveling public especially during peak travel seasons. They continue to be the central reference point on policy development, information technology, training, performance management, finance, and human resources to support the mission of TSA.

TSA adapts to a dynamic and changing environment with industry accepted scheduling and modeling programs. These applications allow TSA to efficiently determine and schedule the TSO workforce at the nation's diverse airports. By accurately predicting, executing and measuring the number of TSOs required, TSA ensures that the public has a positive experience while maintaining the proper number of TSOs at each airport.

Beginning in FY 2011, this activity also includes funding for TSA's Bomb Appraisal Officers (BAO) and Explosives Security Specialists (ESS). The BAO program strengthens the security of the Nation's transportation systems by providing frequent interaction and formal training to TSOs to increase their ability to recognize potential Improvised Explosive Devices (IEDs) and IED components. BAOs are highly skilled individuals who have undergone training in the disposal of explosive ordinance. This program provides preventative measures against IEDs while reducing costly airport delays and closures. The BAO Program currently operates at 123 airports.

The need for BAOs in all major airports requires specialized security training for those individuals selected to perform this duty. These in-house explosives experts provide rapid response for advanced resolution of alarms and instruction to TSOs to better identify potential Improvised Explosive Devices (IED) and IED components.

ESS are TSA's multi-modal explosives specialists, assigned to selected FSDs to provide subject matter expertise to TSA and its stakeholders on chemical, biological, nuclear, radiological, and explosive threats to the nation's infrastructure. Although ESS are assigned to selected FSD staffs they have regional responsibilities making them available to all FSDs within their region to assist in multi-modal explosives security issues. ESS conduct explosives vulnerability assessments in all transportation modes, participate in aviation related Joint Vulnerability Assessments and Man Portable Air Defense Systems Vulnerability Assessments. They assist in the development of mitigation plans, conduct tailored explosives recognition and response training, and develop exercises for all transportation modes. ESS are also post blast investigators providing transportation specific expertise to the Federal Bureau of Investigation Explosives Unit and the National Transportation Safety Board during investigations where explosives are suspected or confirmed.

Transportation Security Operations Center (TSOC): \$28.6 million: The TSOC is located at the Transportation Security Administration's Freedom Center in Northern Virginia. The TSOC provides 24/7/365 coordination, communications, collaboration of intelligence and domain awareness for all DHS transportation-related security activities worldwide. The TSOC correlates and fuses real-time intelligence and operational information, ensuring unity of action in the prevention of, and response to, terrorist-related incidents across transportation modes. The TSOC is co-located and closely aligned with TSA's Continuity of Operations (COOP) and Emergency Preparedness activities.

In FY 2009, TSA continued to improve TSOC's program capabilities and capacity. The TSOC initiated the final testing of ACTIVU, which is a content management display system that enables users in geographically diverse sites to view the same displayed content, allows for better information sharing and will aid in event management. ACTIVU is a common operating platform which enables TSOC to provide field elements with a common operation picture. In addition, the TSOC also expanded the use of the Automatic Detection and Processing Terminal, which provides enhanced aviation situational awareness for TSA.

The FY 2010 planned accomplishments include:

- Establishing the National Airspace Coordination Center (NASCC);
- Expanding the use and deployment of the common operating platform ACTIVU ;
- Developing a top flight exercise and training facility focusing on incident management and watch officer training;
- Implementing improvements in the TSOC to accommodate continuity of operations (COOP) requirements and to provide office space for an additional 150 personnel to more efficiently meet the agency's facilities/space needs; and
- Improving video teleconference capabilities in order to reduce travel cost.

The FY 2011 request continues the program at FY 2010 operating levels. FY 2011 goals include establishing a disaster recovery site and leveraging TSA's expanded exercise and training facilities to include four national level exercises and a watch officer certification process.

Airport Parking, Fleet Services, and Transit Benefits: \$25.2 million: This program provides for transit benefits and airport parking for field staff and vehicles.

The Employee Parking Assistance Program (EPAP) provides parking, shuttle service, and financial services for participating TSA employees. The support enables 24/7 staffing of the mission critical TSO workforce at 28 participating airports by ensuring sufficient parking, shuttle service to and from reporting terminals and fee collection services from participants.

FY 2009 accomplishments include expansion of EPAP to include SMF and a comprehensive analysis of EPAP and recommendations for improved program management.

In FY 2010 the EPAP program will focus efforts on acquisition planning to reduce contracting costs, as well as implementing improved program management practices.

In FY 2011, the EPAP will continue to explore and execute program improvements and efficiencies to support the participating airports in alignment with operational mission priorities.

Field Vehicles and transit benefits: Funding will be used to replace aged/high mileage vehicles. Since its inception, TSA has replaced a minimal number of vehicles; thus, there are a significant number of old/high mileage vehicles in service. Funding will also be used to provide transit benefits for field office employees. Significant accomplishments in FY 2009 include the continued efforts to increase percentage of alternative fuel vehicles and related fuel utilization.

FY 2010 planned accomplishments include continuing to improve acquisition planning to promote efficiency and ensure compliance with environmental and energy requirements and improving fleet information management.

FY 2011 continued efforts will include reviewing and refining the accident program in order to ensure customer service, identify trends, and operational risks and increasing awareness of the transit benefits program and promote maximum participation.

In FY 2011, program increases to transit subsidy is directly correlated to the increases in the aviation security workforce including over 5,000 TSO/BDO positions and over 250 FSD staff positions.

Airport Rent and Furniture: \$173.8 million: Funding is requested for rent payments and furniture for TSA's field offices (including FSD and TSO staff locations). In support of its field operations, TSA leases over 3.5 million square feet of space with more than 700 leases at more than 450 airport locations. On-airport space is used for mission-critical direct TSO support, such as break rooms, lockers, and training facilities. These airport leases are typically short-term, requiring frequent re-negotiation. The annual rent is set by the local airport authority based on formulas to recapture operating costs, capital improvements and major repairs. Annual increases are generally far greater than the change in the Consumer Price Index or any other general economic measure. Airport rent is far more expensive and far less predictable than general office space in other commercial buildings.

An analysis of trend data from 2006 through 2009 yielded projections for the next four fiscal years. This analysis demonstrates that the base facility rent is expected to increase by an overall average of 8% to 10% annually from FY 2009 through FY 2015.

In FY 2009, TSA continued the "Workplace 2009" program to develop alternatives to house TSA's new field office requirements within the existing space footprint. TSA maintained its DHS departmental leading real estate customer service model, which is based on electronic customer surveys and feedback, and earned a real property "Innovation" agency award from the General Services Administration.

In FY 2010 and FY 2011, TSA plans to complete the update of the program requirements for field space and furniture, involving field customers and Security Operations as prime stakeholders. TSA is an integral team member in the planning and design of security at airports through assistance with checkpoint redesigns and perimeter security. TSA FSDs and their staff will

continue to build relationships with airport officials, airlines, local law enforcement, and Joint Terrorism Task Force officials.

For FY 2011, TSA will maintain its real estate portfolio and continue to strive for highly efficient space layouts based upon its operational mission and the daily duties of its work force. In FY 2011, program increases for rent are in direct support space requirements for the additional TSO/BDO screener workforce, 275 proprietary canine teams, and space requirements for new Advanced Imaging Technology (AIT) machinery. Additional space is needed because privacy concerns require that the AIT screening room be located separately from the AIT equipment.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
FFDO and Flight Crew Training
Program Performance Justification
(Dollars in Thousands)**

PPA: FFDO and Flight Crew Training

	Perm. Pos	FTE	Amount
2009 Actuals	30	28	30,989
2010 Enacted	30	29	25,127
2011 Adjustments-to-Base	-	-	567
2011 Current Services	30	29	25,694
2011 Total Request	30	29	25,694
Total Change 2010 to 2011	-	-	567

The Transportation Security Administration requests \$25.7 million for this activity. This is a net increase of \$567 thousand from FY 2010 for adjustments to the base.

CURRENT SERVICES PROGRAM DESCRIPTION

The FFDO program was created by the Arming Pilots Against Terrorism Act of 2003 (APATA – P.L. 107-296), which authorizes the deputation of qualified airline pilots to act as Federal law enforcement officers in order to defend the flight decks of aircraft against acts of criminal violence or air piracy. This voluntary program provides a combination of law enforcement training in firearms proficiency, self-defense tactics, authority, use-of-force, and decision-making in defense of both commercial and cargo aircraft.

The Crew Member Self Defense (CMSD) Program was established via the Vision 100 – Century of Aviation Reauthorization Act (FAA Reauthorization Act) in 2004. The Act requires TSA to develop and make available to flight and cabin crewmembers a voluntary, advanced self-defense training program as another means of safeguarding the civil aviation system.

	FY 2010	FY 2011
Federal Flight Deck Officer	\$23.4	\$23.9
Crew Member Self Defense	\$1.7	\$1.8
Total	\$25.1	\$25.7

In June 2009, TSA opened a new FFDO Training Center in Dallas, TX. The new training center enables TSA to meet increased FFDO recurrent training requirements and provides improved

access to required training for volunteers living throughout the West and Midwestern regions of the United States. In FY 2009, TSA provided basic FFDO training to 1,246 new volunteers. Recurrent training (FFDO recertification) was delivered to 1,481 volunteers at the Atlantic City, New Jersey and Dallas, Texas facilities for FFDOs who are in their fourth and fifth year of service. The program will also provided required bi-annual firearms re-qualification training to FFDO program volunteers.

In FY 2009, TSA operated 25 CMSD training facilities at or near Category X and Category I airports. More than 850 crew members participated in this voluntary program in FY 2009. All crew members that participate in CMSDT are asked to complete a survey that captures their level of satisfaction with the course. In FY 2009, crew members ranked their satisfaction with the training at 4.9 out of 5.0, which indicates that despite lower than expected attendance the course is well-received from those that participate. To address lower than expected training attendance the program continues to assess new areas to determine the viability of additional sites.

In FY 2009, TSA transferred \$1 million from the CMSD program base of funds to the FFDO program in order to better manage and prioritize existing resources. The transferred funds were used for the completion of mission critical training equipment purchases and will be used in the future to better support FFDO program operations.

In FY 2010, TSA plans to permanently transfer \$1.5 million from the CMSD program base enacted amount of \$3.2 to the FFDO program in order to best meet recurrent training requirements for the thousands of existing FFDOs who are reaching their fourth and fifth years within the program. This fund transfer will also support initial training of an estimated 550 FFDOs in FY 2010, which will exceed the historical attrition rate. Approximately 3,400 volunteers will receive recurrent training. The program will also continue to provide required bi-annual firearms re-qualification training to FFDO program volunteers. In addition, TSA plans to improve communications with FFDO volunteers by developing a field infrastructure plan using FAMS Field Offices and completing the implementation of an e-mail and web portal system for FFDOs.

In FY 2010, TSA will continue to provide Crew Member Self-Defense Training based on historic attendance and participation levels. Additionally, as a means of increasing crew member participation in Crew Member Self-Defense Training, TSA will begin using FAMS Field Offices to increase the number of locations where this training is available.

In FY 2011, TSA plans to offer initial FFDO training to an estimated 650 new volunteers which will exceed the historical attrition rate. TSA will also continue to train and maintain the existing population of FFDO volunteers through recurrent training and firearms re-qualification. Recurrent training (recertification) will be available for approximately 4,000 volunteers.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Air Cargo
Program Performance Justification
(Dollars in Thousands)**

PPA: Air Cargo

	Perm. Pos	FTE	Amount
2009 Actuals	669	608	157,568
2010 Enacted	762	709	122,849
2011 Adjustments-to-Base	(6)	17	(7,135)
2011 Current Services	756	726	115,714
2011 Program Change	-	-	1,840
2011 Total Request	756	726	117,554
Total Change 2010 to 2011	(6)	17	(5,295)

The Transportation Security Administration requests \$117.6 million for this activity. This is a decrease of \$5.3 million from FY 2010. This adjustment to base consists of \$11.3 million of non-recurring funding, the pay inflation and the annualization of 50 cargo inspectors whose funding was received in FY 2010.

CURRENT SERVICES DESCRIPTION:

The Aviation and Transportation Security Act (ATSA) of 2001 charges TSA with the enforcement of statutory and regulatory requirements for ensuring the security of transportation systems and passengers when cargo is transported by air. Section 1602 of the Implementing the Recommendations of the 9/11 Commission Act of 2007 (9/11 Act), which amended 49 U.S.C. 44901(g)(1), requires TSA to:

- Establish a system to screen 50 percent of cargo transported on passenger aircraft by February 3, 2009, and 100 percent by August 3, 2010;
- Provide a level of security commensurate to that of passenger baggage; and
- Meet inspection benchmarks.

TSA has also been mandated to conduct Vulnerability Assessments at 28 Category X airports to assess security vulnerabilities at specific airports and system-wide. In the first quarter of FY 2010, TSA has completed all 28 Category X airport vulnerability assessments.

The following table provides the components of this PPA.

	FY 2010	FY 2011
Air Cargo Policy and Programs	\$39.1	\$28.0
Air Cargo Inspectors	70.5	74.4
National Explosive Detection Canine Training Program (NEDCTP)	13.3	15.2
Total	\$122.9	\$117.6

Air Cargo Policy and Programs: \$28.0 million: The program is responsible for securing the air cargo supply chain including cargo, conveyances, and people. The air cargo transportation system consists of 450 domestic airports, 300 air carriers, and approximately 4,400 indirect air carriers and shippers. An estimated 32 billion pounds of cargo is shipped within the United States by air annually. TSA focuses on two primary security threats related to the air cargo transportation system: (1) introduction of an explosive device on a passenger aircraft, and (2) the hijacking of an all-cargo aircraft (roughly 88 of cargo shipped of transported cargo) resulting in its use as a weapon of mass destruction.

TSA concluded that this mandate from the 9/11 Act could not be achieved by relying solely on aircraft operators to conduct screening without creating significant delays and missed flights, which would impede the flow of commerce. Screening capacity at a single point in the supply chain is not sufficient to accomplish 100 percent screening. TSA has initiated the following to aid industry in achieving the 100 percent screening requirements:

- Narrow Body Aircraft Screening Amendment - October 1, 2008. This requires 100 percent screening of cargo placed on these aircraft used in passenger service and originating in the U.S. This covers 95 percent of passenger flights, 85 percent of passengers, and 25 percent of cargo on passenger flights that originate within the U.S.
- The Certified Cargo Screening Program (CCSP) – TSA implemented the CCSP in January 2009. CCSP allows screening of cargo early in the air cargo supply chain by a trusted, vetted and validated facility. TSA certifies and regulates shippers, indirect air carriers, and other entities as Certified Cargo Screening Facilities (CCSFs) to screen cargo prior to its being tendered for transport on passenger aircraft.

TSA developed the philosophy behind the CCSP by working closely with the U.S and international agencies and associations to incorporate key aspects of commensurate security programs. Currently, air carriers have primary responsibility for air cargo screening. CCSP extends screening through the air cargo supply chain (i.e. shippers, manufacturers, and freight forwarders) thus reducing impediments to flow of commerce by encouraging screening at the point of entry into the supply chain (e.g. prior to consolidation).

As part of the CCSP, TSA is conducting an Independent Air Carrier (IAC) Screening Technology Pilot (STP). Approximately 65 percent of passenger air cargo volume originates at 18 airports,

and a significant amount is tendered by a concentrated number of large IACs at each airport. STP objectives are to:

- Assist industry in achieving the screening requirements of the 9/11 Act by creating screening capacity at the IACs;
- Measure the effectiveness of select screening technologies on various commodity classes; and
- Evaluate chain-of-custody procedures for screened cargo as it moves from the IAC to the air carrier.

The Screening Technology Pilot (STP), in its current format will cease by August 2010. All funds for the STP were obligated by the close of FY 2009.

IACs participating in the STP must:

- Have a facility located in one of the 18 major cargo gateways;
- Have a minimum annual volume of 200 consolidations (ULDs) tendered to passenger aircraft;
- Verify CCSP facility security and chain of custody standards through TSA audits; and
- Sign an Other Transactional Agreement (OTA) to receive funding from TSA.

Air Cargo Inspectors: \$74.4 million: Air Cargo Inspectors enforce statutory and regulatory requirements and provide guidance to industry on securing air cargo. Inspectors ensure that air carriers (passenger and all-cargo) and indirect air carriers meet their operational responsibility by implementing the security requirements issued by TSA. This includes maintaining a TSA-approved security program that describes the security policies, procedures, and systems that must be implemented in order to comply with TSA security requirements. These requirements include measures related to the acceptance, handling, and inspection of cargo; training of employees in security and cargo inspection procedures; testing employee proficiency in cargo inspection; and access to cargo areas and aircraft.

TSA-approved security programs include:

- (1) Aircraft Operators Standard Security Program (AOSSP) - domestic passenger air carriers that transport passengers and cargo;
- (2) Indirect Air Carrier Standard Security Program (IACSSP) - domestic indirect air carriers;
- (3) Full All-Cargo Aircraft Operator Standard Security Program, - domestic air carriers engaged in the transportation of cargo in an all-cargo aircraft with a maximum certified takeoff weight of more than 45,500 kg (100,309.3 lbs);
- (4) Twelve-Five Standard Security Program - certain domestic operators of aircraft weighing more than 12,500 pounds in scheduled or charter service that carry passengers, cargo, or both;
- (5) Model Security Program (MSP) - foreign passenger air carriers that transport passengers and cargo;

- (6) All-Cargo International Security Program (ACISP) - each foreign air carrier engaged in the transportation of cargo to, from, within, or over-flying the U.S. in all-cargo aircraft with a maximum certified takeoff weight of more than 45,500 kg (100,309.3 lbs);
- (7) All-Cargo Twelve-Five International Security Program - each foreign air carrier engaged in the transportation of cargo to, from, within, or over-flying the U.S. in an all-cargo aircraft with a maximum certified takeoff weight of more than 12,500 lbs but no more than 45,500 kg (100,309.3 lbs); and
- (8) Certified Cargo Screening Program Order - shippers, third party logistics companies, independent cargo screening facilities, and other non-IAC entities which screen air cargo.

TSA inspectors carry out planned and random inspections of foreign and domestic air carriers and indirect air carriers (IACs). In addition, inspectors conduct monthly cargo strikes (week-long compliance blitzes in a single metropolitan area) at airports and IAC facilities. TSA also promotes the full compliance with security requirements through outreach programs and collaboration with industry.

In FY 2009, the program was able to leverage 454 inspectors to more than double the amount of air cargo inspections conducted in all of FY 2008 (21,600 in FY08 and 42,000 by July 2009). A small cadre of inspectors conducted vulnerability assessments and provided assistance for certified shipper validations. During surge and periods of elevated threat, cargo inspectors supported and participated in VIPR activities.

In FY 2010, TSA received funding to increase the number of inspectors by 50. The additional cargo inspectors will oversee the implementation of CCSP and will also be involved in the validation of new program entrants by overseeing TSA Approved Validation Firms (TAVF) and if required, may also conduct the validations directly. The FY 2011 request annualizes the additional inspectors.

International Cargo Inspections: In addition to domestic inspections, TSA has developed a program to ensure the security of inbound cargo from outside the U.S. Currently, screening international cargo poses challenges and constraints unique to the international air cargo environment. These constraints are due to limited control over foreign supply chain activities, scale of diversity among supply chains, and diplomatic considerations. A joint effort with Customs and Border Protection (CBP) and its international partners is actively working to strengthen air cargo security through the development of a global air cargo security strategy. This strategy will include establishing a risk assessment regime using CBP's Automated Targeting System (ATS) and TSA's Vulnerability Assessment methodology.

Global security standards will strengthen over time through collaboration with the International Civil Aviation Organization (ICAO), as well as information sharing and standardization with strategic foreign partners.

In FY 2010, TSA will have ten International Cargo Transportation Security Inspectors deployed to four international field offices in Los Angeles, Dallas Fort Worth, Miami, and Frankfurt, Germany. These inspectors examine cargo operations at last points of departure to the U.S. to establish a baseline by which compliance can be measured. In FY 2010, TSA intends to partner

with Australia to conduct an Air Cargo Security Workshop within the Asia-Pacific Economic Corporation (APEC).

National Explosives Detection Canine Training Program (NEDCTP): \$15.2 million: Canines provide a valuable tool to assist in the screening of air cargo. TSA has funded 473 local law enforcement officer-led (LEO) canine teams at 78 airports. LEO teams spend approximately 25 percent of their time in a cargo environment and associated facilities. In addition, TSA was provided funding for 170 additional cargo specific canine teams, split between LEO canine teams and proprietary (Federal handler teams) led by TSA cargo inspectors dedicated to screening passenger air cargo at high volume air carrier facilities. In FY 2009 there were 84 proprietary cargo canine teams, and 50 LEO canine teams deployed. The remaining 36 proprietary teams will be trained and deployed in FY 2010. The full complement of 170 TSA canine teams will provide considerable screening capabilities for air cargo and will greatly assist in achieving the 100% screening of all passenger air cargo. The proprietary canine teams screen air cargo at 20 domestic airports with the greatest volume of passenger air cargo. The teams focus their efforts on screening large, bulk configurations as well as individual cargo pieces when appropriate.

Projected FY 2011 Funded Canine Teams					
Funding Source	Legacy Aviation	Proprietary OSO	FAM	Mass Transit	Total
Base Funding	473	23	22	117	635
Supplemental	50	120			170
FY 2011 Enhancement		275			275
Total	523	418	22	117	1,080

Through cooperative agreements, TSA provides funding for training, certification and maintenance of the explosives detection capable canines, training for the handlers, and partial reimbursement of handlers' salaries and other costs. The FY 2011 request seeks to increase the current stipend TSA provides, to each state and local participant by approximately \$10,500. This proposed enhancement is necessary to more appropriately distribute the escalating inflationary and operational costs borne by NEDCTP program participants. Local law enforcement agencies deploy these valuable canine teams and provide DHS with a mobile response platform for specific threats to the transportation systems.

Air Cargo Accomplishments:

Significant accomplishments in FY 2009 include:

- In February 2009, achieved 50% screening of all cargo on passenger aircraft departing from the U.S.
- Performed approximately 55,000 inspections of foreign and domestic air carriers, indirect air carriers, and certified cargo screening facilities and conducted roughly 800 regulatory investigations of foreign and domestic air carriers, IACs, and CCSFs.
- Conducted more than 11,000 covert tests for air cargo security.
- Published the Air Cargo 100% Screening Interim Final Rule (IFR) which was effective November 16, 2009 (requires 100% screening by August 2010).
- Completed 1st of 4 phases of cargo screening technology qualification testing to evaluate existing and emerging technologies and their appropriate use on commodity types and cargo configurations.
- Trained and certified TSA Approved Validation Firms to facilitate certification under the CCSP

FY 2010 Planned Accomplishments:

- As of December 2009, certified approximately 500 CCSFs as well as completed vulnerability assessments on all 28 Category X airports.
- By August 2010, achieve 100% screening of all cargo on passenger aircraft departing from the U.S.
- In addition, CCSP will be implemented by August 2010 to facilitate the screening of cargo to be transported on passenger aircraft.
- By August 2010, complete the Indirect Air Carrier Screening Technology Pilot to evaluate the operational feasibility of certain screening technologies in the air cargo environment.
- Pilot utilization of CBP's Automated Targeting System to conduct risk screening on international inbound cargo of passenger aircraft.
- Continue working with international stakeholders to harmonize air cargo security standards and advance the "supply chain screening" approach toward 100% screening of international inbound cargo on passenger aircraft.

In FY 2011 TSA intends to accomplish the following:

- Continue maturation of the CCSP by certifying more facilities to conduct screening of cargo to be transported on passenger aircraft. In the Air Cargo 100% Screening IFR, TSA projected 15,000 facilities in CCSP over a 10 year period (2009-2019).
- Ongoing qualification of TSA approved technologies and screening protocols for X-Ray, Explosives Trace Detection, and metal detection and their uses on commodity types and cargo configurations, particularly skidded cargo. Continue evaluation of emerging technologies.

- Expand international inspection outreach efforts regarding all-cargo security and will place added emphasis on the development of international standard with which all ICAO member states must comply.
- Regulatory investigations of foreign and domestic air carriers, IACs, and CCSFs as needed to enforce security requirements;
- Full program development and implementation of Targeting System to conduct risk screening on international inbound cargo of passenger aircraft.
- Continue working with international stakeholders to harmonize air cargo security standards and advance the “supply chain screening” approach toward 100% screening of international inbound cargo on passenger aircraft.
- Continue Vulnerability Assessments on high cargo volume Category 1 airports and reassessments at select high volume Category X airports.
- By October 2011, publish the Air Cargo 100% Screening Final Rule.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Airport Perimeter Security
Program Performance Justification**
(Dollars in Thousands)

PPA: Airport Perimeter Security

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	7,979
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	-

The Transportation Security Administration does not request funding for this activity in FY 2011. Funds appropriated in FY 2009 were obligated for various airport perimeter security pilots to reduce security weaknesses and vulnerabilities.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
General Aviation - offsetting fee
Program Performance Justification
(Dollars in Thousands)**

PPA: General Aviation - offsetting fee

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	30
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	-

This offsetting collection supports General Aviation flights into Reagan National (DCA) as provided by the Vision 100 Act. TSA levies a \$15 fee for each person onboard the flight for security threat assessments and flight authorization services. In addition, a \$296 fee per roundtrip is charged to flight operators for the screening personnel and equipment used to support such flights at DCA. These fee collections cover program costs associated with the legislated mandate requiring the establishment of a security program to allow General Aviation flights into and out of DCA. Per P.L. 111-83, beginning in FY 2010, this fee was moved from the Aviation Security to the Transportation Threat and Credentialing appropriation.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Air Cargo - offsetting fee
Program Performance Justification
(Dollars in Thousands)**

PPA: Air Cargo - offsetting fee

	Perm. Pos	FTE	Amount
2009 Actuals	3	3	1,144
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	-

Per P.L. 111-83, beginning in FY 2010, this fee was moved from the Aviation Security to the Transportation Threat and Credentialing appropriation. This provides for the security fee collections supporting security threat assessments of security workers in the air cargo supply chain. TSA levies a fee to offset costs of the assessments and program management costs. This fee is collected in accordance with the Final Rule on Air Cargo Security Requirements and as authorized by the FY 2004 DHS Appropriations Act (Public Law 108-90).

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Aviation Security Capital Fund:
Program Performance Justification
(Dollars in Thousands)**

PPA: Aviation Security Capital Fund:

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	230,731
2010 Enacted	-	-	250,000
2011 Current Services	-	-	250,000
2011 Total Request	-	-	250,000
Total Change 2010 to 2011	-	-	-

The Aviation Security Capital Fund was extended by the 9/11 Bill and is authorized through 2028.

Department of Homeland Security
Transportation Security Administration
Aviation Security:
Checkpoint screening security fund:
Program Performance Justification
(Dollars in Thousands)

PPA: Checkpoint screening security fund:

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	41,676
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	-

The Transportation Security Administration does not request funding for this activity in FY 2010 or FY 2011.

IV. Program Justification Changes

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Screening Partnership Program [Privatized Screening]
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 1: Reduce SPP as a Result of Contract Efficiencies
PPA: Screening Partnership Program [Privatized Screening]
Program Decrease: Positions 0.0, FTE 0.0, Dollars (\$10,000.0)

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Decrease							-	-	(10,000)
Total Request	-	-	-	-	-	-	-	-	(10,000)

Description of Item

The Screening Partnership Program (SPP) allows an airport operator to provide screening services through a private screening company. The contractor must perform under federal oversight and the contracted screeners must perform at equal or higher performance levels than federal TSOs.

Justification

TSA is able to operate the SPP with reduced funding levels due to efficiencies gained through contract re-negotiations.

Impact on Performance (Relationship of Increase to Strategic Goals): This action will have no immediate impact on the current participants in SPP, but may prevent TSA from having readily available resources to fund new airport candidates for federalization, increasing the time required to implement such actions.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Operation Integration
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 2: Merge Operation Integration into EDS/Checkpoint
PPA: Operation Integration
Program Decrease: Positions 0.0, FTE 0.0, Dollars (\$21,481.0)

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Decrease							-	-	(21,481)
Total Request	-	-	-	-	-	-	-	-	(21,481)

Description of Item

The FY 2011 Request reflects a \$21.5 million reduction for the elimination of the Operation Integration PPA.

Justification

In FY 2011, TSA proposes to sustain program initiatives within technology programs in individual PPAs, and eliminate the separate Operation Integration PPA account

Aviation security programs will continue to meet passenger, baggage, and cargo screening requirements for evaluating the impact of new security technologies, procedures, and policies. This work will continue to test, evaluate, and analyze pre-production or production representative systems under realistic conditions, including operation by those who will use the equipment under the proposed concept of operations, in the field under a variety of environmental conditions. Initiatives will continue to support security programs covering passenger, baggage, cargo, and airport infrastructure as well as a program addressing surface transportation protection.

Impact on Performance (Relationship of Increase to Strategic Goals)

Work under this program will continue under the oversight of TSA's Office of Security Technology and will be supported by benefitting programs from their base funding.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 3: Increase Canine Teams and Stipend Increase
PPA: Aviation Security:
Program Increase: Positions 523.0, FTE 262.0, Dollars \$74943.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	282	193	70,000	282	271	66,000	282	271	66,000
Program Increase-Aviation Regulation-Additional Canines							523	262	69,149
Program Increase-Aviation Regulation- Co-Operative Agreement Amount							-	-	3,880
Program Increase- Air Cargo- Co-Operative Agreement Amount							-	-	1,840
Program Increase-Airport Management-Additional Canines							-	-	74
Total Request	282	193	70,000	282	271	66,000	805	533	140,943

The Current Services levels represent the total funding for the TSA Canine program only.

Description of Item

This initiative includes additional proprietary canine teams and an increase in funding for state and local law enforcement agreements. The total cost for this initiative is \$78.0 million, of which \$74.9 million is in Aviation, \$1.3 million in Surface Transportation Security, and \$1.3 million in Transportation Security Support. (See Surface Transportation Security Increase # 1 and Transportation Security Support Program Increase # 2)

- The total cost to increase the number of proprietary canine teams is \$71.0 million with 523 FTP/262 FTE in Aviation Regulation, and \$1.9 million in Support costs.
- The total cost to increase the stipend for the Co-Operative agreements to State/Local teams is \$7.0 million with \$3.9 million to Aviation Regulation, \$1.8 million to Air Cargo, and \$1.3 million to Surface.

TSA’s canine program develops trains, deploys, and certifies explosives detection canine teams to deter and detect the introduction of explosive devices into the transportation system. Explosives detection canine teams are proven and reliable resources in the detection of explosives and are a key component in a balanced counter-sabotage program.

The NEDCTP provides funding for training, certification and maintenance of the explosives detection capable canines, training for the handlers, and partial reimbursement of handlers’ salaries

and other costs through cooperative agreements. Local law enforcement agencies deploy these valuable canine teams and provide DHS with a mobile response platform for specific threats to the transportation systems.

Justification

TSA is requesting \$69.1 million for an additional 275 proprietary canine teams. TSA currently has funding to support a total of 805 canine teams, comprised of 165 Proprietary (Federal Handler) teams and 640 Legacy (State/Local) teams. The FY 2011 request includes funding for an additional 275 proprietary teams as a result of evolving threats to aviation security such as the Christmas Day 2009 attack. From these 275 teams, 112 teams will be placed at 28 CAT X airports and 163 teams will be placed at 56 CAT I airports. The request also includes the necessary general operating expenses for support including additional explosive training aid storage magazines.

The proprietary canine teams are currently located in Airport baggage and Air Cargo environments. The use of canines in the airport passenger environment is an effective and efficient way to screen people in mass amounts. The request for additional teams would also include general operating expenses for support including additional explosive training aid storage magazines. These teams coordinate with TSA Behavior Detection Officers to drive behavior changes in possible assailants in passenger terminal and checkpoint areas.

The increase of \$5.7 million for the NEDCTP program is to provide a stipend increase of \$10,500 to each team in Aviation Regulation and Air Cargo.

Impact on Performance (Relationship of Increase to Strategic Goals)

An increase in funding will allow the TSA's canine teams to provide additional coverage in the nation's airports. The teams will also be better able to detect and deter terrorist activities directed towards transportation systems, as well as provide for more timely responses should attempted attacks occur.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 4: International Security
PPA: Aviation Security:
Program Increase: Positions 74.0, FTE 37.0, Dollars \$39350.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase-Aviation Regulation							74	37	38,844
Program Increase-Airport Management									506
Total Request	-	-	-	-	-	-	74	37	39,350

The Current Services levels represent the Office of Global Strategies funding.

Description of Item

The total cost to enhance International Programs is \$40.0 million, with 74 FTP/37 FTE and \$39.4 million in Aviation Security and \$650 thousand in Transportation Security Support. (See Transportation Security Support Program Increase # 2)

The purpose of the Office of Global Strategies (OGS) is to develop and promote the implementation of effective/enhanced global transportation security processes and structures worldwide, while ensuring compliance with international and TSA standards. OGS seeks to work proactively with foreign partners and overseas transportation operations affecting the United States by representing TSA in a variety of international and domestic settings, including major transnational aviation-related organizations, regional bodies dealing with transportation security, bilateral cooperative efforts with various nations, as well as interagency transportation security matters internationally.

TSA requests an additional \$38.8 million in FY 2011 to:

- Field and support an additional 74 personnel to manage international programs at 15 existing offices around the globe. These positions will be strategically placed in high risk areas such as the Middle East and Africa;
- The 74 new positions include 34 TSS; 10 IIRs, and a Rapid Response Team (10 FTP) and associated support personnel.
- Provide equipment and training to host nations to mitigate vulnerabilities and ensure compliance with aviation security standards;
- Triple the number of visits made by ASSIST teams, and;

- Support technical and automated systems used by Foreign Airport Assessment program for risk management.

Justification

As a result of evolving threats to aviation security such as the failed Christmas Day attack in 2009, TSA is requesting an increase in funding to provide an increased international presence. These additional resources will strengthen alignment and consistency between the security requirements of the U.S. and foreign governments.

Impact on Performance (Relationship of Increase to Strategic Goals)

The addition of field personnel will enable TSA to conduct congressionally mandated inspections and respond to heightened threats through onsite deployments designed to ensure threat mitigation measures are applied by local authorities.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 5: Passenger and Baggage Screening Enhancement
PPA: Aviation Security:
Program Increase: Positions 10.0, FTE 5.0, Dollars \$357,202.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	2,451	2,276	1,653,292	2,594	2,482	1,565,676	3,079	2,948	1,127,156
Program Increase- Checkpoint Support							10	5	231,200
Program Increase-Airport Management									22,500
Program Increase- EDS/ETD Procure/Install									82,502
Program Increase- Screener Training and Other									21,000
Total Request	2,451	2,276	1,653,292	2,594	2,482	1,565,676	3,089	2,953	1,484,358

Description of Item

This initiative is for a total increase of \$363.2 million for Passenger Security Enhancements, of which \$357.2 million is in Aviation Security and \$6 million in Transportation Security Support. Included in Aviation Security is \$231.2 million for advanced imaging technology (AIT) and Explosive Trace Detection (ETD) equipment for the checkpoint, \$21 million for ETD consumables, 10 FTP/5 FTE for support related to the new equipment, \$22.5 million for space and modifications of airport AIT viewing rooms, and \$82.5 million to accelerate the purchase for Explosives Detection Systems (EDS) of checked baggage screening. The Support appropriation includes \$6 million of Whisper Communications. (See Transportation Security Support Program Increase # 2)

Justification

TSA must implement passenger security enhancements to respond to evolving threats to aviation security such as the Christmas Day 2009 incident. The FY 2011 request will support critical operations above the current services levels.

Funding in the above PPAs will accelerate the purchase and deployment of technologies to detect dangerous materials, including non-metallic materials, a person may attempt to smuggle onto an aircraft under their clothing.

An increase of \$6 million in the Support Appropriation, Information Technology PPA, is for the purchase of radios for Transportation Security Officers to use with new AIT equipment.

Impact on Performance (Relationship of Increase to Strategic Goals)

The EDS Strategic Plan outlined a process for achieving optimal screening solutions at the top 250 commercial airports. This number has been increased to 285 in order to incorporate Category III airports. By the end of FY 2010 it is projected that 200 airports will have one or more operational in-line systems. The ARRA infusion of \$689 million coupled with a program increase in FY 2010 Appropriation \$487 million will facilitate acceleration of in-line systems, which provide higher detection rates and increased baggage throughput. In FY 2011, the discretionary program will accelerate the purchase of Explosives Detection equipment and ensure ARRA projects are completed without incurring delays.

The FY 2011 request of 500 AIT units, combined with 500 units to be installed by the end of 2010, will provide coverage at 60% of the total lanes at Category X through II. The deployment of these units will support screening of about 50% of all airline passengers. The ETD request of 811 units will improve TSA's ability to detect residue from explosive materials on people at lanes not covered by AIT.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 6: TSO, BDO and Airport Staffing
PPA: Aviation Security:
Program Increase: Positions 5960.0, FTE 3888.0, Dollars \$285144.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase- Screener PC&B							5,705	3,760	235,062
Program Increase- Screener Training & Other							0	0	40,796
Program Increase- Airport Management							255	128	50,082
Total Request	-	-	-	-	-	-	5,960	3,888	285,144

Description of Item

This initiative is for a total increase of \$372.7 million, of which \$325.9 million is from Aviation Security and \$46.8 million is from Transportation Security Support. The total Aviation increase of \$325.9 million includes, 1) expansion of the Transportation Security Officer (TSO) workforce by 5,355 FTP/3,550 FTE and \$218.9 million to fully support the deployment of advanced imaging technology (AIT) at airport checkpoints; 2) increase to the Behavior Detection Officer (BDO) Program by 350 FTP/210 FTE and \$16.2 million to expand the use of screening of passengers by observation technique (SPOT) at additional airports; 3) an increase of \$40.8 million to Screener Training and Other for training and uniform requirements of new staff as well as the purchase of additional consumable materials with the acquisition of new portable explosives trace detection systems; and 4) increase to Airport Management and Support of 255 FTP/128 FTE and \$50.1 million to absorb the additional payroll, human resource, finance and other duties which conforms to TSA's Federal Security Director staffing model and previous proportional growth at airports along with corresponding increases to rent and transit subsidy. In addition, 55 positions, 28 FTE, and \$46.9 million is also requested in the Aviation Support appropriation in support of this program increase. The Support appropriation includes 55 positions, 28 FTE, and \$46.8 million to support this operational increase. (See Transportation Security Support Program Increase # 2)

Justification

TSA requests an increase of \$218.9 million to support the accelerated deployment of AIT machines in FY 2011. This staffing increase is necessary to successfully operate the AIT machines without diminishing the current allocation of resources. Additional TSOs will provide divestiture information, operate the machines and perform resolution screening at the checkpoint. TSA's request reflects an expected average AIT staffing requirement.

TSA requests an increase of \$16.2 million and 210 FTE to support the addition of 350 new BDOs. TSA's Screening of Passengers by Observation Technique (SPOT) is a behavior and analysis program in which personnel are trained to identify anomalous behaviors that deviate from an established environmental baseline. SPOT personnel are known as BDO who observe the security checkpoint to identify passengers that are emphasizing non-verbal, potentially high-risk behaviors. In FY 2009, SPOT referred 69,426 passengers for additional screening resulting in 6,093 law enforcement officer calls yielding 355 arrests.

The enhancement of TSO staff requires an associated increase in field support, which includes managers, FSD staff, and administrative positions. The deployment of AIT technology will also entail additional TSO training, consumables and real estate expenses.

Impact on Performance (Relationship of Increase to Strategic Goals):

The enhancement of the TSO and BDO workforce supports DHS Goal 1: Protect our Nation from Dangerous People; Objective 1.3: Strengthen Screening of Travelers and Workers; DHS Goal 2: Protect our Nation from Dangerous Goods; and Objective 2.3: Prevent and Detect Chemical and Explosive Attacks.

The deployment of AIT at many of the nation's checkpoints will provide a level of unparalleled security that marks a departure from traditional technology and screening practices. AIT technology gives TSA the capability of detecting metallic and non-metallic dangerous materials hidden on a person. The units TSA plans to have deployed by the end of FY 2011 will provide AIT coverage at 60% of lanes at Category X through Category II airports. This deployment will support screening of about 62% of all air passengers.

SPOT provides FSDs with an additional layer of security, based on proven behavior observation and analysis techniques, to make timely security risk assessments. SPOT/BDO adds an additional measure of unpredictability due to the fact that they can be deployed almost anywhere within the airport environment and are not just confined to the footprint of the checkpoint.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Transportation Security Administration
Justification of Proposed Changes in Aviation Security
Appropriation Language**

For necessary expenses of the Transportation Security Administration related to providing civil aviation security services pursuant to the Aviation and Transportation Security Act (Public Law 107-71; 115 Stat. 597; 49 U.S.C. 40101 note), [\$5,310,850,000] **\$4,507,658,000**, to remain available until September 30, [2011] **2012**, of which not to exceed \$10,000 shall be for official reception and representation expenses: *Provided*, That of the total amount made available under this heading, not to exceed [\$4,475,117,000] **\$3,710,957,000** shall be for screening operations; and not to exceed [\$835,733,000] **\$796,701,000** shall be for aviation security direction and enforcement: *Provided further*, That security service fees authorized under section 44940 of title 49, United States Code, shall be credited to this appropriation as offsetting collections and shall be available only for aviation security: *Provided further*, That any funds collected and made available from aviation security fees pursuant to section 44940(i) of title 49, United States Code, may, notwithstanding paragraph (4) of such section 44940(i), be expended for the purpose of improving screening at airport screening checkpoints, which may include the purchase and utilization of emerging technology equipment; the refurbishment and replacement of current equipment; the installation of surveillance systems to monitor checkpoint activities; the modification of checkpoint infrastructure to support checkpoint reconfigurations; and the creation of additional checkpoints to screen aviation passengers and airport personnel: *Provided further*, That the sum appropriated under this heading from the general fund shall be reduced on a dollar-for-dollar basis as such offsetting collections are received during fiscal year [2010] **2011**, so as to result in a final fiscal year appropriation from the general fund estimated at not more than [\$3,081,909,000] **\$2,278,717,000**: *Provided further*, That any security service fees collected in excess of the amount made available under this heading shall become available during fiscal year [2011] **2012**: *Provided further*, That notwithstanding section 44923 of title 49, United States Code, the share of the cost of the Federal Government for a project shall not exceed 90 percent, and all funding provided by section 44923(h) of title 49, United States Code, may be distributed in any manner deemed necessary to ensure aviation security: *Provided further*, That Members of the United States House of Representatives and United States Senate, including the leadership; and the heads of Federal agencies and commissions, including the Secretary, Under Secretaries, and Assistant Secretaries of the Department of Homeland Security; the United States Attorney General and Assistant Attorneys General and the United States attorneys; and senior members of the Executive Office of the President, including the Director of the Office of Management and Budget; shall not be exempt from Federal passenger and baggage screening. (*Department of Homeland Security Appropriations Act, 2009.*)

Explanation of Change:

No substantive changes proposed.

B. FY 2010 to 2011 Budget Change

Department of Homeland Security Transportation Security Administration Aviation Security: FY2010 to FY2011 Budget Change (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2009 Actuals	55,210	49,319	5,323,256
FY 2010 Enacted	54,738	49,282	5,464,040
Adjustments-to-Base	-	-	-
Transfers	-	-	-
From FAMS to Aviation for Other Adjustments	33	32	5,058
From Support to Aviation for Other Adjustments	3	3	282
From Surface to Aviation for Annl. FY10 Increases	-	-	1,984
Total Transfers	36	35	7,324
Increases	-	-	-
2011 Pay Increase	-	-	34,473
Annualization of 2010 Pay Raise	-	-	16,015
Annualization of FY 2010 Program Increase	-	23	2,962
Annualization of FY 2010 Program Increases	-	-	488
Annualization of Prior Year Part Year Funding	-	54	4,877
DHS Balanced Workforce Strategy	30	28	-
FFDO Growth Support	-	-	500
Maintenance for ARRA Equipment	-	-	15,500
Realign from PC&B to Airport Management	422	406	43,380
Realign from Screener Training to Airport Mgmt	-	-	720
SPP FY10 Annualization/FY11 Pay increase	-	-	3,035
Total Increases	452	511	121,950
Decreases	-	-	-
Air Cargo	-	-	(11,280)
EDS Procurement/Installation	-	-	(487,109)
Flight Data Initiative	-	-	(5,500)
From Aviation to Support for Other Adjustments	-	-	(100)
Improved Explosives Detection Recognition Training	-	-	(1,250)
Realignment from ScrTrng to Airport Management	-	-	(720)
Transfer of BAOs to Airport Management and Support	(422)	(406)	(43,380)
Transfer to Support for Annl. of FY10 Increase	-	-	(35)
Transfer to TTAC for Other Adjustments	(6)	(6)	-
Total Decreases	(428)	(412)	(549,374)
Total, Adjustments-to-Base	60	134	(420,100)
FY 2011 Current Services	54,096	49,416	5,043,940
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Increase Canine Teams and Stipend Increase	523	262	74,943
International Security	74	37	39,350
Merge Operation Integration into EDS/Checkpoint	-	-	(21,481)
Passenger and Baggage Screening Enhancement	10	5	357,202
Reduce SPP as a Result of Contract Efficiencies	-	-	(10,000)
TSO, BDO and Airport Staffing	5,960	3,888	285,144
TSO, BDO, and Airport Staffing	-	-	40,796
Total, Program Changes	6,567	4,192	765,954
FY 2011 Request	60,663	53,608	5,809,894
FY 2010 to FY 2011 Total Change	5,925	4,326	345,854

C. Summary of Requirements

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	55,210	49,319	5,323,256
FY 2010 Enacted	54,738	49,282	5,464,040
Transfers	-	-	-
Total, Transfers	30	29	7,189
Adjustments-to-Base	-	-	-
Transfers	36	35	7,324
Increases	452	511	121,950
Decreases	(422)	(406)	(549,239)
Total, Adjustments-to-Base	66	140	(419,965)
FY 2011 Current Services	54,132	49,451	5,051,264
Program Changes	-	-	-
Total, Program Changes	6,567	4,192	765,954
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	60,663	53,608	5,809,894
Total Change 2010 to 2011	5,925	4,326	345,854

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Screening Partnership Program [Privatized Screening]	-	-	149,643	-	-	142,678	-	-	(6,965)	-	-	(10,000)	-	-	3,035
Passenger & Baggage TSO PC&B [Passenger & Baggage Screener - PC&B]	49,468	44,930	2,758,575	54,751	48,338	2,997,664	5,283	3,408	239,089	5,705	3,760	235,062	(422)	(352)	4,027
Screening Training and Other	56	55	204,713	56	55	264,643	-	-	59,930	-	-	61,796	-	-	(1,866)
Checkpoint Support	41	40	128,739	66	59	360,026	25	19	231,287	10	5	231,200	15	14	87
EDS Procurement and installation	107	102	778,300	122	116	373,832	15	14	(404,468)	-	-	82,502	15	14	(486,970)
Screening Technology Maintenance & Utilities [EDS/ETD Maintenance]	-	-	316,625	-	-	332,125	-	-	15,500	-	-	-	-	-	15,500
Operation Integration	-	-	21,481	-	-	-	-	-	(21,481)	-	-	(21,481)	-	-	-
Aviation Regulation and Other Enforcement	1,182	1,132	254,064	1,782	1,434	368,363	600	302	114,299	597	299	111,873	3	3	2,426
Airport Management, IT, and Support	2,390	2,285	453,924	3,100	2,851	577,315	710	566	123,391	255	128	73,162	455	438	50,229
FFDO and Flight Crew Training	30	29	25,127	30	29	25,694	-	-	567	-	-	-	-	-	567
Air Cargo	762	709	122,849	756	726	117,554	(6)	17	(5,295)	-	-	1,840	(6)	17	(7,135)
Aviation Security Capital Fund:	-	-	250,000	-	-	250,000	-	-	-	-	-	-	-	-	-
Subtotal, Estimates Program Project Activity	54,036	49,282	5,464,040	60,663	53,608	5,809,894	6,627	4,326	345,854	6,567	4,192	765,954	60	134	(420,100)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	54,036	49,282	5,464,040	60,663	53,608	5,809,894	6,627	4,326	345,854	6,567	4,192	765,954	60	134	(420,100)

D. Summary of Reimbursable Resources

Department of Homeland Security Transportation Security Administration Aviation Security: Summary of Reimbursable Resources (Dollars in Thousands)

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Department of State International Affairs	-	-	-	-	-	250	-	-	250	-	-	-
Department of Transportation FAA (Safe Skys)	-	-	200	-	-	225	-	-	-	-	-	(225)
Dept of Defense AFRICOM Tran. Security Specialist Rep.	-	-	-	-	-	-	-	-	200	-	-	200
ICAO Training	-	-	150	-	-	150	-	-	150	-	-	-
OAS Technical Assistance & Training	-	-	250	-	-	300	-	-	300	-	-	-
Transport Canada	-	-	1,333	-	-	2,000	-	-	1,500	-	-	(500)
DOS/International Affairs	-	-	250	-	-	-	-	-	-	-	-	-
DHS/NPPD - Detailee Patrick Kern	-	-	225	-	-	250	-	-	275	-	-	25
DHS/OHA IT Detailee Allen to OHA NBIC Support	-	-	156	-	-	200	-	-	225	-	-	25
DHS/US-Visit Air Exit Pilot	-	-	221	-	-	250	-	-	-	-	-	(250)
Dept. Of State - ATA Anti-Terrorism Assistance Program	-	-	250	-	-	275	-	-	275	-	-	-
FAA TSAR Detailee to Afghanistan	-	-	444	-	-	450	-	-	475	-	-	25
Science and Technology	-	-	-	-	-	500	-	-	-	-	-	(500)
US Secret Service - Detailee Don Burgess	-	-	83	-	-	-	-	-	-	-	-	-
United States Secret Service	-	-	500	-	-	-	-	-	-	-	-	-
Total Budgetary Resources	-	-	4,062	-	-	4,850	-	-	3,650	-	-	(1,200)

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
Checkpoint Support	-	-	239	-	-	200	-	-	225	-	-	25
Operations Integration	-	-	793	-	-	1,190	-	-	1,000	-	-	(190)
TSA Aviation Regulation	-	-	1,769	-	-	1,900	-	-	1,925	-	-	25
TSA EDS/EDT Procurement Installation	-	-	540	-	-	1,310	-	-	500	-	-	(810)
TSA Screener and PC&B	-	-	721	-	-	250	-	-	-	-	-	(250)
Total Obligations	-	-	4,062	-	-	4,850	-	-	3,650	-	-	(1,200)

E. Summary of Requirements by Object Class

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,834,907	1,880,940	2,101,488	220,548
11.3 Other than full-time permanent	232,312	235,014	255,621	20,607
11.5 Other personnel compensation	299,812	304,910	332,692	27,782
11.6 Pay Diff (Sun/Night)	20,179	20,546	22,281	1,735
11.8 Special Service Pay	7,767	7,918	11,949	4,031
12.1 Benefits	823,163	833,286	916,590	83,304
13.0 Unemployment Compensation	529	535	657	122
21.0 Travel	58,418	58,557	60,363	1,806
22.0 Transportation of things	1,014	1,829	19,443	17,614
23.1 GSA rent	91,649	101,062	126,570	25,508
23.2 Other rent	14,895	15,353	17,202	1,849
23.3 Communications, utilities, and misc. charges	14,992	15,107	15,859	752
24.0 Printing	608	609	604	(5)
25.1 Advisory and assistance services	983,620	478,772	428,818	(49,954)
25.2 Other services	341,956	776,689	546,525	(230,164)
25.3 Purchases from Gov't accts.	28,420	20,268	32,131	11,863
25.4 O&M of facilities	11,226	8,791	15,128	6,337
25.5 R&D of contracts	2,000	-	-	-
25.6 Medical care	50	29	486	457
25.7 Operation and maintenance of equipment	301,855	327,819	343,062	15,243
26.0 Supplies and materials	52,586	47,827	75,171	27,344
31.0 Equipment	352,464	236,443	361,273	124,830
32.0 Land & structures	6,720	6,565	35,090	28,525
41.0 Grants/Subsidies/Contributions	83,714	84,363	90,083	5,720
42.0 Insurance Claims and Indemnity	1,231	1,232	1,232	-
44.0 Refunds	(424)	(424)	(424)	-
Total, Object Class	5,565,663	5,464,040	5,809,894	345,854
Unobligated Balance, start of year	(567)	(1,032)		
Unobligated balance, end of year	1,032	1,026		
Recoveries of prior year obligations	(80)			
Total, Direct Obligations	5,566,048	5,464,034	5,809,894	345,854

F. Permanent Positions by Grade

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	86	86	86	-
L Band	15	15	17	2
K Band	485	485	545	60
J Band	874	874	981	107
I Band	1,815	1,815	2,038	223
H Band	1,832	1,832	2,057	225
G Band	6,020	6,020	6,759	739
F Band	9,082	9,082	10,198	1,116
E Band	21,125	20,889	23,455	2,566
D Band	13,172	12,936	14,525	1,589
C Band	2	2	2	-
Total Permanent Positions	54,508	54,036	60,663	6,627
Unfilled Positions EOY	5,189	4,754	7,055	2,301
Total Permanent Employment EOY	54,508	54,036	60,663	6,627
Full Time Equivalents	49,319	49,282	53,608	4,328
Headquarters	693	744	779	35
U.S. Field	53,720	53,192	59,710	6,518
Foreign Field	95	100	174	74
Total, Location	54,508	54,036	60,663	6,627
Average ES Salary	154,005	157,085	159,284	2,199
Average Salary, Banded Positions	41,456	42,285	42,877	592
Average Band	E	E	E	-

G. Capital Investment and Construction Initiative Listing

EDS/ETD PROCUREMENT AND INSTALLATION
 AVIATION SECURITY

INITIATIVE NAME	FY 2011 FUNDING REQUEST (\$000)			FUNDING FROM:	
	Current Services Level	New Initiative	Total	Budget Activity	Program's Name
Initiative #1 Electronic Baggage Screening Program (EBSP)	\$868,702	\$0	\$868,702	Aviation Security	EDS/ETD Purchase/Install Screening Technology Maintenance and Utilities
Initiative #2 Passenger Screening Program (PSP)	\$420,331	\$0	\$420,331	Aviation Security	Checkpoint Support ng Technology Maintenance and Utilities
Total Non-IT Investment	\$1,289,033	\$0	\$1,289,033		
Total of IT Investments	\$0	\$0	\$0		
Total all IT and Non-IT Investments	\$1,289,033	\$0	\$1,289,033		

INITIATIVE #1

TSA – ELECTRONIC BAGGAGE SCREENING PROGRAM (EBSP)

Project Description, Justification and Scope

The Electronic Baggage Screening Program (EBSP) implements a national checked-baggage screening system to protect against criminal and terrorist threats, while minimizing transportation industry and traveling public burdens. TSA provides life-cycle procurement, deployment, integration, and maintenance of security equipment at over 450 U.S. airports. This program includes: (1) maintaining first generation Explosives Detection Systems (EDS), and Explosives Trace Detection (ETD) devices deployed after 9/11; (2) improving efficiency and effectiveness by acquiring and deploying next generation inline explosives detection technology, and by relocating lobby equipment at some airports; and (3) Efforts to establish operational, functional, performance and integration requirements for TSA security screening equipment.

While the Congressionally-mandated requirement for 100 percent screening of aviation-checked baggage by electronic or other approved means has been achieved, the program must continue to research, evaluate, and deploy refinements to EDS and ETD technology and associated systems, that allow for improvements in: (1) throughput (checked bags per hour), (2) false alarm rate, (3)

system availability, and (4) total cost of ownership for baggage screening (cost per checked bag). Equipment must be also be relocated from airport lobby areas to baggage room areas.

The following programs are funded under EBSP:

a) Operation Integration (OI): TSA analyzes integration of new technologies into existing systems to ensure operational effectiveness and suitability before full system production and deployment. The purpose of this work is to test, evaluate, and analyze pre-production or production representative systems under realistic conditions, including operation by those who will use the equipment in the field in a variety of environmental conditions. The division conducts:

- Operational test and evaluation as part of the acquisition process for items procured by TSA
- Pilots, demonstrations, and field experimentation in support of mission area analyses, concept of operations development and workforce characterization

3. Project Schedule

	Fiscal Quarter and Year				Total	Total
	Work Initiated	Work Completed	Project Start	Project Complete	Estimated Completion Cost (\$000)	Project Cost (\$000)
Program initiation (MNS, draft ConOps); Deployed NEXGEN units; Deployed LOI systems; Developed Strategic Program Plan	N/A	N/A		Q4 2005	1,541,130	1,541,130
Deployed NEXGEN to improve system detection capabilities and improve throughput; Expedited EDS deployment in accordance with Strategic Plan; Deployed LOI systems; Updated Strategic Plan, LCCE, CBA, Deployment Schedule	N/A	N/A		Q4 2006	706,024	693,428
Perform program management, system deployment,	N/A	N/A	Q1 2007	Q4 2007	774,400	725,950

operations and maintenance, and tech management in accordance with draft final deployment plan						
Perform program management, system deployment, operations and maintenance, and tech management utilizing final strategic plan	N/A	N/A	Q1 2008	Q4 2008	484,727	350,943
Perform operations and maintenance utilizing final strategic plan	N/A	N/A	Q1 2008	Q4 2008	264,000	218,119
Perform program management, system deployment, and tech management utilizing final strategic plan	N/A	N/A	Q1 2009	Q4 2010	1,164,900	769,250
Perform operations and maintenance utilizing final strategic plan	N/A	N/A	Q1 2009	Q4 2009	252,600	251,600
Perform program management in accordance with the final strategic plan	N/A	N/A	Q1 2010	Q4 2010	44,339	
Execute engineering initiatives for continuous quality and improvements	N/A	N/A	Q1 2010	Q4 2010	39,651	
Perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan	N/A	N/A	Q1 2010	Q4 2010	368,669	
Perform facility modification, purchase of EDS, and installation of EDS for Recapitalization of existing airport	N/A	N/A	Q1 2010	Q4 2010	501,636	

systems for sustained operations and compliance						
Perform operations and maintenance utilizing final strategic plan	N/A	N/A	Q1 2010	Q4 2010	272,400	
Perform program management in accordance with the final strategic plan	N/A	N/A	Q1 2011	Q4 2011	50,000	
Execute engineering initiatives for continuous quality and improvements	N/A	N/A	Q1 2011	Q4 2011	36,000	
Perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan	N/A	N/A	Q1 2011	Q4 2011	424,832	
Perform facility modification, purchase of EDS, and installation of EDS for Recapitalization of existing airport systems for sustained operations and compliance	N/A	N/A	Q1 2011	Q4 2011	100,000	
Perform operations and maintenance utilizing final strategic plan	N/A	N/A	Q1 2011	Q4 2011	257,870	
Total					7,283,178	4,550,420

*STIP and ASP are not included

4. Schedule of Project Funding
(Dollars in Thousands)

Projects (<i>Appropriation: Aviation Security</i>)	Prior	FY 2009	FY 2010	FY 2011	Total
Program initiation (MNS, draft ConOps); Deployed NEXGEN units; Deployed LOI systems; Developed Strategic Program Plan; Deployed NEXGEN to improve system detection capabilities and improve throughput; Expedited EDS deployment in accordance with Strategic Plan; Deployed LOI systems; Updated Strategic Plan, LCCE, CBA, Deployment Schedule	3,770,281				3,770,281
Perform program management, system deployment, operations and maintenance, and tech management in accordance with draft final deployment plan		1,417,500			1,417,500
Perform program management, system deployment, operations and maintenance, and tech management in accordance with draft final deployment plan			1,131,563		1,131,563
Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan, and for Recapitalization of existing airport systems for sustained operations and compliance; and perform operations and maintenance utilizing final strategic plan.				868,702	868,702
Total Project Expenditures	3,770,281	1,417,500	1,131,563	868,702	7,188,046

*STIP and ASP are not included

5. Cost Estimate Detail and Changes
(Dollars in Thousands)

Description of Milestone	Initial Total Cost (\$mil)	Planned Total Cost (\$mil)	Actual Total Cost (\$mil)	Explanation of Difference Between Current and Previous Estimate
Year: 05 Program initiation (MNS, draft ConOps); Deployed NEXGEN units; Deployed LOI systems; Developed Strategic Program Plan	1,541,130	1,541,130	1,541,130	
Year: 06 Deployed NEXGEN to improve system detection capabilities and improve throughput; Expedited EDS deployment in accordance with Strategic Plan; Deployed LOI systems; Updated Strategic Plan, LCCE, CBA, Deployment Schedule	706,024	706,024	693,428	Airport scheduling delays slowed deployment of equipment.
Year: 07 Perform program management, system deployment, operations and maintenance, and tech management in accordance with draft final deployment plan	774,400	774,400	725,950	Airport scheduling delays slowed deployment of equipment.
Year: 08 Perform program management, system deployment, operations and maintenance, and tech management utilizing final strategic plan	748,727	748,727	569,062	Airport scheduling delays slowed deployment of equipment.
Year: 09 Perform program management, system deployment, operations and maintenance, and tech management utilizing final strategic plan	1,417,500	1,417,500	1,020,850	Acquisition of EDS Equipment delayed due to competitive award
Year: 10 Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan, and for Recapitalization of existing airport systems for sustained operations and compliance; and	1,131,563	1,131,563	0.000	

perform operations and maintenance utilizing final strategic plan.				
Year: 11 Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan, and for Recapitalization of existing airport systems for sustained operations and compliance; and perform operations and maintenance utilizing final strategic plan.	868,702	868,702	0.000	

*STIP and ASP are not included

6. Method of Performance

EBSP is a 20 year program. Expenditures are approved based on an overall strategic plan that is submitted to Congress annually. Operational performance will be measured based on the following criteria:

- 100 percent electronic screening of checked baggage for explosives at all commercial airports nationwide.
- Number of airports with integrated in-line systems
- Cost per bag screened
- Number of false alarms on Electronic Detection Systems

7. Related Annual Funding Requirements

(Dollars in Thousands)

	FY 2011	
	Current Estimate	Previous Estimate
N/A (All operations and maintenance are included in program cost estimates.)	N/A	N/A
Total	N/A	N/A

8. Budget Allocation to Programs

Program	Allocated Budget (\$000)	
	FY 2010	FY 2011
EDS/ETD Purchase & Install	1,050,000	610,832
Screening Technology Maintenance & Utilities	177,268	257,870
Total	1,227,268	868,702

*STIP and ASP are not included

9. Compliance with applicable Public Laws, Regulations, Standards and Executive Orders

This program is mandated under the Aviation and Transportation Security Act (PL No. 107-71) which requires screening of checked baggage by EDS.

Initiative #2

TSA – Passenger Screening Program (PSP)

1. Project Description, Justification and Scope

The Passenger Screening Program provides the resources required to deploy and maintain passenger screening and carry-on baggage screening equipment and processes at approximately 2,225 passenger checkpoint lanes at airports nationwide, in order to minimize the risk of injury or death of people, or damage of property due to acts of terrorism. The Passenger Screening Program's role consists of the identification, evaluation, field testing, procuring, deploying, integrating, maintaining, disposing and replacing of existing and emerging technologies necessary to meet those requirements. The ever-changing threat environment necessitates investment in new and improved technology to increase threat detection capabilities needed to provide the traveling public with optimal security screening benefits.

After the attacks on 9/11, Congress directed TSA to screen all passengers and their carry-on articles for explosives and components of weapons of mass destruction, as well as other prohibited items. At the time choices in technology were limited to legacy systems, namely metal detectors and basic x-ray equipment, all of which had significant shortfalls in the detection of explosives and non-metallic threats on people and in their carry-in articles. Since then, the Passenger Screening Program has replaced the legacy systems with Enhanced Metal Detectors and TIP Ready X-ray systems, providing an expanded level of security and threat detection at the checkpoint. Explosives Trace Detector usage was expanded to more sites and higher quantities and recently, Bottled Liquids Scanners, Whole Body Imagers, and Advanced Technology Systems have been deployed, providing additional levels of explosives security at the checkpoints. The Passenger Screening Program continues evaluating and deploying the next generation of detection systems that address existing weaknesses in detection capabilities, detect new threats, and reduce false alarm rates.

2. Significant Changes

No significant changes in these programs from the information provided in the 2010 Congressional Justification.

3. Project Schedule

Projects	Fiscal Quarter and Year				Estimated Completion Cost	Total Project Cost
	Work Initiated	Work Completed	Project Start	Project Complete		
Transfer from FAA (FY2001)			1st Qtr FY2002	1st Qtr FY2002	0.000	-
Planning and Testing (FY2002)			1st Qtr FY2002	4th Qtr FY2002	0.000	-
Procurement and Deployment (FY2002)			1st Qtr FY2002	4th Qtr FY2002	23.000	-
Planning and Testing (FY2003)			1st Qtr FY2003	4th Qtr FY2003	2.000	2.000
Procurement and Deployment (FY2003)			1st Qtr FY2003	4th Qtr FY2003	30.000	49.640
Operations and Support (Maintenance) (FY2003)			1st Qtr FY2003	4th Qtr FY2003	10.000	10.000
Planning and Testing (FY2004)			1st Qtr FY2004	4th Qtr FY2004	3.000	2.000
Procurement and Deployment (FY2004)			1st Qtr FY2004	4th Qtr FY2004	14.817	12.836
Operations and Support (Maintenance) (FY2004)			1st Qtr FY2004	4th Qtr FY2004	14.000	14.004
Planning and Testing (FY2005)			1st Qtr FY2005	4th Qtr FY2005	4.000	2.000
Procurement and Deployment (FY2005)			1st Qtr FY2005	4th Qtr FY2005	62.600	37.829
Operations and Support (Maintenance) (FY2005)			1st Qtr FY2005	4th Qtr FY2005	31.000	30.046
Personnel Cost and Benefits (FY2005)			1st Qtr FY2005	4th Qtr FY2005	0.000	-
Planning and Testing (FY2006)			1st Qtr FY2006	4th Qtr FY2006	8.000	13.416
Procurement and Deployment (FY2006)			1st Qtr FY2006	4th Qtr FY2006	103.889	65.575
Operations and Support (Maintenance) (FY2006)			1st Qtr FY2006	4th Qtr FY2006	35.000	32.751
Personnel Cost and Benefits (FY2006)			1st Qtr FY2006	4th Qtr FY2006	0.000	-
Planning and Testing (FY2007)			1st Qtr FY2007	4th Qtr FY2007	8.000	7.359
Procurement and Deployment (FY2007)			1st Qtr FY2007	4th Qtr FY2007	126.221	154.817
Operations and Support (Maintenance) (FY2007)			1st Qtr FY2007	4th Qtr FY2007	40.000	39.737

Personnel Cost and Benefits (FY2007)			1st Qtr FY2007	4th Qtr FY2007	1.500	-
Planning and Testing (FY2008)			1st Qtr FY2008	4th Qtr FY2008	7.000	8.035
Procurement and Deployment (FY2008)			1st Qtr FY2008	4th Qtr FY2008	227.905	186.604
Operations and Support (Maintenance) (FY2008)			1st Qtr FY2008	4th Qtr FY2008	37.000	41.258
Personnel Cost and Benefits (FY2008)			1st Qtr FY2008	4th Qtr FY2008	0.000	0.661
Planning and Testing (FY2009)			1st Qtr FY2009	4th Qtr FY2009	10.800	5.659
Procurement and Deployment (FY2009)			1st Qtr FY2009	4th Qtr FY2009	502.083	151.648
Operations and Support (Maintenance) (FY2009)			1st Qtr FY2009	4th Qtr FY2009	43.900	48.187
Personnel Cost and Benefits (FY2009)			1st Qtr FY2009	4th Qtr FY2009	9.800	5.105
Planning and Testing (FY2010)			1st Qtr FY2010	4th Qtr FY2010	13.750	
Procurement and Deployment (FY2010)			1st Qtr FY2010	4th Qtr FY2010	102.477	
Operations and Support (Maintenance) (FY2010)			1st Qtr FY2010	4th Qtr FY2010	51.200	
Personnel Cost and Benefits (FY2010)			1st Qtr FY2010	4th Qtr FY2010	7.212	
Planning and Testing (FY2011)			1st Qtr FY2011	4th Qtr FY2011	12.700	
Procurement and Deployment (FY2011)			1st Qtr FY2011	4th Qtr FY2011	323.512	
Operations and Support (Maintenance) (FY2011)			1st Qtr FY2011	4th Qtr FY2011	74.255	
Personnel Cost and Benefits (FY2011)			1st Qtr FY2011	4th Qtr FY2011	9.864	
Total					1,950.485	921.167

**4. Schedule of Project Funding
(Dollars in Thousands)**

Projects (Appropriation: Aviation Security)	Prior	FY 2009	FY 2010	FY 2011	Total
Transfer from FAA	-	-	-	-	-
Planning and Testing	32,000	10,800	13,750	12,700	69,250
Procurement and Deployment	588,432	502,083	102,477	323,512	1,516,504
Operations and Support (Maintenance)	167,000	43,900	51,200	74,255	336,355
Personnel Cost and Benefits	1,500	9,800	7,212	9,864	28,376
Total Project Expenditures	788,932	566,583	174,639	420,331	1,950,485

**5. Cost Estimate Detail and Changes
(Dollars in Thousands)**

Description of Milestone	Planned Total Cost (\$mil)	Actual Total Cost (\$mil)	Explanation of Difference
Procurement and Deployment (FY2002)	23.000	-	Waiting for technology readiness, carryover spent next year
Procurement and Deployment (FY2003)	30.000	49.640	Previous carryover spent in this fiscal year
Procurement and Deployment (FY2005)	62.600	37.829	Expected technology did not meet specifications
Planning and Testing (FY2006)	8.000	13.416	Emerging technologies tested for operational readiness
Procurement and Deployment (FY2006)	103.889	65.575	Emerging technology not field ready procurements delayed.
Procurement and Deployment (FY2007)	102.721	154.817	Previous carryover spent in this fiscal year
Procurement and Deployment (FY2008)	227.905	186.604	
Planning and Testing (FY2009)	10.800	5.659	Contract issues relating to move to FAR caused delay in support contract award
Procurement and Deployment (FY2009)	502.083	151.648	ARRA funds added in FY09. Next generation of technologies acquisition cycle pushed as new contracts needed to be awarded
Personnel Cost and Benefits (FY2009)	9.800	5.105	ARRA positions vacant

6. Method of Performance

Expenditures are approved based on an overall strategic plan that is submitted to Congress annually.

Operational performance will be measured based on the following criteria:

Cost per passenger screened

Availability of fielded screening systems successfully detecting threats at specified levels

Ration of number of FTEs expended to passengers

7. Related Annual Funding Requirements

(Dollars in Thousands)

	FY 2011	
	Current Estimate	Previous Estimate
N/A (All operations and maintenance are included in program cost estimates.)	N/A	N/A
Total	N/A	N/A

8. Budget Allocation to Programs

Program	Allocated Budget (\$000)	
	FY 2010	FY 2011
Checkpoint Support Passenger Screening Program	114,889	346,076
Screening Technology Maintenance and Utilities*	51,200	74,255
Total	166,089	420,331

* Screening technology maintenance and utilities were combined to one PPA in FY08

9. Compliance with applicable Public Laws, Regulations, Standards and Executive Orders

This program is mandated under the Aviation and Transportation Security Act (P.L. 107-71) which requires screening of all passengers and property including carry-on baggage and other articles that will be carried aboard a passenger aircraft.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Screening Partnership Program [Privatized Screening]
Funding Schedule
(Dollars in Thousands)**

PPA: Screening Partnership Program [Privatized Screening]	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Perm Positions	--	-	3,035	3,035
23.3 Communications, utilities, and misc. charges	2	2	2	-
25.2 Other services	155,924	149,617	139,617	(10,000)
26.0 Supplies and materials	24	24	24	-
Total, Object Class	155,950	149,643	142,678	(6,965)
Total, Screening Partnership Program [Privatized Screening]	155,950	149,643	142,678	(6,965)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Screening Partnership Program (SPP) allows an airport operator to submit an application to have screening carried out by a qualified private screening company. The contractor must perform under federal oversight and the contracted screeners must perform at the same or at higher performance levels as federal TSOs.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
Salaries and Benefits	-	-	3,035	3,035

Salaries and Benefits includes an increase for the annualization of 2009 and the proposed 2010 pay cost of living adjustments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	2	2	2	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	155,924	149,617	142,652	(10,000)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes a net decrease of \$10,000,000 as a result of program improvements and contract efficiencies.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Passenger & Baggage TSO PC&B [Passenger & Baggage Screener - PC&B]
Funding Schedule
(Dollars in Thousands)**

PPA: Passenger & Baggage TSO PC&B [Passenger & Baggage Screener - PC&B]	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,491,342	1,515,191	1,646,565	131,374
11.3 Other than full-time permanent	224,468	228,067	247,841	19,774
11.5 Other personnel compensation	285,631	290,210	315,371	25,161
11.6 Pay Diff (Sun/Night)	18,956	19,260	20,930	1,670
11.8 Special Service Pay	7,036	7,149	7,768	619
12.1 Benefits	686,621	697,629	758,114	60,485
13.0 Unemployment Compensation	68	69	75	6
21.0 Travel	(732)	-	-	-
25.2 Other services	362	422	422	-
26.0 Supplies and materials	1	1	1	-
42.0 Insurance Claims and Indemnity	577	577	577	-
Total, Object Class	2,714,330	2,758,575	2,997,664	239,089
Total, Passenger & Baggage TSO PC&B [Passenger & Baggage Screener - PC&B]	2,714,330	2,758,575	2,997,664	239,089
Full Time Equivalents	45,341	44,930	48,338	3,408

PPA Mission Statement

Includes all Transportation Security Officer (TSO), TSO Lead, TSO Supervisor, and TSO Manager salaries, benefits and compensation, and net effects of federal pay raise assumptions, transfers out of personnel and annualizations. Includes funds to pay worker's compensation payments.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,491,342	1,515,191	1,646,565	131,374

Salaries and benefits includes costs for 48,338 FTEs. The FY 2011 request includes a net increase of \$238,089 million resulting from pay annualization and pay inflation, an increase of 3,408 FTE, and transfer of BAO expenses to the Airport Management PPA (\$43.380 million).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	224,468	228,067	247,841	19,774

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	285,631	290,210	315,371	25,161

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.6 Pay Diff (Sun/Night)	18,956	19,260	20,930	1,670

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	7,036	7,149	7,768	619

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	686,621	697,629	758,114	60,485

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	68	69	75	6

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	362	422	422	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1	1	1	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	577	577	577	-

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2011 request has no change.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Screening Training and Other
Funding Schedule
(Dollars in Thousands)**

PPA: Screening Training and Other	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	5,027	5,096	5,198	102
12.1 Benefits	6,784	1,698	1,700	2
21.0 Travel	41,450	40,000	40,312	312
22.0 Transportation of things	123	123	123	-
23.2 Other rent	300	300	300	-
23.3 Communications, utilities, and misc. charges	166	166	166	-
24.0 Printing	336	336	336	-
25.1 Advisory and assistance services	67,772	61,675	61,675	-
25.2 Other services	37,095	35,000	69,434	34,434
25.3 Purchases from Gov't accts.	6,455	6,455	6,455	-
25.4 O&M of facilities	5,742	5,742	5,742	-
25.6 Medical care	1	1	1	-
25.7 Operation and maintenance of equipment	63	63	63	-
26.0 Supplies and materials	39,202	39,202	64,282	25,080
31.0 Equipment	9,202	8,000	8,000	-
32.0 Land & structures	689	639	639	-
42.0 Insurance Claims and Indemnity	641	641	641	-
44.0 Refunds	(424)	(424)	(424)	-
Total, Object Class	220,624	204,713	264,643	59,930
Total, Screening Training and Other	220,624	204,713	264,643	59,930
Full Time Equivalents	46	55	55	-

PPA Mission Statement

Provides the ATSA-mandated and discretionary training to new TSO hires and the current TSO workforce. Provides all the operational support, such as consumables, uniforms, supplies, claims, checkpoint janitorial services, and checkpoint hazardous material disposal to maintain the TSO Workforce.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	5,027	5,096	5,198	102

Salaries and benefits includes costs for 55 FTEs. The FY 2011 request reflects an increase of \$104,000 for pay annualization and pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	6,784	1,698	1,700	2

Salaries and benefits includes costs for 55 FTEs. The FY 2011 request reflects an increase of \$104,000 for pay annualization and pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	41,450	40,000	40,312	312

Travel includes all costs for full accommodations and fare for TSOs for required training and the cost of the travel and per diem for the National Deployment Force. The FY 2011 request reflects an increase of \$312,000 for travel related to the increase in TSOs and BDOs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	123	123	123	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	300	300	300	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	166	166	166	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	336	336	336	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. This object class includes expenditures for the reproduction and distribution of TSO training materials. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	67,772	61,675	61,675	-

Advisory and assistance services include services acquired by contract from non-Federal sources (private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal government. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	37,095	35,000	69,434	34,434

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Base funds support the continuance of contracts that provide logistical and programmatic support for TSO training and workforce career progression programs. These funds also provide for training courses sponsored by the Model Workplace program. The FY 2011 request includes a net increase of \$34,434 million associated with movement of Bomb Appraisal Officer Training to the Airport Management PPA, increased training funds correlating with the additional number of TSO's who will require training, and \$1,250,000 non-recurred from this object class for one time FY 2010 increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	6,455	6,455	6,455	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	5,742	5,742	5,742	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	1	1	1	-

Medical care includes payments to contracts for medical services, but excludes Federal employees who are reportable under OPM regulations as federal employees.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	63	63	63	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	39,202	39,202	64,282	25,080

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2011 request includes an increase of \$25,080 million due to the enhancement of the TSO workforce and related consumables associated with the purchase of 1,000 AITs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	9,202	8,000	8,000	-

This category is comprised primarily of training equipment used to demonstrate equipment use and to test the capabilities of TSOs. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	689	639	639	-

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 increase reflects an adjustment for non-pay COLA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	641	641	641	-

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
44.0 Refunds	(424)	(424)	(424)	-

Payments of amounts previously collected by the Government.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Checkpoint Support
Funding Schedule
(Dollars in Thousands)**

PPA: Checkpoint Support	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	4,064	4,002	7,476	3,474
11.3 Other than full-time permanent	-	200	100	(100)
11.5 Other personnel compensation	243	170	316	146
12.1 Benefits	1,110	1,050	1,972	922
21.0 Travel	47	1,576	935	(641)
22.0 Transportation of things	-	941	16,575	15,634
23.2 Other rent	105	403	1,200	797
24.0 Printing	1	-	-	-
25.1 Advisory and assistance services	47,324	59,305	145,467	86,162
25.2 Other services	26,409	10,769	4,000	(6,769)
25.4 O&M of facilities	645	-	2,050	2,050
25.5 R&D of contracts	1,000	-	-	-
26.0 Supplies and materials	77	95	95	-
31.0 Equipment	79,792	50,228	179,840	129,612
Total, Object Class	160,817	128,739	360,026	231,287
Total, Checkpoint Support	160,817	128,739	360,026	231,287
Full Time Equivalents	35	40	59	19

PPA Mission Statement

The Checkpoint Support PPA provides the resources required to deploy passenger screening, carry-on baggage screening and electronic surveillance equipment. This equipment is a vital component of TSA's efforts to secure our nation's air transportation. The FY 2011 request reflects support for the implementation of the evolving strategy to improve detection capability for weapons and explosives, and to further develop the capability to detect hostile intent.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	4,064	4,002	7,476	3,474

Salaries and benefits includes costs for 59 FTEs. The FY 2011 request reflects an increase of \$4,442,000 due to pay annualization, pay inflation and annualization of ARRA positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	-	200	100	(100)

Salaries and benefits includes costs for 59 FTEs. The FY 2011 request reflects an increase of \$4,442,000 due to pay annualization, pay inflation and annualization of ARRA positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	243	170	316	146

Salaries and benefits includes costs for 59 FTEs. The FY 2011 request reflects an increase of \$4,442,000 due to pay annualization, pay inflation and annualization of ARRA positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	1,110	1,050	1,972	922

Salaries and benefits includes costs for 59 FTEs. The FY 2011 request reflects an increase of \$4,442,000 due to pay annualization, pay inflation and annualization of ARRA positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	47	1,576	935	(641)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request reflects a decrease of \$641,000 due to travel efficiencies.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	-	941	16,575	15,634

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request reflects an increase of \$15,634,000 due to the field testing and deployment of checkpoint technologies.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	105	403	1,200	797

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request reflects an increase of \$797,000 as a result of a redistribution of warehousing costs to better reflect actual program requirements as well as an effort to align warehouse rent to the correct object class.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	47,324	59,305	145,467	86,162

Advisory and assistance services includes services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. It also includes costs associated with the field testing of emerging technology screening equipment. The FY 2011 request reflects an increase of \$86,162,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	26,409	10,769	4,000	(6,769)

Other services includes report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. These expenditures consist primarily of program management support and contract support for reconfiguration of checkpoint equipment and the OTA's awarded for the installation of advanced surveillance systems. The FY 2011 request includes a decrease of \$6,769,000 as a result of program improvements and contract efficiencies.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	645	-	2,050	2,050

Other services includes report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. These expenditures consist primarily of program management support and contract support for reconfiguration of checkpoint equipment and the OTA's awarded for the installation of advanced surveillance systems. The FY 2011 request includes a decrease of \$6,769,000 as a result of program improvements and contract efficiencies.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and Materials	77	95	95	0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	79,792	50,228	179,840	129,612

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Funding will continue the acquisition new technologies to be purchased and field tested and other operational testing needed for the advancement of checkpoint security. The FY11 Request reflects an increase of \$129,612,000.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
EDS Procurement and installation
Funding Schedule
(Dollars in Thousands)**

PPA: EDS Procurement and installation	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	11,093	11,983	14,789	2,806
11.3 Other than full-time permanent	98	-	-	-
11.5 Other personnel compensation	681	630	779	149
12.1 Benefits	2,670	3,052	3,891	839
21.0 Travel	2,630	990	1,500	510
22.0 Transportation of things	-	-	2,000	2,000
23.2 Other rent	1,444	1,733	800	(933)
23.3 Communications, utilities, and misc. charges	1	530	550	20
25.1 Advisory and assistance services	542,033	296,763	185,316	(111,447)
25.2 Other services	54,660	294,703	20,076	(274,627)
25.3 Purchases from Gov't accts.	119	-	-	-
25.4 O&M of facilities	555	10	4,297	4,287
25.5 R&D of contracts	1,000	-	-	-
25.7 Operation and maintenance of equipment	-	15,000	1,306	(13,694)
26.0 Supplies and materials	267	6	27	21
31.0 Equipment	199,953	152,900	138,501	(14,399)
Total, Object Class	817,204	778,300	373,832	(404,468)
Total, EDS Procurement and installation	817,204	778,300	373,832	(404,468)
Full Time Equivalents	91	102	116	14

PPA Mission Statement

EDS/ETD Purchase and Installation is the purchase of electronic baggage screening equipment for deployment and the installation of electronic baggage screening equipment in our nations airports. The deployment of this equipment is a key component of TSA's ability to ensure the security of the air transportation system. Installation is an integral cost associated with the deployment of equipment that enhances the security of our air transportation system.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	11,093	11,983	14,789	2,806

Salaries and Benefits provides funding to support 116 FTEs. The FY 2011 request reflects a increase of \$3,794,000 due to pay annualization, pay inflation and annualization of ARRA positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	681	630	779	149

Salaries and Benefits provides funding to support 116 FTEs. The FY 2011 request reflects a increase of \$3,794,000 due to pay annualization, pay inflation and annualization of ARRA positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	2,670	3,052	3,891	839

Salaries and Benefits provides funding to support 116 FTEs. The FY 2011 request reflects a increase of \$3,794,000 due to pay annualization, pay inflation and annualization of ARRA positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	2,630	990	1,500	510

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request reflects an increase of \$510,000 over FY 2010 to cover the cost of employee travel required to implement the program.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	-	-	2,000	2,000

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY2011 request reflects an increase of \$2,000,000 due to non-pay inflation and efforts to better align expenses with object classes.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	1,444	1,733	800	(933)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	1	530	550	20

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request reflects an increase of \$20,000 due to non-pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	542,033	296,763	185,316	(111,447)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request reflects an increase of \$20,000 due to non-pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
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25.2 Other services	54,660	294,703	20,076	(274,627)
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Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects a decrease of \$274,627,000 due to in part to decreased program support and non-recurring costs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	119	-	-	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. There are no funds requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	555	10	4,297	4,287

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects an increase of \$4,287,000 due to non-pay inflation as well as efforts to better align expenses with object classes.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	-	15,000	1,306	(13,694)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects a decrease of 13,694,000 due to efficiencies as well as an attempt to better align expenses with object classes.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	267	6	27	21

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects a decrease of 13,694,000 due to efficiencies as well as an attempt to better align expenses with object classes.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	199,953	152,900	138,501	(14,399)

Equipment includes all costs for the purchases of property of a durable nature or the initial installation of equipment when performed under contract. A decrease in FY 2011 of \$14,399,000 is due to non-recurring costs.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Screening Technology Maintenance & Utilities [EDS/ETD Maintenance]
Funding Schedule
(Dollars in Thousands)**

PPA: Screening Technology Maintenance & Utilities [EDS/ETD Maintenance]	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	95	70	75	5
23.3 Communications, utilities, and misc. charges	5,920	6,000	6,000	-
25.1 Advisory and assistance services	1,893	4,828	4,997	169
25.2 Other services	603	-	-	-
25.3 Purchases from Gov't accts.	978	-	-	-
25.4 O&M of facilities	1,241	-	-	-
25.7 Operation and maintenance of equipment	294,662	305,727	321,047	15,320
26.0 Supplies and materials	-	-	6	6
31.0 Equipment	1	-	-	-
Total, Object Class	305,393	316,625	332,125	15,500
Total, Screening Technology Maintenance & Utilities [EDS/ETD Maintenance]	305,393	316,625	332,125	15,500
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Screening Technology Maintenance and Utilities funds the maintenance and associated utilities of passenger and baggage screening equipment in our nation's airports. This funding is essential to ensure that all security screening equipment is operationally ready and supportable over its anticipated lifetime.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	95	70	75	5

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is a required part of program implementation allowing personnel to collect and evaluate information to develop requirements and monitor implementation of projects. The FY 2011 request reflects an increase of \$5,000 over FY 2010 to cover the cost of employee travel required to implement and monitor maintenance programs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	5,920	6,000	6,000	-

Communications, utilities, and miscellaneous charges includes all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	1,893	4,828	4,997	169

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects an increase of \$169,000 due to non-pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	603	-	-	-

Other services includes report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. This included contractual support for the Integrated Logistics Support program to sustain the Security Equipment deployed and utilized by TSA. There are no funds requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	978	-	-	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. There are no funds requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	1,241	-	-	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. There are no funds requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipments	294,662	305,727	321,047	15,320

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Maintenance costs increase from approximately 3% to about 15% of original purchase cost as equipment warranties expire. The FY 2011 request reflects an increase of \$15,320,000 over FY 2010 as part of a base adjustment and non-pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	-	-	6	6

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request reflects an increase of \$6,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	1	-	-	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. There are no funds requested in FY 2011.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Operation Integration
Funding Schedule
(Dollars in Thousands)**

PPA: Operation Integration	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	34	100	-	(100)
22.0 Transportation of things	4	-	-	-
25.1 Advisory and assistance services	13,946	15,753	-	(15,753)
25.2 Other services	568	5,628	-	(5,628)
26.0 Supplies and materials	24	-	-	-
Total, Object Class	14,576	21,481	-	(21,481)
Total, Operation Integration	14,576	21,481	-	(21,481)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Operation Integration supports efforts to develop technology requirements and perform operational integration on new security equipment, including passenger, baggage and cargo screening equipment, infrastructure security systems and conveyance security technologies.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	34	100	-	(100)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. A decrease of \$100,000 is due to a transfer of program functions to other PPAs. There are no funds requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	4	-	-	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Transportation costs are associated with equipment that is purchased or leased as part of program implementation. There are no funds requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	13,946	15,753	-	(15,753)

Advisory and assistance services includes services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. A decrease of \$15,753,000 is due to the transfer of program functions to other PPAs. There are no funds requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	568	5,628	-	(5,628)

Other services includes contractual services with non-Federal sources that are not otherwise classified under Object Class 25. A decrease of \$5,628,000 is due to the transfer of program functions to other PPAs. There are no funds requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	24	-	-	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. There are no funds requested in FY 2011.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Aviation Regulation and Other Enforcement
Funding Schedule
(Dollars in Thousands)**

PPA: Aviation Regulation and Other Enforcement	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	91,585	96,342	127,037	30,695
11.3 Other than full-time permanent	3,109	3,270	3,437	167
11.5 Other personnel compensation	3,854	4,054	4,757	703
11.6 Pay Diff (Sun/Night)	1,223	1,286	1,351	65
11.8 Special Service Pay	731	769	4,181	3,412
12.1 Benefits	34,024	35,791	37,615	1,824
21.0 Travel	7,666	7,500	8,570	1,070
22.0 Transportation of things	112	100	100	-
23.1 GSA rent	491	491	491	-
23.2 Other rent	302	302	302	-
23.3 Communications, utilities, and misc. charges	2,089	2,089	2,820	731
24.0 Printing	35	35	35	-
25.1 Advisory and assistance services	1,810	1,810	6,110	4,300
25.2 Other services	10,303	8,499	34,173	25,674
25.3 Purchases from Gov't accts.	8,845	7,500	19,316	11,816
25.4 O&M of facilities	3	3	3	-
25.6 Medical care	-	-	457	457
25.7 Operation and maintenance of equipment	14	14	13,665	13,651
26.0 Supplies and materials	2,042	2,000	3,964	1,964
31.0 Equipment	5,358	3,800	17,690	13,890
32.0 Land & structures	146	146	146	-
41.0 Grants/Subsidies/Contributions	78,263	78,263	82,143	3,880
Total, Object Class	252,005	254,064	368,363	114,299
Total, Aviation Regulation and Other Enforcement	252,005	254,064	368,363	114,299
Full Time Equivalents	1,063	1,132	1,434	302

PPA Mission Statement

The purpose of Aviation Regulation and Other Enforcement is to provide activities that ensure that TSA continues to build a strong security regulation and enforcement presence on-site at the nation's commercial airports. Funding requested under this decision unit supports airport regulation compliance through domestic and international inspections, K-9 units, international outreach programs to ensure alignment and consistency in security requirements of the United States and those of the other nations to ensure transportation system integrity; and reimbursements provided to State and local law enforcement for support provided at commercial airport checkpoints.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	91,585	96,342	127,037	30,695

Salaries and benefits includes costs for 1,434 FTEs. The FY 2011 request includes an increase of 302 FTE from FY 2010. The net increase of \$36,866 reflects the pay annualization and pay inflation, as well as the costs associated with the FTE increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	3,109	3,270	3,437	167

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	3,854	4,054	4,757	703

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.6 Pay Diff (Sun/Night)	1,223	1,286	1,351	65

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	731	769	4,181	3,412

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	34,024	35,791	37,615	1,824

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	7,666	7,500	8,570	1,070

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase \$1,070,000 associated with the increase in FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	112	100	100	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	491	491	491	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	302	302	302	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	2,089	2,089	2,820	731

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request includes an increase of \$731,000 for costs associated with the program increase in international security and canine, and the correlating FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	35	35	35	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	1,810	1,810	6,110	4,300

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	10,303	8,499	34,173	25,674

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 includes an increase of \$25,674,000 for costs associated with the program increase in international security and canine, and the correlating FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	8,845	7,500	19,316	11,816

Purchases from Government Accounts include costs for purchases from other Government agencies or accounts that are not otherwise classified. The FY 2011 request includes an increase of \$11,816 million for costs associated with the program increase in international security and canine, and the correlating FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	3	3	3	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	-	-	457	457

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	14	14	13,665	13,651

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	2,042	2,000	3,964	1,964

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an increase of \$1,964,000 for costs associated with the program increase in international security and canine, and the correlating FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	5,358	3,800	17,690	13,890

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes an increase of \$13,890 million for costs associated with the program increase in international security and canine, and the correlating FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	146	146	146	-

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	78,263	78,263	82,143	3,880

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. Funding supports reimbursable agreements for law enforcement officers as well as canine cooperative agreements. The FY 2011 increase of \$3.880 million is associated with increase of airport law enforcement agreements.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Airport Management, IT, and Support
Funding Schedule
(Dollars in Thousands)**

PPA: Airport Management, IT, and Support	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	183,818	185,717	231,830	46,113
11.3 Other than full-time permanent	3,057	3,088	3,855	767
11.5 Other personnel compensation	5,788	5,848	7,300	1,452
12.1 Benefits	73,952	74,709	93,259	18,550
13.0 Unemployment Compensation	461	466	582	116
21.0 Travel	6,030	6,000	6,796	796
22.0 Transportation of things	622	620	620	-
23.1 GSA rent	90,398	99,800	125,308	25,508
23.2 Other rent	12,306	12,306	14,556	2,250
23.3 Communications, utilities, and misc. charges	6,308	6,308	6,308	-
24.0 Printing	222	222	222	-
25.1 Advisory and assistance services	22,152	17,627	17,627	-
25.2 Other services	13,950	11,050	10,205	(845)
25.3 Purchases from Gov't accts.	6,215	6,000	6,000	-
25.4 O&M of facilities	3,036	3,036	3,036	-
25.6 Medical care	28	28	28	-
25.7 Operation and maintenance of equipment	5,306	5,307	5,307	-
26.0 Supplies and materials	7,978	5,999	6,158	159
31.0 Equipment	7,227	4,000	4,000	-
32.0 Land & structures	5,780	5,780	34,305	28,525
42.0 Insurance Claims and Indemnity	13	13	13	-
Total, Object Class	454,647	453,924	577,315	123,391
Total, Airport Management, IT, and Support	454,647	453,924	577,315	123,391
Full Time Equivalents	2,104	2,285	2,851	566

PPA Mission Statement

This PPA supports approximately 2,006 FTE at the airports and HQ, including the staff of the 153 Federal Security Directors (FSDs), the offices under Security Operations that direct the policy, analysis, and the administration of aviation screening and airport security. In addition, this PPA supports aviation functions at the TSA's Transportation Security Operations Center. These offices and positions are critical to supporting the front line operations of our TSOs.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	183,818	185,717	231,830	46,113

Salaries and benefits includes costs for 2,851 FTEs. The FY 2011 request reflects an increase of \$66,998 million associated with additional FTE for FSD and Staff, program increases in TSOs, BDOs, FAMS, Intel, OGS and pay annualizations and inflations; as well as the addition of Bomb Appraisal Officer and Explosive Security Specialist FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	3,057	3,088	3,855	767

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	5,788	5,848	7,300	1,452

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	73,952	74,709	93,259	18,550

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	461	466	582	116

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	6,030	6,000	6,796	796

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$796,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	622	620	620	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	90,398	99,800	125,308	25,508

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes an increase of \$25,508 million for rent increases associated with higher than average airport rent and additional rent requirements associated with program increases and increased staff (50 Air Cargo and 100 Surface inspectors and 15 new VIPR teams).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	12,306	12,306	14,556	2,250

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request includes an increase of \$2,250 million.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	6,308	6,308	6,308	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	222	222	222	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	22,152	17,627	17,627	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	13,950	11,050	10,205	(845)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes a reduction of \$845 thousand as a result of realignment of funds.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	6,215	6,000	6,000	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	3,036	3,036	3,036	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	28	28	28	-

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	5,306	5,307	5,307	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	7,978	5,999	6,158	159

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. Some software purchases and computer supplies are included in this object class. The FY 2011 request includes an increase of \$159 thousand.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	7,227	4,000	4,000	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Software and computers are also purchased in this object class. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	5,780	5,780	34,305	28,525

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request includes an increase of \$28,525 million for the construction costs associated with the additional TSOs.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
FFDO and Flight Crew Training
Funding Schedule
(Dollars in Thousands)**

PPA: FFDO and Flight Crew Training	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	2,519	2,763	2,811	48
11.3 Other than full-time permanent	352	13	10	(3)
11.5 Other personnel compensation	204	437	436	(1)
12.1 Benefits	1,075	1,159	1,182	23
21.0 Travel	286	361	193	(168)
22.0 Transportation of things	42	45	25	(20)
23.2 Other rent	132	309	44	(265)
23.3 Communications, utilities, and misc. charges	-	-	1	1
24.0 Printing	7	15	10	(5)
25.1 Advisory and assistance services	6,397	9,914	1,444	(8,470)
25.2 Other services	11,521	7,948	15,503	7,555
25.3 Purchases from Gov't accts.	4,129	200	247	47
25.7 Operation and maintenance of equipment	1,650	1,706	1,672	(34)
26.0 Supplies and materials	1,897	195	309	114
31.0 Equipment	778	62	1,807	1,745
Total, Object Class	30,989	25,127	25,694	567
Total, FFDO and Flight Crew Training	30,989	25,127	25,694	567
Full Time Equivalents	28	29	29	-

PPA Mission Statement

TSA is mandated to provide the Federal Flight Deck Officer (FFDO) and Flight Crew Training programs to deputize qualified airline pilots as federal law enforcement officers and to train flight crew members to defend the flight decks and cabins of aircraft against acts of criminal violence or air piracy. This voluntary program provides training in firearms proficiency, self-defense tactics, authorities, and decision making to defend the cockpit.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	2,519	2,763	2,811	48

Salary and benefits include costs for 29 FTEs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	352	13	10	(3)

Salary and benefits include costs for 29 FTEs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	204	437	436	(1)

Salary and benefits include costs for 29 FTEs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	1,075	1,159	1,182	23

Salary and benefits include costs for 29 FTEs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	286	361	193	(168)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes a decrease of \$168,000 from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	42	45	25	(20)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things. The FY 2011 request includes a decrease of \$20,000 from the FY 2010 level.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	132	309	44	(265)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request includes a decrease of \$265,000 from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	-	-	1	1

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. An increase of \$1,000 is expected between the FY 2010 level and FY 2011 request.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	7	15	10	(5)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes a decrease of \$5,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	6,397	9,914	1,444	(8,470)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects a decrease of \$8,470,000 from the FY 2010 level.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	11,521	7,948	15,503	7,555

Other services include contractual services with non-Federal and Federal sources that are not otherwise classified under Object Class 25.1. The FY 2011 request includes an increase of \$7,555,000 from the FY 2010 level.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	4,129	200	247	47

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes an increase of \$47,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	1,650	1,706	1,672	(34)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. A decrease of \$34,000 is expected between the FY 2010 level and FY 2011 request.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,897	195	309	114

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an increase of \$114,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	778	62	1,807	1,745

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes an increase of \$1,745,000.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Air Cargo
Funding Schedule
(Dollars in Thousands)**

PPA: Air Cargo	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	45,190	59,846	62,747	2,901
11.3 Other than full-time permanent	1,228	376	378	2
11.5 Other personnel compensation	3,392	3,561	3,733	172
12.1 Benefits	16,854	18,198	18,857	659
21.0 Travel	872	1,923	1,945	22
22.0 Transportation of things	111	-	-	-
23.1 GSA rent	760	771	771	-
23.2 Other rent	306	-	-	-
23.3 Communications, utilities, and misc. charges	504	12	12	-
24.0 Printing	7	1	1	-
25.1 Advisory and assistance services	20,008	11,097	6,182	(4,915)
25.2 Other services	13,100	3,141	3,183	42
25.3 Purchases from Gov't accts.	1,679	113	113	-
25.4 O&M of facilities	4	-	-	-
25.6 Medical care	21	-	-	-
25.7 Operation and maintenance of equipment	160	2	2	-
26.0 Supplies and materials	1,046	305	305	-
31.0 Equipment	46,770	17,402	11,384	(6,018)
32.0 Land & structures	105	-	-	-
41.0 Grants/Subsidies/Contributions	5,451	6,100	7,940	1,840
42.0 Insurance Claims and Indemnity	-	1	1	-
Total, Object Class	157,568	122,849	117,554	(5,295)
Total, Air Cargo	157,568	122,849	117,554	(5,295)
Full Time Equivalents	608	709	726	17

PPA Mission Statement

The Air Cargo program operates through compliance activities, regulatory efforts, outreach initiatives and technology implementation. TSA uses a threat-based risk management approach based on two threats: introduction of an explosive device on a passenger aircraft, and the hijacking of an all-cargo aircraft resulting in its use as a weapon of mass destruction.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	45,190	59,846	62,747	2,901

The FY 2011 request includes \$3,734,000 for the FY 2010 pay raise and the FY 2011 pay annualization of the additional Air Cargo Inspectors received in FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	1,228	376	378	2

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	3,392	3,561	3,733	172

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	16,854	18,198	18,857	659

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	872	1,923	1,945	22

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$22,000, driven by the increase in Air Cargo inspectors.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	760	771	771	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	504	12	12	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	7	1	1	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The printing provides educational materials, training aids, and regulatory guidance. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	20,008	11,097	6,182	(4,915)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. These services support the Air Cargo Systems development, operation, and support Known Shipper Management System, Indirect Air Carrier Management System and Air Cargo Risk Based Targeting. The FY 2011 request reflects a reduction of \$4,915,000 in non-recurring items.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	13,100	3,141	3,183	42

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects an increase of \$42,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	1,679	113	113	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	160	2	2	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,046	305	305	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	46,770	17,402	11,384	(6,018)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes a reduction of \$6,018,000 in non-recurring items.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	5,451	6,100	7,940	1,840

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. Funding supports reimbursable canine cooperative agreements. The FY 2011 increase of \$1,388,000 million is associated with increase of airport law enforcement agreements.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Airport Perimeter Security
Funding Schedule
(Dollars in Thousands)**

PPA: Airport Perimeter Security	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	7,979	-	-	-
Total, Object Class	7,979	-	-	-
Total, Airport Perimeter Security	7,979	-	-	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

This funding supports technologies that provide perimeter security capabilities or significantly enhance current technology based capabilities. Responsive projects may include perimeter sensors, intelligent camera systems, biometric devices, technologies to detect and track potential intruders, and communication capabilities to provide appropriate alarm and response notification. TSA will utilize the results of this project to continue to develop processes, procedures, technical requirements, and standards for perimeter security.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	7,979	-	-	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There are no funds requested in FY 2011.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
General Aviation - offsetting fee
Funding Schedule
(Dollars in Thousands)**

PPA: General Aviation - offsetting fee	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	7			-
26.0 Supplies and materials	23			-
Total, Object Class	30			-
Total, General Aviation - offsetting fee	30			-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

This funding is the fee collection supporting General Aviation flights into DCA as provided by the Vision 100 Act. Per P.L. 111-83, beginning in FY 2010, this fee revenue is reported under the Transportation Threat and Credentialing appropriation.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	7	-	-	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	23	-	-	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Air Cargo - offsetting fee
Funding Schedule
(Dollars in Thousands)**

PPA: Air Cargo - offsetting fee	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	262			
11.5 Other personnel compensation	19			
12.1 Benefits	73			
23.3 Communications, utilities, and misc. charges	2			
25.1 Advisory and assistance services	797			
25.2 Other services	(15)			
26.0 Supplies and materials	6			
Total, Object Class	1,144			
Total, Air Cargo - offsetting fee	1,144			
Full Time Equivalents	3			

PPA Mission Statement

This funding is the fee collection supporting General Aviation flights into DCA as provided by the Vision 100 Act and the fee collection supporting security threat assessments of security workers in the air cargo supply chain. Per P.L. 111-83, beginning in FY 2010, this fee revenue is reported under the Transportation Threat and Credentialing appropriation.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Aviation Security Capital Fund:
Funding Schedule
(Dollars in Thousands)**

PPA: Aviation Security Capital Fund:	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	7	-	-	-
21.0 Travel	-	37	37	-
25.1 Advisory and assistance services	230,935	-	-	-
25.2 Other services	3	249,912	249,912	-
31.0 Equipment	(214)	51	51	-
Total, Object Class	230,731	250,000	250,000	-
Total, Aviation Security Capital Fund:	230,731	250,000	250,000	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

This funding supports the installation of optimal screening systems.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	-	37	37	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is a required part of program implementation allowing personnel to collect and evaluate information to develop requirements and monitor implementation of projects. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	230,935	-	-	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	3	249,912	249,912	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	(214)	51	51	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request has no change.

**Department of Homeland Security
Transportation Security Administration
Aviation Security:
Checkpoint screening security fund:
Funding Schedule
(Dollars in Thousands)**

PPA: Checkpoint screening security fund:	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	40	-	-	-
25.1 Advisory and assistance services	28,553	-	-	-
25.2 Other services	9,487	-	-	-
26.0 Supplies and materials	(1)	-	-	-
31.0 Equipment	3,597	-	-	-
Total, Object Class	41,676	-	-	-
Total, Checkpoint screening security fund:	41,676	-	-	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

This funding supports the purchase, deployment, installation, research, and development of equipment to improve the ability of security screening personnel at screening checkpoints to detect explosives. The fund was only authorized for FY 2008.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	40	-	-	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is a required part of program implementation allowing personnel to collect and evaluate information to develop requirements and monitor implementation of projects.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	28,553	-	-	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	9,487	-	-	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Funds are not requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	(1)	-	-	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. Some software purchases and computer supplies are included in this object class.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	3,597	-	-	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
Transportation Security Administration**

Aviation Security:

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
Program/Project/Activity	Amount	Amount	Amount	Amount
Airport Management and Support	722	95	95	-
Federal Flight Deck Officer and Flight Crew Training	237	157	157	-
Screeener Training and Other	-	523	523	-
Total Working Capital Fund	959	775	775	-

Note- the majority of the Working Capital Fund is paid for out of the Support Appropriation

Department of Homeland Security
Transportation Security Administration
Surface Transportation Security:



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Surface Transportation Security:

I. Appropriation Overview

A – Mission Statement for Surface Transportation Security:

The Transportation Security Administration (TSA) is mandated to protect the surface transportation system and ensure the freedom of movement for people and commerce. This mission is accomplished largely by a consortium of Federal, State, local, and private entities optimizing resources in a risk-based approach to security. In addition to coordination, TSA provides surface inspectors and other screening and detection programs.

Various statutes and executive directives require that transportation risk reduction activities be determined and implemented collaboratively in accordance with strategic plans developed with security partners. These combined efforts play an essential role in DHS' mission to prevent terrorist acts within the U.S., to reduce vulnerability to terrorism, and to minimize the damage from potential attacks. The surface domain includes:

- Approximately 751 million passengers traveling on commercial buses each year and over 9 billion passenger trips on publically operated mass transit per year.
- Over 140,000 miles of railroad track (of which 120,000 miles are privately owned); 3.8 million miles of roads (46,717 miles of interstate highway and 114,700 miles of National Highway System roads); 582,000 bridges over 20 feet of span; 54 tunnels over 19,685 feet in length, and nearly 2.2 million miles of pipeline.
- Nearly 800,000 shipments of hazardous materials transported every day (95 percent by truck).
- The Marine Transportation System (MTS) consisting of waterways, ports, and their connections, as well as commercial and recreational vessels, vehicles, and system users such as importers and exporters. This system is geographically vast, with 95,000 miles of shoreline, 25,000 miles of rivers and canals and is the primary transportation mode providing connectivity between the U.S. and global economies; 99 percent of overseas trade by volume enters or leaves the U.S. by ship.

There is a very real ongoing threat to transportation security, including surface modes within the transportation sector network, as evidenced by the World Trade Center bombing in 1993 and the Murrah Building bombing in 1995, both of which occurred on U.S. soil, as well as the bombings in Madrid in March of 2004, London in July 2005, and Mumbai, India in 2006 and 2008. Given these events and continued threats, TSA, its government partners, industry owners and operators have increased their vigilance by continuing to exchange real-time information and by focusing on threat detection and preparedness measures to improve security and resilience of the transportation system.

In addition, TSA plays a pivotal role in the President's Executive Order to Strengthen Surface Transportation Security through the identification of security gaps, development of appropriate security guidelines, and requirements to mitigate these gaps. In August 2007, DHS was directed by the 9/11 Commission Act to take specific measures to strengthen specific modes of transportation by conducting modal security assessments, requiring modal security plan development, providing guidelines for modal security training and conducting exercise activities to reinforce the modal security plans. The TSA Surface Budget request for FY 2011 reflects continuing efforts in these areas.

B – Budget Activities:

This appropriation includes two major programs – Surface Transportation Security Staffing and Operations and Surface Transportation Security Inspectors and Canines.

Surface Transportation Security Staffing and Operations - Provides coordination among all surface security stakeholders to implement a regulatory framework and administration policy to develop national security strategies, plans, and programs that identify innovative solutions and best practices through pilot programs and evaluation of system assessments, which then can be used to assess risk and assist with prioritization of security resources.

Surface Transportation Security Inspectors and Canines - Employs a cadre of inspectors and canine teams to assess compliance, national program delivery, and provide outreach on security assets in the surface transportation system. These resources interact daily within the transportation network to enhance security measures and are available for surge operations during times of heightened security. These inspectors and canine teams are an integral part of TSA's Visible Intermodal Prevention and Response (VIPR) program.

C – Budget Request Summary:

The Transportation Security Administration requests 820 positions, 787 FTE, and \$137,558,000 for FY 2011. The total adjustment-to-base is 194 FTE and \$30,636,000.

Program changes include total a reduction of \$3,594,000:

- Reduction in Staffing and Operations funding to support critical operations in FY 2011 (0 positions, 0 FTE, and -\$2,695,000)
- Reduction in Surface Transportation Inspectors and Canine funding to support critical operations in FY 2011 (0 positions, 0 FTE, and -\$2,179,000)
- An increase in the National Explosive Canine Detection Program stipends to keep up with increasing support costs (0 positions, 0 FTE, and \$1,280,000)

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Transportation Security Administration
Surface Transportation Security:
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Staffing and operations	147	40,137	165	42,293	165	39,947	-	(2,346)	-	(2,695)	-	349
Rail Security Inspectors and Canines	156	27,254	428	68,223	622	97,611	194	29,388	-	(899)	194	30,287
Subtotal, Enacted Appropriations and Budget Estimates	303	67,391	593	110,516	787	137,558	194	27,042	-	(3,594)	194	30,636
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	303	67,391	593	110,516	787	137,558	194	27,042	-	(3,594)	194	30,636

III. Current Services Program Description by PPA

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security:
Staffing and operations
Program Performance Justification
(Dollars in Thousands)**

PPA: Staffing and operations

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	171	147	40,137
2010 Enacted	171	165	42,293
2011 Adjustments-to-Base	-	-	349
2011 Current Services	171	165	42,642
2011 Program Change	-	-	(2,695)
2011 Total Request	171	165	39,947
Total Change 2010 to 2011	-	-	(2,346)

The Transportation Security Administration requests \$39.9 million for staffing and operations to coordinate security efforts in non-aviation modes including mass transit, rail, pipeline, maritime, highway and motor carrier, and postal and shipping sectors. This represents a reduction of \$2.3 million in operating expenses to support Agency critical operations in FY 2011.

Program Description:

TSA, in accordance with Aviation and Transportation Security Act (ATSA), is responsible for assessing security threats, vulnerabilities, and consequences in all surface transportation modes, identifying needed security enhancements for surface transportation and related infrastructure, developing security plans, and issuing and enforcing regulations to improve modal security, to ensure that each transportation mode is protected. Homeland Security Presidential Directives (HSPD) 7 and 8 expand TSA's security responsibilities to include coordination of preparedness, response, and recovery activities for all hazards threatening the critical infrastructure and systems that comprise the Transportation Systems Sector. The objective is to identify and prioritize high risks and to find effective and efficient security solutions to reduce these risks.

The key strategic plans and requirements documents driving TSA's security efforts are the Executive Order to Strengthen Surface Transportation, the Intelligence Reform and Terrorism Prevention Act (IRTPA) of 2004, the National Infrastructure Protection Plan, the 9/11 Commission Act of 2007, and the DHS Strategic Plan. The following activities are supported by Staffing and Operations:

Multi-modal Activities:

National Transportation Strategies and Plans: TSA develops multiple strategies and plans for the protection of transportation assets, such as the National Strategy for Transportation Security, the Transportation Systems Sector-Specific Plan, strategic modal security plans as required by the IRTPA, and national strategies for public transportation, railroads, and a pipeline system recovery plan as required by the 9/11 Act. The development and planning process for each strategy and plan requires extensive coordination and outreach to engage Federal, State, local, tribal and territorial governments, owners and operators of transportation infrastructure, private sector stakeholders, and non-profit employee representative organizations. TSA strives to minimize the overlap in planning requirements and provide a unified process for its stakeholders.

9/11 Regulations: In response to the 9/11 Commission Act of 2007, TSA is issuing a regulation that requires owners and operators of multiple modes of transit to implement security training programs. TSA issued a Notice of Proposed Rulemaking (NPRM) to implement legislation that prepares frontline employees of freight rail, transit agencies, passenger rail, and over-the-road-bus (OTRB) operators for potential security threats and conditions. This rulemaking was merged with an additional NPRM that identifies security training requirements for motor carriers transporting Highway Security-Sensitive Materials (HSSM). TSA expects the NPRM to be published in the Federal Register in FY 2010.

In addition, the 9/11 Act mandates that freight rail employers, public transportation agencies, passenger rail carriers, and OTRB operators develop comprehensive security plans and conduct vulnerability assessments. TSA is preparing a second rulemaking to cover these modes of surface transportation, as well as motor carriers transporting HSSM. The second NPRM will address provisions in the Act requiring security threat assessments for frontline public transportation and railroad employees. In order to maintain consistency across both modes and rules wherever possible, the second rule will cover the same population of entities and frontline employees covered by the Security Training Programs for Surface Mode Employees NPRM. TSA expects to issue the NPRM for surface mode security plans and threat assessments during FY 2010. Both surface rules are scheduled to be implemented in FY 2011.

Grant Oversight and Management: TSA provides subject matter expertise and programmatic support to the National Preparedness Division at FEMA to issue guidance,

evaluate and approve grant applications for bus, trucks, ports, mass transit, ferry, and passenger rail systems. The grants are awarded based on risk.

Intermodal Security Training Exercise Program (I-STEP): TSA's I-STEP meets the requirements of the 9/11 Commission Report by creating a security exercise program in the mass transit, freight rail, maritime and OTRB sectors. I-STEP provides exercise technology, services, training and tools to conduct and evaluate multi-modal transportation security training exercises. I-STEP training exercises align with national guidance and directives on exercises including the National Incident Management System and the National Response Framework. In FY 2009, TSA completed 16 exercises for multiple surface modes (mass transit, freight rail, bus, truck, and pipeline). In FY 2010, TSA plans to complete 16-20 exercises. Additionally, TSA and the United States Coast Guard (USCG) collaborate on multi port, intermodal exercises on a regional level in the maritime sector. The continuation of I-STEP will further enhance public transportation agencies' ability to prevent, mitigate, respond to, and recover from terrorist incidents in FY 2010 and FY 2011.

Stakeholder Collaboration: TSA interfaces with stakeholders in multiple modes by distributing security awareness training. For example, TSA provides security awareness information to operators as part of the HAZMAT Motor Carrier Security Self-Assessment Training Program, to the school transportation industry as part of the School Transportation Security Awareness Program, and to the motor coach industry through Operation Security Transport. Furthermore, Transit Watch, Highway Watch, and other joint campaigns in the transportation system, which emphasize the importance of vigilance and timely report of security concerns, foster public awareness and education. TSA will continue to provide these stakeholder services in FY 2011.

Baseline Assessment for Security Enhancement (BASE) Program: TSA has implemented a continuous improvement process via comprehensive security assessments conducted by TSA Transportation Security Inspectors-Surface (TSIs-Surface) under the BASE program. Assessments evaluate posture in 17 Security and Emergency Management Action Items foundational to an effective security program. The results inform security enhancement priorities and review of projects under Transportation Security Grant Program (TSGP) for mass transit and passenger rail agencies. The most effective security practices cited in BASE assessments are shared throughout the transit and rail community and spur networking among security professionals and expand implementation.

Beyond conducting assessments, TSA's more than 160 Surface inspectors serve as direct liaisons to mass transit and passenger rail security officials. In this capacity, they facilitate security enhancement efforts, respond to reports of threats and suspicious incidents, and foster regional security collaboration.

In FY 2011, TSA will continue to evaluate and share the results of the security data gathered by the TSIs-Surface in the field to ensure the effectiveness of the security program.

Corporate Security Reviews: TSA conducts Corporate Security Reviews (CSRs) in multiple modes of transportation on a continuous basis to evaluate standards and identify security gaps in reviewed systems. CSRs allow TSA and the system operators and owners to develop first-hand knowledge of security planning and execution at critical systems, establish communication between key security personnel, identify and share smart practices, and make recommendations for security improvements. During a CSR, teams of TSA modal experts evaluate and collect physical and operational preparedness information on critical assets and key point-of-contact lists, review emergency procedures and security plans, provide domain awareness training, and offer an opportunity to share security practices.

Transit Activities (Mass Transit, Passenger Rail, and Bus):

Stakeholder Collaboration: TSA Mass Transit officials coordinate with key stakeholders through the Regional Transit Security Working Group. The purpose of the working group is to identify regional priorities, and resolve security needs. In FY 2010, TSA plans to focus on Tier 1 Transit Security Grant Program (TSGP) areas (New York City, Boston, Washington, DC, Philadelphia, Chicago, Los Angeles, San Francisco, and Atlanta), with potential extensions to Tier 2 locations. In addition, TSA partnered with the Federal Transit Administration to conduct five Connecting Communities Workshops to enhance security and safety by sharing transit policies, procedures, resources, and best practices with local first responders to transit emergencies. The program uses realistic scenarios, including terrorism, to focus discussion on emergency preparedness, management, and response. TSA will continue to provide these services in FY 2011.

Security Standards Development: TSA engages with the American Public Transportation Association (APTA) Security Standards Policy and Planning Committee in conjunction with multiple stakeholders to develop consensus-based security standards for mass transit and passenger rail systems, such as risk assessments and emergency drills and exercises. Six recommended practices were developed, approved, and distributed to the transit community. The practices address the deployment of close circuit television, placement of trash receptacles, security and emergency preparedness planning, continuity of operations planning, first responder familiarization, and security and emergency management aspects of special event service. Six additional standards/guidelines are expected to follow throughout FY 2010. In addition, TSA collaborates with the DHS Standards Executive and the American National Standards Institute on the development of security technology standards. Progress is anticipated in FY 2010 in producing standards and guidance to assist mass transit and passenger rail security professionals in making well-informed decisions on procuring technical systems to enhance security. Published standards in multiple areas will occur throughout FY 2010 and during the 1st quarter of FY 2011.

Transit Bus Command and Control: To reduce the risk of vehicle hijacking and theft, TSA has worked to develop a system that allows for buses to be remotely disabled and also requires keyless driver authentication in order for a transit bus to be functional. In

the event of a hijacking or theft, alarms are sent wirelessly to a command or dispatch center, if an unauthorized user attempts to operate the bus. In FY 2009, TSA started a full field operational testing (FOT) of this system under actual operational conditions. In FY 2010, TSA will analyze test results and apply lessons learned to determine the need for further testing of specific capabilities, inform the development of operating procedures, and produce an overall assessment of the effectiveness of this system to assist mass transit and passenger rail agencies. In FY 2011, the system is expected to be commercially available and eligible for procurement through the TSGP.

Layered Security Operational Test Bed: This collaborative security engagement tests the effectiveness of operational and technological solutions applied in a layered approach at mass transit and passenger rail facilities. The effort commenced with the Port Authority Trans Hudson (PATH) interstate rail system in FY 2007. TSA facilitated a workshop with operating and security officials of the Port Authority and DHS Science and Technology Directorate (S&T) to assist PATH in identifying operational and technological security requirements for its five year strategic plan. TSA partnered with PATH in FY 2009 to test technological and operational solutions to prevent terrorism in mass transit and passenger rail systems. In FY 2010 and FY 2011, TSA plans to continue development and extension to other systems and diverse public transportation environments, e.g., rail terminals and stations, system infrastructure, bus terminals and stations.

Freight Rail Activities:

Corporate Security Reviews (CSRs) Freight Rail: TSA conducts CSRs on Class I, II and III railroads to ensure security levels are maintained. Currently, there are seven Class I, and over 400 Class II and III rail carriers operating in the United States. In FY 2009, TSA conducted three CSRs with three transportation companies that are the controlling entities of 90 short line railroads. In FY 2010, TSA plans to conduct CSRs on all seven Class I railroads. In FY 2011, TSA will continue to conduct CSRs on short line railroads and terminal railroads in high threat urban areas.

Infrastructure Vulnerability Assessments: TSA developed a comprehensive critical infrastructure vulnerability assessment program to identify and rank critical assets, evaluate threat, vulnerability, and consequences, and quantify costs for hardening structures and replacement. TSA plans to conduct assessments (finite element modeling or blast analysis) on critical structures to identify weaknesses in the structure, report on recommended structural hardening activities for existing and newly built structures, and identify best practices and engineering standards. In FY 2010 and FY 2011, the TSA Freight Rail Division plans to perform risk assessments on approximately 35 bridges.

High Threat Urban Area (HTUA) Vulnerability Assessments: TSA leads a team composed of Federal, State, and industry subject matter experts to conduct risk assessments of selected high Threat Urban Area (HTUA) rail corridors. On-site assessments consist of a detailed examination of the railroad(s) operations and procedures within the HTUA. TSA completed vulnerability assessments on 14 rail corridors, and

restructured the program to allow for compressed assessments of the remaining 32 HTUA rail corridors. Assessments will continue in FY 2010 and FY 2011. Additionally, in FY 2011, TSA will begin the review of HTUAs not on the original list of 46 areas.

Toxic Inhalation Hazard Transportation Risk Reduction: TSA, in cooperation with industry stakeholders, established the Toxic Inhalation Hazard (TIH) risk reduction program to objectively measure the security risk associated with the rail transportation of TIH materials through HTUAs. The program's objective is to reduce the dwell time of rail cars carrying TIH materials, and implement positive security measures by rail carriers. TSA measures and reports the level of risk reduction of TIH materials. In FY 2009, TSA achieved the DHS Secretary's goal to reduce the risk posed by transporting TIH by rail in HTUAs by an estimated 59 percent; TSA reduced the risk from TIH materials by an estimated 62 percent. In FY 2010 and 2011, TSA will continue to conduct TIH risk surveys.

Pipeline Activities:

Critical Facility Inspections: As required by the 9/11 Act, TSA must develop and implement a plan for inspecting of the 100 "most critical pipeline" systems. TSA has collected critical facility information from the 100 "most critical" pipeline systems. These systems have hundreds of facilities associated with their operation. TSA has begun inspections, which focus on physical security. In August 2009, TSA completed 159 facility inspections. Critical facility inspections will continue throughout FY 2010 and FY 2011. TSA anticipates completing facility inspections for all 100 pipeline systems in FY 2012.

Pipeline Corporate Security Reviews (CSRs): TSA conducts twelve annual CSRs of the top 100 natural gas and hazardous liquid transmission pipelines and natural gas distribution systems within the United States. This allows the program to revisit a company within the top 100 approximately every five years. Through December 2009, TSA has completed 98 CSRs for companies operating one or more of the essential pipeline systems. In FY 2010, TSA plans to conduct 12 CSRs.. These visits will allow TSA to assess the present status of the company's security efforts and gauge progress from previous reviews.

Stakeholder Collaboration: The TSA Pipeline Security Division, in conjunction with Natural Resources Canada, hosts International Pipeline Security Forums annually. The two day conference enhances government and industry pipeline security domain awareness and provides opportunities for discussion of major pipeline security issues, both domestic and international. Forum events will continue in FY 2010 and FY 2011.

Maritime Activities:

Security Enhancement and Capability Augmentation Program (SEACAP): SEACAP enhances the capability to deter, detect, and prevent explosives from being introduced as a weapon on ferries and at cruise line terminals. SEACAP builds upon existing

technology pilots which provide a platform and programmatic infrastructure for improving current security screening for high capacity maritime passenger vessel operations. In FY 2010, SEACAP will continue to conduct baseline screening assessments and screening deployment exercises. Possible sites for technology deployments in FY 2010 include New Orleans, LA and Bar Harbor, ME. In addition, TSA plans to conduct three to four pilot tests at selected maritime or port facilities in FY 2010 and FY 2011.

Security Training, Operational Readiness and Maritime Community Awareness Program (STORMCAP): Through STORMCAP, TSA develops and disseminates enhanced security training, community awareness products and operational guidance to enhance maritime security. In FY 2009, TSA released the Maritime Screening Guide. In FY 2010, STORMCAP plans to release a training CD-ROM for Crowd Control Techniques, and a training CD-ROM on Anti-hijacking and piracy. TSA will also coordinate and host a series of Explosive Security Seminars for first responders in high-risk ports across the nation. The seminars will present concepts on responding to threats and share regional best practices on an actual event of Improvised Explosive Device/Vehicle Borne Improvised Explosive Device in a port environment. TSA will continue to provide awareness products throughout FY 2011.

Highway and Motor Carrier Activities:

Highway Corporate Security Reviews: TSA conducts highway modal industry CSRs to establish and reaffirm security baselines. TSA conducts CSRs on states' Departments of Transportation (DOTs) to assess their security posture, security programs, and activities implemented for bridge and tunnel assets. TSA completed CSRs on 47 of the 51 DOTs, and plans to complete the remaining four DOTs by the end of FY 2010. In addition, TSA conducts CSRs of trucking companies, transportation authorities, school districts (buses), and motor coach companies. In FY 2010, TSA plans to continue conducting CSRs of previously unvisited owners and operators of transportation assets, and at critical corporations where revisits are justified by high threat or vulnerability. By FY 2011, TSA plans to complete approximately 200 CSRs on highway transportation organizations. Other sub-modes of the highway sector such as over-the-road buses, school buses, and hazmat trucks may also voluntarily participate in the CSR program with TSA in FY 2011.

Highway Industry Assessments: TSA conducts Highway Industry Assessments of HAZMAT trucking, school buses, general freight, and food and agriculture industries to identify industry best practices, quantify assets, and provide recommendations for increases in security activities and business practices. Through the assessments, TSA increases its awareness of industry security practices and business practices that will be impacted by changes in security awareness, regulation, and program development. In FY 2009, TSA completed an assessment of the school bus industry and began to work on the HAZMAT Trucking, Motor Coach and General Freight Assessments, which it will continue through FY 2010. In FY 2011, TSA is scheduled to complete the motor coach,

food and agriculture, and HAZMAT trucking industry assessments. In addition, in FY 2011, TSA plans to initiate the general freight and aggregate industry reports.

Stakeholder Collaboration: TSA coordinates closely with industry stakeholders and is sponsoring a series of regional highway security conferences for Highway and Motor Carriers and infrastructure owners and operators. TSA also participates in the Critical Infrastructure Partnership Advisory Council (CIPAC) meetings that are held with each of the four highway modal industry groups of trucking, motor coach, school bus and infrastructure.

The following chart displays the mitigation activities that TSA has conducted to reduce the risk resulting from threats, vulnerabilities and consequences specific to each transportation mode.

SURFACE TRANSPORTATION INITIATIVE MATRIX

	Threat, Vulnerability, Consequence	Baseline Standards	Assessments	Close Gaps
Freight Rail	<p>Completed six rail corridor assessments in HTUAs: New Jersey, New Orleans, DC, Houston, Buffalo and Cleveland, Los Angeles on-going, Chicago, Baltimore and Philadelphia planned.</p> <p>Identified TIH rail car standstill time as highest risk potential.</p>	<p>TSA has a goal to reduce the risk of TIH standstill time in HTUAs by 25% each year, beginning in 2007</p> <p>TSA identified 27 focus action items including security awareness training and employee identification</p>	<p>TSA is developing a database driven system to identify specific locations where TIH risk is greatest.</p> <p>TSA inspectors will verify attended/unattended status and proximity to high risk structures. TSA has conducted over 2600 field interviews focused on security awareness and procedures at 151 rail facilities with front line management and other personnel.</p>	<p>TSA issued an NPRM on 12/21/06 to strengthen the security of the rail systems in HTUAs.</p> <p>TSA reached an agreement with the rail industry to reduce the unattended standstill car time in HTUAs beginning in 2007.</p> <p>TSA is developing an IED training course for rail employees.</p>
Mass Transit	<p>100 surface transportation security inspectors (STSI) are conducting field rail and transit assessments.</p> <p>Assessments focus on transit operating procedures and high risk/high consequence assets.</p> <p>FTA has conducted 37 vulnerability assessments since 9/11 and shares information with TSA; G&T has also funded additional assessments.</p>	<p>Developed baseline standards for the industry that are derived from six fundamental principals</p>	<p>TSA has conducted 24 base assessments of passenger rail systems. Goal is completion of 100 largest systems by the end of the year.</p> <p>41 'Transportation Security Fundamentals' self assessments have been completed by the Top 50 transit agencies and the remainder of the Top 50 are due by 1/31/07. Self assessment results will be confirmed by STSIs in follow-up activities.</p>	<p>Focus on high risk/high consequence assets.</p> <p>Partnering with National Laboratories to complete assessments of prioritized list of transit tunnels.</p> <p>Deployed 43 canine teams. By the end of FY 07, will have 56 canine teams deployed to 13 major transit systems.</p> <p>Conducted 25 VIPR exercises.</p> <p>Utilizing IPP grants to drive improvement in six fundamentals of security.</p>
Highway	<p>15 risk assessments of Motor Carriers, including 2 Petrol, 8 TIH, 3 Ammo.</p> <p>Focused on TIH and hazardous materials of concern, including explosives, flammables and other poisonous materials.</p>	<p>TSA is working with chemical companies to develop security standards for TIH and chemicals of concern.</p> <p>The standards will address items such as vehicle standards, attendance, alarm systems, and security route and stop areas.</p>	<p>TSA conducts Highway CSRs and assessments. Assessments are targeted at companies hauling TIH and chemicals of concern.</p> <p>Missouri pilot – State DOT has conducted 950 assessments (5% were HAZMAT carriers)</p> <p>Plan for pilot project on 20 security plan self assessments is nearing field testing with participants solicited in FL, NY, OH, TX.</p>	<p>Currently considering several voluntary incentive programs and regulatory options.</p> <p>Streamlining list of hazardous materials for which a Security Threat Assessment is required.</p>
Pipeline	<p>Identified and ranked high risk pipeline systems based on analysis of total equivalent energy transported.</p> <p>TSA is conducting a pipeline infrastructure study to identify highest risk regions of the nation.</p>	<p>TSA will revise existing pipeline security guidelines in FY07</p> <p>TSA has developed best practices based on Corporate Security Review (CSR) results.</p>	<p>TSA has conducted 58 pipeline CSRs and 4 assessments of cross-border (US-Canada) pipeline systems.</p> <p>8 additional CSRs and 1 cross-border assessment will be accomplished in FY07.</p> <p>TSA uses these CSRs to develop assessments of actual practice versus baseline standards.</p>	<p>Conducted an International Pipeline Security Forum to raise industry security awareness and discuss best practices.</p> <p>Prepared employee security awareness training program for all pipeline industry employees.</p> <p>Conduct site specific visits to evaluate security practices.</p>

2/1/2007

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security:
Rail Security Inspectors and Canines
Program Performance Justification**
(Dollars in Thousands)

PPA: Rail Security Inspectors and Canines

	Perm. Pos	FTE	Amount
2009 Actuals	225	156	27,254
2010 Enacted	649	428	68,223
2011 Adjustments-to-Base	-	194	30,287
2011 Current Services	649	622	98,510
2011 Program Change	-	-	(899)
2011 Total Request	649	622	97,611
Total Change 2010 to 2011	-	194	29,388

The Transportation Security Administration requests \$97.6 million for FY 2011 to support the Surface Transportation Security Inspection Program (STSIP) and explosive detection canine programs. The increase from FY 2010 of \$29.4 million is for pay annualization and COLA, annualization of the additional 15 Surface VIPR teams and the 100 additional surface transportation security inspectors, and additional funds for explosive detection canine teams.

PROGRAM DESCRIPTION:

Surface Transportation Security Inspection Program (STSIP):

The STSIP is a unique and critically important federal inspection program with expanding responsibilities in U.S. surface transportation security. With initial emphasis on freight railroads, mass transit and passenger rail, the STSIP has set out to enhance security preparedness in an industry that is the largest transporter of passengers in the country.

The following chart provides historical and current information on the total number of Surface, Aviation, and Cargo Transportation Security Inspectors (TSIs) across TSA.

TSA Inspectors

	Full-Time Permanent Positions					
	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
TSI - Aviation Domestic	681	657	778	755	755	1030 ¹
TSI - Aviation Int'l	39	39	45	45	45	45
Total, Aviation Inspectors	720	696	823	800	800	1075
TSI - Int'l Repair Stations	2	15	15	15	15	15
TSI - Cargo	225	300	535	535	620 ²	620
TSI - Cargo Int'l		10	10	10	10	10
Total, Cargo	225	310	545	545	630	630
TSI - Surface	100	100	175	225	404 ³	404
TOTAL	1,047	1,121	1,558	1,585	1,849	2,124

1/ Increase of 275 inspectors/canine handlers in support of additional proprietary teams

2/ Increase of 50 inspectors in P.L. 111-83, conversion of 35 legacy canine teams to proprietary canine teams

3/ Increase of 100 inspectors in P.L. 111-83; Increase of 79 inspectors for the 15 additional VIPR teams

Surface Transportation Security Inspectors (TSI-Ss) are deployed through a risk-based approach and provide coverage of key passenger rail and mass transit rail facilities in their regions, as well as 61 High Threat Urban Areas (HTUAs), as defined by DHS. The location and number of inspectors is also determined by transit ridership, proximity to Toxic Inhalation Hazard (TIH) shipment locations (freight rail), critical infrastructure ratings, and HTUA ranking. TSI-S personnel continue to provide stakeholder liaison functions, situational awareness of security conditions and, during surface transportation incidents, convey valuable first-hand information to Federal Security Directors (FSDs), security, policy and intelligence offices, and TSA leadership.

The legislation underlying 49 CFR, provides TSA's Surface Inspectors with regulatory authority to ensure a secure chain of custody of security-sensitive material rail cars occurs between rail carriers and shippers/receivers at points of origin, delivery, and interchange. It also requires the designation of a rail security coordinator (RSC) by freight and passenger railroad carriers, rail transit systems, and certain hazardous materials facilities. TSA Surface Inspectors will verify the paperwork at the covered facilities to ensure compliance, including reporting requirements for incidents, potential threats, and significant security concerns, and location tracking requirements.

In addition, TSI-Ss are responsible for:

- Conducting threat and vulnerability inspections, reviews, and assessments which are used to determine the capability of a potentially targeted transportation system/asset to reduce the risk from a specified threat;
- Conducting Security Action Item (SAI) assessments for railcars carrying TIH materials and shippers;

- Serving as panel members on the Transit Security Grant Program (TSGP) to review project proposals, assess grant applications, and assist in developing a process for awarding grants;
- Providing Terrorist Activity Recognition and Reaction (TARR) training to public transit entities;
- Responding to surface transportation security incidents (i.e. train derailments, possible improvised explosive devices (IED), major truck accidents, etc.) to gather real-time, on-scene information;
- Responding to natural disaster incidents to assist surface transportation entities in their recovery efforts and provide FSDs with localized, surface transportation specific information/updates from these catastrophic events;
- Staffing transit agency and freight rail operations centers in times of increased threat, heightened alert, or during a catastrophic event; and
- Planning and participating in TSA Visible Intermodal Prevention and Response (VIPR) deployments, on an increasing scale.

Assessments and Inspections: Upon the issuance of the rail and mass transit regulation under 49 CFR 1580, Surface Transportation Security Inspectors will conduct compliance inspections throughout the rail and mass transit domain. In FY 2009, TSI-Ss completed 119 compliance inspections. The STSI program office anticipates 700 inspections will be completed in FY 2010, with up to an additional 1,000 in FY2011. The increase of 100 new inspectors in FY 2010 increases the number of inspections to be conducted in FY 2011.

In 2009, the STSIP expanded its assessment and inspection activities in the field to include highway and motor carriers and completed 54 CSRs. In FY 2010, the STSI program plans to complete over 200 additional CSRs, with an additional 1,400-1,500 in FY 2011. Transportation Security Network Management (TSNM) anticipates that it will issue two regulations in FY 2011, which will include regulatory compliance requirements to take effect in FY 2012.

Baseline Assessment for Security Enhancement (BASE) Program: The STSI program works in conjunction with the Federal Transit Administration (FTA) as part of the Baseline Assessment for Security Enhancement (BASE) Program. The STSI program conducted 78 BASE reviews, of which 48 were on the Nation's top 50 Mass Transit Systems. In FY 2010, the STSI program office anticipates completing the BASE reviews on the top 51-100 transit agencies, as well as conducting revisit (re-bases) reviews on agencies originally reviewed in FY 2008. In FY 2011, the STSI program office plans to conduct BASE reviews on the top 1-50 transit agencies, and conduct the revisit reviews for those agencies reviewed in FY 2009. Additionally, TSA anticipates the TSGP will require a BASE to be completed as a prerequisite for any federal transit grant awards.

High Threat Urban Area (HTUA) Vulnerability Assessments: STSI personnel act as team leads on a team composed of Federal, State, and industry subject matter experts to conduct risk assessments of selected High Threat Urban Area (HTUA) rail corridors.

On-site assessments consist of a detailed examination of the railroad(s) operations and procedures within the HTUA. Assessments lead to security enhancements and mitigation strategies to address the handling and protection of Toxic Inhalation Hazards (TIH) rail shipments through the HTUA. In FY 2011, the STSI program office anticipates a complete review of the original 46 HTUAs. Inspections will continue in FY 2010 and FY 2011.

Station Criticality Assessments (SCA): TSI-Ss have conducted SCAs, which are an in-depth assessment of critical infrastructure facilities and transit stations since 2006. SCAs have gained importance with the recent terrorist attacks in Sri Lanka and Mumbai, India, as well as the expansion of the Visible Intermodal Prevention and Response (VIPR) initiative. The assessments provide detailed information on a variety of station related intelligence, such as the locations of exits, telephones, electrical power, station managers, etc. The information has been extremely useful in VIPR planning, and is also relevant for first responders, intelligence planners and security personnel.

Security Analysis and Action Program (SAAP): When conducting assessments, TSI-Ss provide a systematic examination of a regulated party's transportation operations. The purpose of the evaluation is to gather information, complete a full risk assessment to include threat, vulnerability, and consequence, identify best practices, and benchmark transportation security operations against established security guidelines and recommendations. In particular, evaluations:

- Provide regulated parties with an objective view of possible security gaps and vulnerabilities in order to better manage risk of terrorist attack;
- Identify new security innovations and best practices;
- Determine whether transportation security activities and related programs comport with TSA identified smart practices; and
- Assess whether the measures implemented are suitable to achieve overall security objectives.

Analyses may include participants from other federal agencies, state and local authorities, and/or private stakeholders as appropriate. In the future, the STSI program plans to increase the use of a risk-based methodology in the mass transit and rail domain through the deployment of an automated risk assessment tool (under development).

Surface Transportation Security Inspection Program Summary

Program Component	Description & Transportation Mode	FY 2011 Estimate of Assessments / Inspections
Assessments and Inspections	Compliance Inspections in Rail and Mass Transit Modes	1000
	Comprehensive CSRs for Highway and Motor Carriers	1400
Baseline Assessment for Security Enhancement (BASE) Program	Assessments of Mass Transit Systems	128
High Threat Urban Area (HTUA) Vulnerability Assessments	Risk Assessments of HTUA Rail Corridors.	46
Station Criticality Assessments (SCA)	In-depth assessment of critical infrastructure facilities and transit stations. This includes locations of exits, telephones, electrical power, station managers, etc.	125
Security Analysis & Action Program (SAAP)	Systematic examination of a regulated party's transportation operations. This includes completing a full risk assessment to include threat, vulnerability, and consequences; best practices; and benchmark transportation security operations against established security guidelines and recommendations.	This program is under revision and will be replaced with an automated risk assessment methodology

Toxic Inhalation Hazard Transportation (TIH) Risk Reduction:

TSA, in conjunction with the private sector, has also developed a list of 24 Security Action Items (SAIs) and three Supplemental Security Action Items (SSAIs). These security guidelines identified best practices, which freight railroads and their employees should implement to reduce the risk associated with the transportation of toxic inhalation hazard (TIH) materials.

TSA conducted 3,151 TIH Security Surveys in FY 2009. In FY 2010, 3,200 surveys are planned, and 4,000 surveys are planned in FY 2011.

TSA also conducts Rail Corridor Assessments (RCAs), which focus on assessing the vulnerabilities of high-population areas where TIH materials are moved by rail in significant quantities. The RCAs provide site-specific mitigation strategies and lessons learned, and supported the development of the SAIs. These vulnerability assessments have also led to the implementation of a TIH Risk Reduction Project. Implemented in 2007, the Project focuses on objectively measuring the risk reduction associated with the rail transportation of TIH materials through 46 High Threat Urban Areas. As of October

2009, the objectively-measured risk has been reduced 80 percent as compared to the base measurement year (2006). The agency will continue to measure the ongoing risk associated with the movement of TIH shipments by rail, with the goal of a 10 percent risk reduction over the previous year.

TSA plans to conduct a minimum of 23 Rail Corridor Assessments, which take approximately 4-6 weeks to complete, depending on the HTUA and complexity of the railroad operations within the corridor.

Visible Intermodal Prevention and Response (VIPR):

The objective of VIPR deployments in mass transit and passenger rail systems is to augment capabilities that disrupt and deter potential terrorist activity and is most effectively advanced through periodic random deployments, unpredictably executed in timing, location, and types of activities. The nature of the activities and their unpredictability are essential to their deterrent effect as they maintain a dynamic and changing security program that will disrupt any observation, reconnaissance, and/or planning activities, thus precluding the detection and exploitation of patterns in security measures.

VIPR operations teams consist of TSA personnel that may include Transportation Security Inspectors (TSIs), Transportation Security Officers (TSOs), Federal Air Marshals (FAMs), Behavioral Detection Officers (BDOs), Bomb Appraisal Officers (BAOs), Explosives Detection Canine teams, and Federal, state and local law enforcement officers. Uniformed VIPR team members provide a visible and official security presence apparent to all who use or are observing the mass transit or passenger rail system. VIPR activities bolster the system's efforts to prevent an adversary from orienting on and breaching a pattern in security activities. TSA partners with the transit agency's security professionals to provide parameters for visible anti-terrorism security activities.

As a result of additional resources and an increased federal, state and local stakeholder awareness of, and commitment to VIPR deployments, the total number of VIPR deployments has increased from four to five per week in 2007 to approximately 40 to 50 per week in 2009. In Fiscal Year 2009, TSA conducted 1,498 Surface VIPR operations, accounting for 55 percent of the total number of operations. Of the Surface operations, 1,047 were conducted in mass transit and passenger rail properties.

In FY 2010, TSA plans to provide additional emphasis on surface deployments and achieve a nationwide deployment footprint for Surface VIPR operations by creating 15 new dedicated Surface VIPR Teams across the Nation.

The FY 2011 request annualizes the FY 2010 funding TSA received for the 15 new VIPR teams, which includes 323 FTP/310 FTE, 79 of which are TSI-S positions.

National Explosive Detection Canine Team Program (NEDCTP):

The NEDCTP supports the Nation’s largest passenger transportation systems in mass transit and, in FY 2009, expanded into the maritime domain (ferry systems). This program in partnership with State and local law enforcement agencies fulfills the need to provide effective, low-cost security measures within the mass transit/commuter rail sector. These full-time teams are highly effective, rapidly deployable, and critical to the ability of the Nation’s largest passenger transportation systems to preempt terrorist attacks by deterring, detecting, and preventing explosives from being introduced as weapons.

Through cooperative agreements, TSA provides funding for training, certification and maintenance of the explosive detection capable canines, training for the handlers, and partial reimbursement of handlers’ salaries and other costs. Reimbursement in FY 2010 and previous fiscal years was \$40,000 per team. The FY 2011 request seeks to increase the current stipend TSA provides by approximately \$10,500. This proposed enhancement is necessary to more appropriately distribute the escalating inflationary and operational costs borne by NEDTCP participants, particularly since the current stipend level has remained unchanged since 1997. Local law enforcement agencies deploy these valuable canine teams and provide DHS with a mobile response platform for specific threats to the transportation systems.

At the end of FY 2009, TSA had funded 750 teams in the Aviation and Mass Transit sectors. Of the 750 teams, 99 support Mass Transit Systems/Maritime. The NEDCTP program executed 18 cooperative agreements for TSA certified Explosives Detection Teams for mass transit.

Projected FY 2011 Funded Canine Teams					
<u>Funding Source</u>	<u>Legacy Aviation</u>	<u>Proprietary OSO</u>	<u>FAM</u>	<u>Mass Transit</u>	<u>Total</u>
Base Funding	473	23	22	117	635
Supplemental	50	120			170
FY 2011 Enhancement		275			275
Total	523	418	22	117	1080

Due to personnel needs, 1 FTE for the FAM Proprietary Teams is used to help manage the program.

In FY 2010, the program anticipates increased participation and plans to reach optimal budgeted team levels of 117 for Mass Transit.

In FY 2011, the NEDCTP anticipates the budgeted team levels to remain at 117.

IV. Program Justification Changes

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security:
Staffing and operations
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Reduce General Expenses for TSNM and TSOC
PPA: Staffing and operations
Program Decrease: Positions 0.0 FTE 0.0 Dollars \$-2695.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	42,642
Program Decrease							-	-	(2,695)
Total Request	-	-	-	-	-	-	-	-	39,947

Description of Item

Transportation Security Network Management (TSNM) and Transportation Security Operations (TSOC) is responsible for coordinating security efforts in non-aviation modes which includes mass transit, rail, pipelines, maritime, highway and motor carrier, and postal and shipping sectors.

Justification

TSA identified efficiencies to support other critical operations in FY 2011. In order to sustain effective security operations, TSA will reduce the general expenses by \$2.7 million from TSNM and TSOC.

Impact on Performance (Relationship of Increase to Strategic Goals)

This reduction will result in TSNM and TSOC streamlining general expenses within program operations.

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security:
Rail Security Inspectors and Canines
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Increase in NEDCTP Stipend Funds
PPA: Rail Security Inspectors and Canines
Program Increase: Positions 0.0 FTE 0.0 Dollars \$1280.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	5,000
Program Increase							-	-	1,280
Total Request	-	-	-	-	-	-	-	-	6,280

Description of Item

The National Explosive Canine Detection Program (NEDCTP) supports the Nation’s largest passenger transportation systems in mass transit. This program in partnership with State and local law enforcement agencies fulfills the need to provide effective, low-cost security measures within the mass transit/commuter rail sector.

Justification

The increase of \$1.3 million for the NEDCTP program is to provide a stipend increase of \$10,500 to each team.

Impact on Performance (Relationship of Increase to Strategic Goals):

This increase will allow the explosive detection canine teams to be more highly effective and more rapidly deployable, increasing the ability of the Nation’s largest passenger transportation systems to preempt terrorist attacks by deterring, detecting, and preventing explosives from being introduced as weapons.

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security:
Rail Security Inspectors and Canines
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Reduce General Expenses for OSO
PPA: Rail Security Inspectors and Canines
Program Decrease: Positions 0.0 FTE 0.0 Dollars \$-2179.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	98,510
Program Decrease							-	-	(2,179)
Total Request	-	-	-	-	-	-	-	-	96,331

Description of Item

TSA employs inspectors and assists State and local law enforcement agencies through the canine program, to assess compliance, national program delivery, and provide outreach on security assets in the surface transportation system. The Office of Security Operations (OSO) Inspection program is a unique and critically important federal inspection program with expanding responsibilities in the U.S. surface transportation security. The National Explosive Detection Canine Team Program (NEDTCP) supports the Nation’s largest transportation systems in mass transit and maritime to fulfill the need to provide effective, low-cost security measures through the use of the canine teams.

Justification

TSA identified efficiencies to support other critical operations in FY 2011. In order to sustain effective security operations, TSA will reduce the general operating expenses of OSO and NEDCTP by \$2.2 million.

Impact on Performance (Relationship of Increase to Strategic Goals): This reduction will result in OSO and NEDCTP streamlining general expenses within program operations.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Transportation Security Administration
Justification of Proposed Changes in Surface Transportation Security
Appropriation Language**

For necessary expenses of the Transportation Security Administration related to providing surface transportation security activities, [\$128,461,000] **\$137,558,000** to remain available until September 30, [2011] **2012**. (Department of Homeland Security Appropriations Act, 2011.)

Explanation of Changes:

No substantive changes proposed.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security:
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	396	303	67,391
FY 2010 Enacted	820	593	110,516
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Increases	-	-	-
Annualize FY10 Program Change Increase	-	194	32,100
FY11 Pay Annualization	-	-	196
FY11 Pay COLA	-	-	730
Total Increases	-	194	33,026
Decreases	-	-	-
Transfer to Aviation Appropriation	-	-	(1,984)
Transfer to Support Appropriation	-	-	(406)
Total Decreases	-	-	(2,390)
Total, Adjustments-to-Base	-	194	30,636
FY 2011 Current Services	820	787	141,152
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Increase in NEDCTP Stipend Funds	-	-	1,280
Reduce General Expenses for OSO	-	-	(2,179)
Reduce General Expenses for TSNM and TSOC	-	-	(2,695)
Total, Program Changes	-	-	(3,594)
FY 2011 Request	820	787	137,558
FY 2010 to FY 2011 Total Change	-	194	27,042

C. Summary of Requirements

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	396	303	67,391
FY 2010 Enacted	820	593	110,516
Transfers	-	-	-
Total, Transfers	-	-	(2,390)
Adjustments-to-Base	-	-	-
Increases	-	194	33,026
Total, Adjustments-to-Base	-	194	33,026
FY 2011 Current Services	820	787	141,152
Program Changes	-	-	-
Total, Program Changes	-	-	(3,594)
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	820	787	137,558
Total Change 2010 to 2011	-	194	27,042

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Staffing and operations	171	165	42,293	171	165	39,947	-	-	(2,346)	-	-	(2,695)	-	-	349
Rail Security Inspectors and Canines	649	428	68,223	649	622	97,611	-	194	29,388	-	-	(899)	-	194	30,287
Subtotal, Estimates Program Project Activity	820	593	110,516	820	787	137,558	-	194	27,042	-	-	(3,594)	-	194	30,636
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	820	593	110,516	820	787	137,558	-	194	27,042	-	-	(3,594)	-	194	30,636

D. Summary of Reimbursable Resources

Department of Homeland Security
Transportation Security Administration
Surface Transportation Security:
 Summary of Reimbursable Resources
 (Dollars in Thousands)

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Total Budgetary Resources	-	-	-	-	-	-	-	-	-	-	-	-

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
Total Obligations	-	-	-	-	-	-	-	-	-	-	-	-

E. Summary of Requirements by Object Class

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	26,904	53,499	75,427	21,928
11.3 Other than full-time permanent	101	68	70	2
11.5 Other personnel compensation	802	314	535	221
12.1 Benefits	9,146	15,665	21,149	5,484
21.0 Travel	1,519	2,735	3,201	466
22.0 Transportation of things	8	-	-	-
23.1 GSA rent	219	500	500	-
23.2 Other rent	750	45	45	-
23.3 Communications, utilities, and misc. charges	280	581	581	-
24.0 Printing	4	31	33	2
25.1 Advisory and assistance services	751	-	-	-
25.2 Other services	19,502	29,767	27,872	(1,895)
25.3 Purchases from Gov't accts.	880	287	301	14
25.7 Operation and maintenance of equipment	4	-	-	-
26.0 Supplies and materials	563	1,342	1,382	40
31.0 Equipment	2,055	182	182	-
32.0 Land & structures	67	-	-	-
41.0 Grants/Subsidies/Contributions	3,836	5,500	6,280	780
Total, Object Class	67,391	110,516	137,558	27,042
Total, Direct Obligations	67,391	110,516	137,558	27,042

F. Permanent Positions by Grade

Department of Homeland Security Transportation Security Administration Surface Transportation Security: Permanent Positions by Grade

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	16	16	16	-
L Band	1	1	1	-
K Band	67	71	71	-
J Band	40	62	62	-
I Band	97	191	191	-
H Band	70	102	112	10
G Band	94	279	297	18
F Band	9	93	65	(28)
E Band	1	1	3	2
D Band	-	4	2	(2)
C Band	1	-	-	-
Total Permanent Positions	396	820	820	-
Unfilled Positions EOY	93	227	33	(194)
Total Permanent Employment EOY	396	820	820	-
Full Time Equivalents	303	593	787	194
Headquarters	214	229	229	-
U.S. Field	182	591	591	-
Foreign Field	-	-	-	-
Total, Location	396	820	820	-
Average ES Salary	156,971	160,110	162,352	2,242
Average GS Salary	-	-	-	-
Average Grade	-	-	-	-

G. Capital Investment and Construction Initiative Listing
Not Applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security:
Staffing and operations
Funding Schedule
(Dollars in Thousands)**

PPA: Staffing and operations	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	15,107	17,548	17,797	249
11.3 Other than full-time permanent	10	-	-	-
11.5 Other personnel compensation	471	-	-	-
12.1 Benefits	4,262	6,490	6,590	100
21.0 Travel	1,121	1,644	1,701	57
22.0 Transportation of things	3	-	-	-
23.3 Communications, utilities, and misc. charges	106	127	127	-
24.0 Printing	4	29	31	2
25.1 Advisory and assistance services	692	-	-	-
25.2 Other services	17,836	15,962	13,154	(2,808)
25.3 Purchases from Gov't accts.	-	128	142	14
26.0 Supplies and materials	167	365	405	40
31.0 Equipment	358	-	-	-
Total, Object Class	40,137	42,293	39,947	(2,346)
Total, Staffing and operations	40,137	42,293	39,947	(2,346)
Full Time Equivalents	147	165	165	-

PPA Mission Statement

Surface Transportation Security Operations and Staffing is charged with managing TSA's efforts to mitigate the risk and provide security direction to all non-aviation transportation systems. This responsibility covers rail, mass transit, highways, buses, trucking, ferries, and pipelines. The Surface Transportation Security Operations and Staffing office also works with industry, State and local governments, and other Federal agencies in developing standards and regulations to ensure the security of these vital transportation systems.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	15,107	17,548	17,797	249

The FY 2011 increase reflects pay annualization and COLA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	4,262	6,490	6,590	100

The FY 2011 increase reflects pay annualization and COLA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	1,121	1,644	1,701	57

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase in travel to continue to coordinate security efforts in non-aviation modes.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	106	127	127	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. PDA and cell phone air time are the major items being charged to this object class.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	4	29	31	2

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes a slight increase of \$2,000 to sustain current services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	17,836	15,962	13,154	(2,808)

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The funds will be used to support security efforts in non-aviation modes including Pipelines, Maritime, Mass Transit, Rail, Highway and Motor Carrier and Postal and Shipping. The FY 2011 reduction of \$2,808,000 represents a decrease in general expenses for TSNM and TSOC.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	-	128	142	14

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The funds will be used to support partnership activities with other government agencies. The FY 2011 request includes a slight increase of \$14,000 to continue to sustain current services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	167	365	405	40

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. This PPA will use these funds to acquire office supplies, education materials, training materials and any other supplies and materials. The FY 2011 request includes an increase of \$40,000.

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security:
Rail Security Inspectors and Canines
Funding Schedule
(Dollars in Thousands)**

PPA: Rail Security Inspectors and Canines	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	11,797	35,951	57,630	21,679
11.3 Other than full-time permanent	91	68	70	2
11.5 Other personnel compensation	331	314	535	221
12.1 Benefits	4,884	9,175	14,559	5,384
21.0 Travel	398	1,091	1,500	409
22.0 Transportation of things	5	-	-	-
23.1 GSA rent	219	500	500	-
23.2 Other rent	750	45	45	-
23.3 Communications, utilities, and misc. charges	174	454	454	-
24.0 Printing	-	2	2	-
25.1 Advisory and assistance services	59	-	-	-
25.2 Other services	1,666	13,805	14,718	913
25.3 Purchases from Gov't accts.	880	159	159	-
25.7 Operation and maintenance of equipment	4	-	-	-
26.0 Supplies and materials	396	977	977	-
31.0 Equipment	1,697	182	182	-
32.0 Land & structures	67	-	-	-
41.0 Grants/Subsidies/Contributions	3,836	5,500	6,280	780
Total, Object Class	27,254	68,223	97,611	29,388
Total, Rail Security Inspectors and Canines	27,254	68,223	97,611	29,388
Full Time Equivalents	156	428	622	194

PPA Mission Statement

TSA has been given the responsibility to ensure the compliance of security regulations and standards within the rail and mass transit modes. TSA will accomplish this with a cadre of 100 inspectors located at significant rail, mass transit, and transit centers across the United States.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	11,797	35,951	57,630	21,679

The FY 2011 increase reflects FY 2010 pay annualization and FY 2011 COLA, along with the annualization of Surface Inspectors and the additional teams.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	91	68	70	2

The FY 2011 increase reflects FY 2010 pay annualization and FY 2011 COLA, along with the annualization of Surface Inspectors and the additional VIPR teams.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	331	314	535	221

The FY 2011 increase reflects FY 2010 pay annualization and FY 2011 COLA, along with the annualization of Surface Inspectors and the additional VIPR teams.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	4,884	9,175	14,559	5,384

The FY 2011 increase reflects FY 2010 pay annualization and FY 2011 COLA, along with the annualization of Surface Inspectors and the additional VIPR teams.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	398	1,091	1,500	409

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. This funding will be used for local and extended travel to conduct a multitude of transit inspections program management. The FY 2011 increase of \$409,000 is driven by the annualization of the Surface Inspectors and the increase in VIPR operations as a result of the annualization of the additional 15 teams.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	219	500	500	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	750	45	45	-

Other rent includes all payments to a non-Federal source for rental space, land and structures.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	174	454	454	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. This funding will be used for communication equipment and service cost.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	-	2	2	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	1,666	13,805	14,718	913

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request of \$913,000 includes an increase for the annualization of the Surface Inspectors and the VIPR additional 15 teams.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	880	159	159	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The funds will be used to support partnership activities with other government agencies.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	396	977	977	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	1,697	182	182	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	3,836	5,500	6,280	780

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request includes an increase in the amount of funding for the canine co-operative agreements with Mass Transit by \$10.5K per team.

I. Changes in Full Time Equivalent

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security:
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	303	303	593
INCREASES	-	-	-
Additional FTEs		55	
Additional VIPR Teams	-	162	-
Annualize FY08/FY09 9/11 Implementation Funds	-	23	-
Surface Inspectors	-	50	-
Annualize FY10 Program Change Increase	-	-	194
Subtotal, Increases	-	290	194
DECREASES	-	-	-
Adjusted for EOY Actuals		-	-
Decreases		-	-
Other FTE	-	(7)	-
Subtotal, Decreases		(7)	-
Year End Actual / Estimated FTEs:	303	593	787
Net Change from prior year base to Budget Year Estimate:		235	194

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
 Transportation Security Administration
 Surface Transportation Security:**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
 (Dollars in Thousands)

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Total Working Capital Fund	-	-	-	-

Department of Homeland Security

Transportation Security Administration

Transportation Threat Assessment & Credentialing



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Transportation Threat Assessment & Credentialing:

I. Appropriation Overview

A – Mission Statement for Transportation Threat Assessment & Credentialing:

The mission statement for this program is, “to reduce the probability of a successful terrorist or other criminal attack to the transportation system through application of threat assessment methodologies that are intended to identify known or suspected terrorist threats working or seeking access to the Nation’s transportation system.”

This appropriation supports compliance with:

- National Strategy for Homeland Security,
- USA PATRIOT ACT of 2001 (P.L. 107-56),
- Aviation Transportation Security Act of 2001 (P.L. 107-71),
- Maritime Transportation Security Act of 2002 (P.L. 107-295),
- Vision 100 – Century of Aviation Reauthorization Act (P.L. 108-176),
- Intelligence Reform and Terrorism Prevention Act of 2004 (P.L. 108-408), and
- 9/11 Commission Act of 2007 (P.L. 110-53).

These laws provide direction to the Federal Government to protect homeland security, placing special emphasis on deterrence, prevention, interdiction of threats, aggression, and unlawful acts directed toward the United States. The Homeland Security Presidential Directive-11 (HSPD-11), issued August 27, 2004, directed the Department of Homeland Security (DHS), in coordination with other Federal agencies, to “enhance terrorist-related threat assessment through comprehensive, coordinated procedures.”

The objective of HSPD-11 is to more effectively detect and interdict individuals known to engage in terrorist activities or those who are reasonably suspected to be doing so, or who have been engaged in terrorist activities. To that end, the broad range of existing government and private sector security measures and initiatives will be augmented by a comprehensive, coordinated and integrated threat assessment environment. Implementation of HSPD-11 must facilitate the efficient movement of people, cargo, and conveyances and minimize any negative impacts on related activities. The Presidential Directive requires that these goals be achieved without compromising personal or institutional privacy and with due respect for other rights and freedoms quintessential to the American way of life.

TSA supports this directive by consolidating the management of all vetting and credentialing programs within the Office of Transportation Threat Assessment and Credentialing (TTAC). The Office of TTAC manages the following screening programs: Secure Flight, Transportation Worker Identification Credential (TWIC), Hazardous Materials Commercial Driver’s License Endorsement Threat Assessment Program (HTAP), Alien Flight Student Program (AFSP), and [*Crew and*] Other Vetting Programs.

This appropriation also includes other fee-funded vetting programs, two of which were realigned from Aviation Security in the FY 2010 appropriation. These programs include:

- General Aviation at Ronald Reagan National Airport (previously in Aviation Security)
- Indirect Air Cargo (previously in Aviation Security)
- Certified Cargo Screening Program
- Large Aircraft Security Program
- Secure Identification Display Area (FBI Criminal History Record Check (CHRC) only)
- Other Security Threat Assessments to include Private Charter Standard Security Program (PCSSP); Twelve-Five Standard Security Program (TFSSP); and Maryland Three Program (FBI CHRCs only)
- Sensitive Security Information (SSI)

All programs that comprise this appropriation are designed to enhance security for many components of the transportation sector (air, land, sea); and much of the risk-analysis being performed is scalable for use in other sectors of this dynamic network.

TSA's vetting responsibilities have grown significantly in recent years and TSA has responded with the development and implementation of efficient, reliable, and cost-effective terrorist-related screening programs. TTAC currently vets and adjudicates approximately 400,000 cases a week by reviewing and assessing biographic information, and close to 25,000 cases a week based on biometric checks against criminal databases. Additionally, TTAC perpetually vets over 7 million people per day, adjudicates over 12,000 cases per week and responds to over 750 redress requests a week.

B – Budget Activities:

Secure Flight

This program moves airline passenger watch list matching, currently conducted by the airline industry, into one program managed and operated by the Federal government. This consolidation meets the provisions outlined in the Intelligence Reform and Terrorism Prevention Act of 2004 (P.L. 108-458) and the recommendations of the 9/11 Commission. For the purpose of preventing terrorists from boarding an aircraft or accessing the sterile area of the airport, the Secure Flight program uses an automated process to match Secure Flight Passenger Data (SFPD) against records contained in the No-Fly and Selectee portions of the Terrorist Screening Database (TSDB). Initially, the Secure Flight program concentrated on airline passengers traveling on domestic flights within the U.S. and its territories. U.S. Customs and Border Protection (CBP) currently conducts watch list matching for passengers flying into and out of the U.S. through its Advance Passenger Information System (APIS). Per the Secure Flight Final Rule (effective December 29, 2008), both programs will work towards a transition plan for these international flights to be screened through the Secure Flight program and to ensure that domestic and international watch list matching is consistent and uniformly effective.

Secure Flight began program implementation with the first domestic aircraft operator on January 27, 2009. Secure Flight will gradually phase-in additional air carriers until all domestic and international flights (into or out of the U.S.) process passenger data against the TSDB. When fully implemented, Secure Flight will screen more than 2.5 million passengers daily.

Transportation Worker Identification Credential (TWIC)

TWIC establishes an integrated, credential-based, identity verification program through the use of biometric technology. In order to gain unescorted access to the secure areas of U.S. ports, transportation workers are required to undergo a satisfactory security background check before they are issued a TWIC card. The TWIC card is intended to work as an integrated part of any existing or newly-developed access control system deployed by the transportation sectors. TSA conducted a prototype of the TWIC program at 28 port sites primarily focused in three geographic areas (Los Angeles and Long Beach, California; Wilmington, Delaware and Philadelphia, Pennsylvania; and Florida). The Prototype Phase concluded in June 2005, with sustained Prototype operations for a limited number of sites through March 2006. TSA and United States Coast Guard (USCG) have considered the lessons learned during Prototype in developing the TWIC process model and in writing the Notice of Proposed Rulemaking (NPRM) and Final Rule, which was issued on January 25, 2007. The TWIC enrollment process began in October 2007 and within 22 months, TSA enrolled more than 1.3 million workers, including longshoremen, truckers, and port employees who require access into secure areas of U.S. ports. On April 15, 2009, USCG began enforcing the TWIC requirement for workers who need unescorted access to secure areas of U.S. ports. Operational costs of the program are entirely funded from fee revenue.

Hazardous Materials Endorsement Threat Assessment Program (HTAP)

The USA PATRIOT Act prohibits states from issuing a license to transport hazardous materials (hazmat) in commerce unless a determination has been made that the individual does not pose a security risk (49 U.S.C. § 5103a). The Act further requires that this risk assessment include checks of criminal history records, legal status, and relevant intelligence databases. TSA implemented the HTAP to meet this mandate and conducts a security threat assessment on anyone applying to obtain, renew, or transfer a hazardous materials endorsement (HME) on their state-issued commercial drivers license (CDL). The TSA security threat assessment (STA) includes a fingerprint-based criminal history records check (CHRC), a legal status check, and checks for ties to terrorism. The program also fulfills statutory requirements under the Safe Explosives Act. Operational since January 31, 2005, the program has enrolled more than 1.3 million drivers and is entirely funded by fee revenue.

Alien Flight Student Program (AFSP)

Established under the Vision 100 – Century of Aviation Reauthorization Act (P.L. 108-176), AFSP reviews and assesses biographic and biometric information of non-U.S. citizens or any other individual (specified by the Secretary of Homeland Security) applying for training in the operation of any aircraft (having a maximum certificated takeoff weight of more than 12,500 pounds) at both domestic and international Federal

Aviation Administration (FAA) certified flight schools. These persons are subject to an STA based on background and terrorist-based checks. Since its transfer to TSA from the Federal Bureau of Investigation (FBI) in July 2004, this program was expanded to conduct background checks of non-U.S citizens seeking flight training in aircraft weighing under 12,500. This action was taken to mitigate a critical security weakness in the legislation. On April 13, 2009, a notice in the Federal Register was published, allowing TSA the authority to charge a fee to recurrent flight school students for security threat assessments conducted by the agency.

[Crew and] Other Vetting

This activity incorporates personnel and operational cost of vetting operations that are not a part of any of the programs described above, as well as TTAC administrative costs, such as the vetting infrastructure and other related information technology costs. These initiatives include:

- Aviation Credential Interoperability Solution (ACIS) to establish biometric identification
- Aviation Workers (AW) vetting including Secure Identification Area (SIDA) and other airport badge holders Crew Vetting Program (CVP)
- Other Aviation Vetting Programs including DCA Access Standard Security Program (DASSP); Private Charter Standard Security Program (PCSSP); Twelve-Five Standard Security Program (TFSSP); Maryland Three Program and Airspace Waivers (ASW)
- FAA/Airmen Certificate Vetting (through reimbursable agreement)
- Vetting Modernization

Other Vetting Fees

This category incorporates new and existing fees that were shifted from the Aviation Security and Transportation Security Support appropriations to the TTAC appropriation. These fee programs provide revenue to fund STA's and program/system functionality. These initiatives include:

- General Aviation at Ronald Reagan National Airport
- Indirect Air Cargo
- Certified Cargo Screening Program
- Large Aircraft Security Program
- Secure Identification Display Area (FBI CHRCs only)
- Other Security Threat Assessments to include Private Charter Standard Security Program (PCSSP); Twelve-Five Standard Security Program (TFSSP); and Maryland Three Program (FBI CHRCs only)
- Sensitive Security Information (SSI)

C – Budget Request Summary:

For FY 2011, the Transportation Security Administration requests 226 positions, 216 FTE, and \$173,724,000 in appropriated funding; and 47 positions, 46 FTE, and \$37,220,000 in discretionary fee collections. Also included in this appropriation are 6 positions, 6 FTE, and \$4,000,000 in mandatory fee collections. The total adjustments-to-base include 10 FTE and \$1,725,000 in appropriated funding; and \$6,400,000 decrease in fee estimates.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Secure Flight	62	80,377	108	84,363	108	84,637	-	274	-	-	-	274
Other Vetting/Screening Administration and Operations	77	36,175	98	87,636	108	89,087	10	1,451	-	-	10	1,451
Transportation Worker Identification Credential (TWIC) - Direct Appropriation	-	6,521	-	-	-	-	-	-	-	-	-	-
Sub-total (Appropriated)	139	123,073	206	171,999	216	173,724	10	1,725	-	-	10	1,725
Credentialing Fees- Discretionary – User Fees	39	59,335	40	43,620	46	37,220	6	(6,400)	-	-	6	(6,400)
Registered Traveler Program - offsetting fee	2	579	-	-	-	-	-	-	-	-	-	-
Transportation Worker Identification Credential (TWIC) - offsetting fee	22	45,224	21	9,000	21	9,200	-	200	-	-	-	200
HAZMAT - offsetting fee	15	13,552	17	15,000	17	12,000	-	(3,000)	-	-	-	(3,000)
General Aviation-Offsetting Fee	-	-	-	100	-	100	-	-	-	-	-	-
Indirect Air Cargo-Fee	-	-	2	2,600	2	1,400	-	(1,200)	-	-	-	(1,200)
Certified Cargo Screening Program	-	-	-	5,200	6	5,200	6	-	-	-	6	-
Large Aircraft Security Plan	-	-	-	1,600	-	1,200	-	(400)	-	-	-	(400)
Secure Identification Display Area Checks	-	-	-	10,000	-	8,000	-	(2,000)	-	-	-	(2,000)
Other Security Threat Assessments	-	-	-	100	-	100	-	-	-	-	-	-
Sensitive Security Information - Fee	-	-	-	20	-	20	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates (Gross Discretionary)	178	182,428	246	215,619	262	210,944	16	(4,675)	-	-	16	(4,675)
Alien Flight School - mandatory fee	4	5,414	6	4,000	6	4,000	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	182	187,842	252	219,619	268	214,944	16	(4,675)	-	-	16	(4,675)
Less: Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Credentialing Fees- Discretionary – User Fees	-	(88,182)	-	(43,620)	-	(37,220)	-	6,400	-	-	-	6,400
Registered Traveler Program - offsetting fee	-	(93)	-	-	-	-	-	-	-	-	-	-

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Transportation Worker Identification Credential (TWIC) - offsetting fee	-	(76,199)	-	(9,000)	-	(9,200)	-	(200)	-	-	-	(200)
HAZMAT - offsetting fee	-	(11,890)	-	(15,000)	-	(12,000)	-	3,000	-	-	-	3,000
General Aviation-Offsetting Fee	-		-	(100)	-	(100)	-	-	-	-	-	-
Indirect Air Cargo-Fee	-		-	(2,600)	-	(1,400)	-	1,200	-	-	-	1,200
Certified Cargo Screening Program			-	(5,200)	-	(5,200)	-	-	-	-	-	-
Large Aircraft Security Plan			-	(1,600)	-	(1,200)	-	400	-	-	-	400
Secure Identification Display Area Checks			-	(10,000)	-	(8,000)	-	2,000	-	-	-	2,000
Other Security Threat Assessments			-	(100)	-	(100)	-	-	-	-	-	-
Sensitive Security Information - Fee			-	(20)	-	(20)	-	-	-	-	-	-
Net, Discretionary Appropriations and Budget Estimates:	178	\$94,246	246	\$171,999	262	\$173,724	16	(4,675)	-	-	16	(4,675)
Credentiaing Fees- Mandatory Fees												
Alien Flight School Fees	-	(3,617)	-	(4,000)	-	(4,000)	-	-	-	-	-	-

III. Current Services Program Description by PPA

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Secure Flight
Program Performance Justification
(Dollars in Thousands)**

PPA: Secure Flight

	Perm. Pos	FTE	Amount
2009 Actuals	113	62	80,377
2010 Enacted	113	108	84,363
2011 Adjustments-to-Base	-	-	274
2011 Current Services	113	108	84,637
2011 Total Request	113	108	84,637
Total Change 2010 to 2011	-	-	274

TSA requests \$84.6 million for the Secure Flight program, which includes an increase of \$274,000 for pay inflation.

CURRENT SERVICES PROGRAM DESCRIPTION:

Secure Flight's mission is to enhance the security of domestic and international commercial air travel in the United States through the use of improved watch list matching. The program's goals are to:

- Identify known and suspected terrorists;
- Prevent individuals on the No Fly List from boarding an aircraft;
- Provide enhanced screening of individuals on the Selectee List to determine if they are permitted to board an aircraft;
- Facilitate passenger air travel; and
- Protect individuals' privacy.

Transitioning watch list matching to TSA raises the baseline standard of the technology and automation used in the watch list matching process. Secure Flight streamlines the process and makes watch list matching more consistent through the consolidation of this responsibility. This also limits the distribution of the watch list, thereby minimizing the possibility for compromised watch list data. By bringing the watch list matching function into the Federal government, the DHS Traveler Redress Inquiry Program (TRIP) is able

to provide a more consistent application of an integrated redress process for passengers who believe they have been misidentified as a threat. Further, the Secure Flight program expedites law enforcement notification by reducing the time it takes to identify potential matches – from days to minutes.

TSA is committed to engaging the individuals and organizations that will be affected by the Secure Flight program. TSA has adopted a strong security partner engagement approach that includes interactively communicating with key stakeholders, working closely with airlines through the deployment process, and providing materials for public awareness and education.

To date, Secure Flight has achieved the following accomplishments:

- The Secretary of Homeland Security certified on September 24, 2008 that the TSA Secure Flight Program had completed the 10 requirements set forth in Section 522(a) of the *DHS Appropriations Act, 2005* (P.L. 108-334). The Government Accountability Office (GAO) audited the Secure Flight program and briefed majority and minority staff of the House Senate Appropriations Subcommittees on Homeland Security, affirming that TSA has satisfied the critical issues and other conditions in order to begin initial operations.
- The Secure Flight Final Rule was published on October 28, 2008 and became effective on December 29, 2008.
- The proposed Secure Flight changes to the Aircraft Operator Standard Security Program and the Model Security Program were posted on November 7, 2008.
- Parallel testing with three aircraft operators was completed in December 2008 and the system was ready for initial operational capability on January 15, 2009.
- Secure flight received system accreditation and Authority to Operate (ATO) on January 7, 2009.
- The Secure Flight program received Acquisition Review Board approvals at both TSA and DHS for initial operating capability (IOC) and full operating capability (FOC). These approvals through business investment and enterprise architecture reviews gave the program the required approvals to begin production operations with aircraft operators.
- Secure Flight began an initial implementation with volunteer, domestic airlines on January 27, 2009 and was approved for a phase-in implementation of all domestic airlines by DHS in July 2009. A phased-in implementation of international carriers began in October 2009.
- On August 15, 2009, all airlines began collecting domestic passengers' full names as on government-issued IDs, dates of birth and gender at the time of reservation.

At the current service level of \$84.6 million, the Secure Flight program will:

- Continue the roll-out of the Secure Flight program.
- Complete the full implementation slated by CY 2010, with passengers on all covered flights being vetted by the end of CY 2010.

The most significant factor that poses a challenge to the program in meeting scheduled completion dates is the ability of aircraft operators to complete the required technical and operational changes. Presently, TSA remains on track to meet key Secure Flight milestones and remains committed to the implementation schedule.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Other Vetting/Screening Administration and Operations
Program Performance Justification**
(Dollars in Thousands)

PPA: Other Vetting/Screening Administration and Operations

	Perm. Pos	FTE	Amount
2009 Actuals	77	77	36,175
2010 Enacted	113	98	87,636
2011 Adjustments-to-Base	-	10	1,451
2011 Current Services	113	108	89,087
2011 Total Request	113	108	89,087
Total Change 2010 to 2011	-	10	1,451

The Transportation Security Administration requests \$89.1 million to provide funding for the [*Crew and*] Other Vetting Programs. This includes an increase of 10 FTE and \$1.3 million to annualize the additional personnel provided in FY 2010 to support vetting infrastructure improvements as well as \$200,000 for pay increase/COLA.

CURRENT SERVICES PROGRAM DESCRIPTION:

This PPA will provide funding for the administrative and operational needs of the following activities:

[<i>Crew and</i>] Other Vetting Funding (in millions)	FY 2010	FY 2011
Aviation Credential Interoperability Solution ¹	1.9	1.9
Aviation Workers ²	4.3	4.3
Crew Vetting Program	6.7	6.7
Other Aviation Vetting Programs ²	0.4	0.4
Admin and Operations ¹	10.6	10.7
Infrastructure Modernization ¹	63.7	65.1
Total	87.6	89.1

¹ Includes annualized 9/11 Act funding in base

² Reference description write-ups below for programs included

Aviation Credential Interoperability Solution (ACIS) – This initiative is envisioned to lay the foundation for a common, secure biometric identity solution for the aviation community. TSA is continuing development of ACIS concepts around biometrics for the airport industry and facilitating airport implementation of biometric technologies.

Aviation Workers (AW) vetting (including SIDA and other badge holders): The AW Program includes those individuals who apply for, or are issued, personnel identification media at U.S. domestic airports. Prior to receiving any identification media, aviation workers must undergo a successful name-based STA, and if applicable, a Criminal History Records Check (CHRC). The program reviews approximately 450,000 aviation workers annually.

Crew Vetting Program (CVP): CVP screens flight crewmembers on domestic and international flights flying into, out of, or over the continental United States prior to an airport's release of an aircraft for takeoff. Flight crewmembers undergo a name-based STA to determine if they have a terrorist nexus and, if so, TSA would notify the air carrier that the individual cannot have access to United States airspace. The program reviews approximately 2,000,000 flight crewmembers annually.

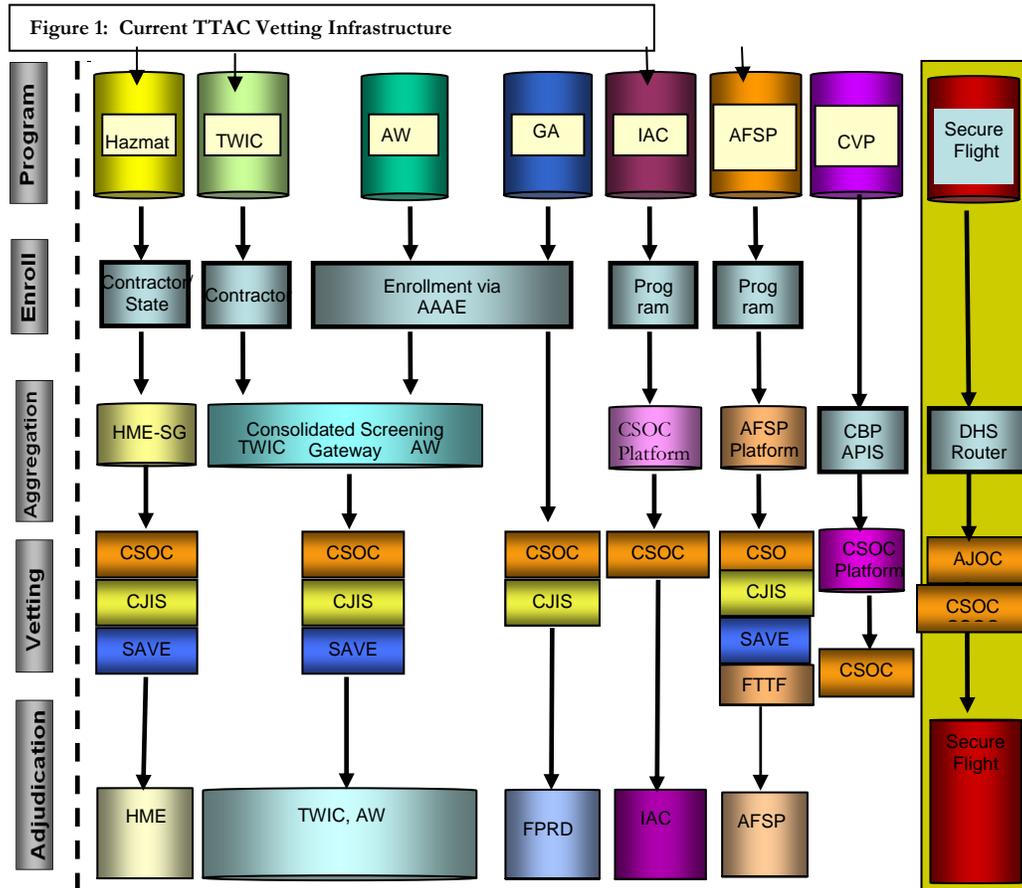
Other Aviation Vetting Programs: Other Aviation Vetting Programs includes DCA Access Standard Security Program (DASSP); Private Charter Standard Security Program (PCSSP); Twelve-Five Standard Security Program (TFSSP); Maryland Three Airports Program, and Airspace waivers program. These programs all require a name-based security threat assessment. Some also require a fingerprint based CHRC. These programs collectively review approximately 156,000 crew members, pilots and waiver applicants annually.

Administration and Operations (A&O): This A&O breakout includes the administrative general expenses for TTAC. It also includes all payroll costs for administrative staff and the programs that fall under Other Vetting, excluding the Infrastructure Modernization. The Infrastructure Modernization payroll costs are included within the TIM sub-group.

TTAC Infrastructure Modernization (TIM): The TIM program will deliver a unified and scalable enterprise architecture to improve vetting and credentialing services to current and future TSA screening populations. The program will reduce the cost, risk, and time associated with implementing new business capabilities, on-boarding new populations, while improving the robust nature of the architecture, and on-going operations and maintenance services. Also, the TIM program will eliminate redundant background checks by working in tandem with TSA's Universal Fee Rule (UFR) initiative.

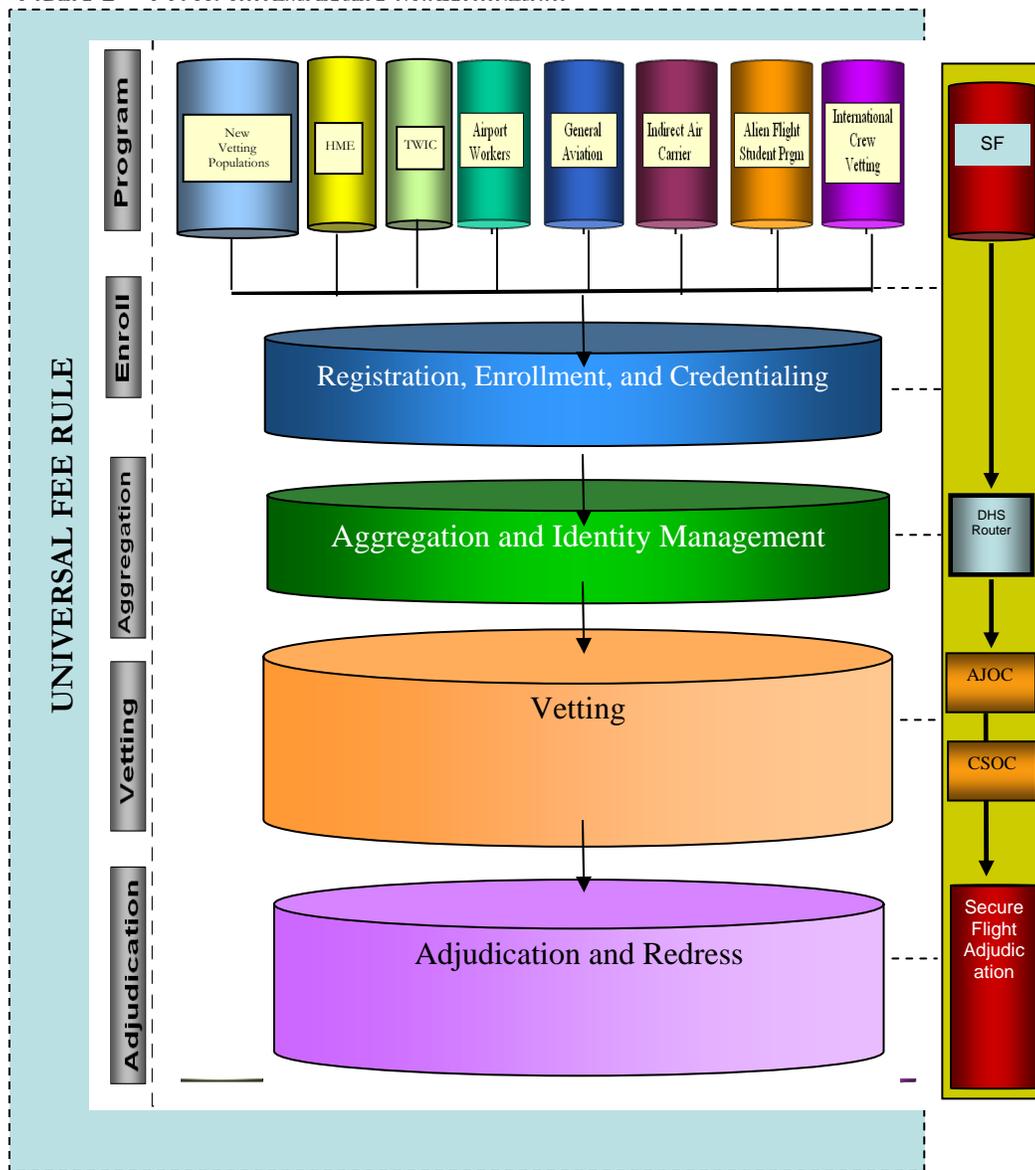
In the past, TSA's vetting programs were quickly implemented to support statutory requirements to respond to screening related security threats. As a result, four years later, TSA is now reliant on multiple implementations of disparate architectures and business

processes developed to support what was then viewed as the unique attributes of individual threat assessment programs (see figure 1 below).



The TIM program will enable policy, business, systems and data integration and drive the development of a person-centric information architecture in accordance with the DHS Credentialing Framework Initiative (CFI). This will be accomplished by consolidating enrollments, identity management services, customer relationship management, credentialing processes, vetting and adjudication and integrating program specific IT systems and business processes (see figure 2 on the next page).

Figure 2 – TTAC Infrastructure Modernization



In concurrence with this modernization effort, TSA is currently working toward the implementation of a common (universal) fee structure that will capitalize on the capabilities of an improved vetting infrastructure. The new universal fee framework would establish comparable security threat assessment services for all vetting activities with a common fee structure. The unified vetting processes and fee structure would reduce redundant vetting and fee remittance for applicants that cross multiple regulated populations. An analysis of the universal fee structure is currently in the developmental phase and is estimated to become effective, at the earliest, during FY 2013. Any such implementation would be conducted through the Federal Rulemaking process. Once the new infrastructure is implemented, TSA will begin phasing in programs that are currently: 1) funded through appropriations, 2) programs that are funded through existing

fees, and 3) programs that will require security threat assessments on newly regulated populations. TSA is working to coordinate the timing of the universal fee structure to coincide with the delivery of the modernization capabilities.

The major contracts for software development and equipment are scheduled to be awarded in FY 2010 and the new system is projected to be completed during FY 2013. During FY 2010 the program will conduct a proof of principle pilot to assess and develop risk mitigation strategies for the complex systems and business integration challenges that lay ahead with the full implementation of the TIM solution. With the implementation of TIM, TSA will soon be in position to support emerging vetting and credentialing population requirements with the following new mission capabilities:

- Business to Government (B2G) Partner Portal Services – a web portal for directly processing enrollment requests and sharing status information with airport badging offices.
- 3rd Party/External System Interface Management Services – a system-to-system (S2S) interface with the US-VISIT IDENT biometrics system for processing airport biometrics (fingerprints).
- Integrated Customer Relationship Management Services – enables improved security threat assessment workflow and more responsive customer service.
- Enterprise Service Management – supports the transformation of the new and legacy system components into reusable services.
- Enterprise Performance Reporting Management Service – provides monitoring and performance management capability to support end-to-end applicant processing.

Starting in FY 2011, Phase II of the infrastructure modernization will result in improved data analysis and information sharing services. TSA will transition from a transportation sector-specific credential/privilege viewing and management of applicant information to a person-centric applicant case and threat assessment management systems. The TIM Program will target the delivery of new and enhanced mission capabilities. Within the identity management services, IDENT biometric vetting and Biometric ID verification will be extended; and the business process reengineering services will include establishing Joint TTAC Customer Service Operations Center and Joint TTAC and Office of Intelligence Threat Assessment Operations Center. Phase II will target the delivery of new and enhanced mission capabilities within the core mission capabilities areas of Adjudication, Reporting and Analysis Services; and Technical Infrastructure consolidation and shared services.

The TIM program aligns with TSA's strategy for innovative use of analytical and detection technologies and techniques to collect and manage information regarding potential threats to persons, cargo, and commerce in the transportation arena and to

disseminate relevant transportation security and intelligence information to appropriate entities in a timely and functional manner. The modernization effort will support Vetting and Credentialing programs across the Department affecting the security of critical infrastructure. To that end, TSA's modernization is being coordinated with the Department's other ongoing information technology modernization efforts and will interact with numerous other systems such as: Treasury Enforcement Communication System (TECS), U.S. Citizens and Immigration's Systematic Alien Verification for Entitlements (SAVE), U.S. Visit's Automated Biometric Fingerprint Identification System (IDENT), and the FBI's Criminal Justice Information System (CJIS).

[Crew and] Other Vetting program accomplishments:

The numerous small vetting programs included in [Crew and] Other Vetting are in operations and maintenance mode and will continue to vet the various populations each fiscal year.

Significant accomplishments in FY 2009 include:

- Continuous vetting of over 8,000,000 distinct individuals in several critical sectors of credentialed or benefit-holding aviation sectors,
- Vetting of more than 13,800,000 individuals on flight crew manifest submissions,
- Vetting of approximately 4,000,000 Airmen Certification Holders, and
- Developed a detailed assessment of the existing TTAC business processes.
- Developed a conceptual "To-Be" business architecture that frames the scope of the modernization program.
- Developed a high-level implementation roadmap to organize TTAC's approach to achieving infrastructure modernization.
- Launched the development of Universal Security Threat Assessment Fee Rule.
- Used results of initial assessments to focus on areas of enrollment and adjudication to target and frame the scope of a Proof of Principle project.
- Drafted the Proof of Principle (Prototype) development acquisition package for risk mitigation.

FY 2010 and FY2011 planned accomplishments:

- Continue defining business processes and system improvements required to accommodate all and new applicant and population screening programs.
- Continue system development and add remaining capabilities.
- Perform testing and evaluation prior to transitioning of populations in FY 2012.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Transportation Worker Identification Credential (TWIC) - Direct Appropriation
Program Performance Justification
(Dollars in Thousands)**

PPA: Transportation Worker Identification Credential (TWIC) - Direct Appropriation

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	-	-	6,521
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	-

In FY 2008, TWIC received a two-year appropriation of \$8.1 million for a card reader pilot project. The \$8.1 million is obligated and TSA expects to draft a final pilot report by the end of 2010. This will conclude the pilot and fee funding will sustain the TWIC program.

CURRENT SERVICES PROGRAM DESCRIPTION:

The TWIC program enhances security by providing a tamper-resistant biometric credential to maritime workers requiring unescorted access to secure areas of port facilities and vessels regulated under the Maritime Transportation Security Act of 2002 (MTSA), (P.L. 107-295). When fully implemented, the program will ensure that the identity of each TWIC holder has been verified; that a satisfactory security background check has been completed on that identity; and that each credential issued is positively linked to the rightful holder through the use of biometric technology.

The TWIC Program is being implemented in the maritime environment in accordance with the spirit and requirements of the Aviation and Transportation Security Act of 2001 (P.L. 107-71) and MTSA. The program will provide a common, consistent biometric credential at over 3,200 facilities and on over 10,000 vessels.

TWIC's personal identity verification standards and credential issuance closely adhere to those of Homeland Security Presidential Directive 12 (HSPD-12) and its implementing standard, Federal Information Processing Standard (FIPS) 201. The TWIC program is on the leading edge of newly released biometric standards and was first to adopt those common biometric standards in the Federal Government. Adhering to these standards will ensure interoperability among physical access control systems that may incorporate different vendor products and technologies. TWIC specifically follows biometric

standards of the American National Standards Institute (ANSI) for its pattern-based fingerprint format operational biometric.

The program continues to work with the National Institute of Standards and Technology (NIST) to ensure compliance with appropriate national standards and to develop technology specifications to support the overall program. Most recently, the program worked with a federal advisory committee, the U.S. Coast Guard's (USCG) National Maritime Security Advisory Committee (NMSAC), to establish recommendations for contact-less biometric and credential readers that would enhance throughput and provide better durability. The NMSAC technology recommendations were published in the Federal Register and public comment was solicited. At the conclusion of the TWIC reader pilot, the program finalized the reader specifications, published a notice of availability in the Federal Register and posted the specification on the TSA Web site.

A Final Rule was issued on January 25, 2007 and addressed over 1,900 comments from the public. The final rule includes important changes from the prototype, such as the ability to provide a discount for Free and Secure Trade (FAST) card holders, documented merchant mariners, and truckers with Hazardous Material Endorsements. The TWIC blueprint was updated to align the system with the Final Rule. These key changes to the program had to be tested to ensure the TWIC technology systems met program requirements and could support nationwide deployment. The program began TWIC cardholder enrollment in the fall of 2007.

After establishing the first enrollment site in Wilmington, Delaware in the fall of 2007, TSA has used a phased-in approach, at each Captain of the Port (COTP) zone, to roll out the program across the nation. Over 150 fixed enrollment centers were established to complete initial enrollments of all maritime workers in 18 months. On April 15, 2009, the USCG began enforcing nationwide the requirement to have a TWIC for all mariners and individuals requiring unescorted access to secure areas of facilities, vessels, and Outer Continental Shelf (OCS) facilities. However, the USCG allowed workers, who were approved for a TWIC and waiting to obtain their card, to continue to work unescorted until May 14, 2009 at select ports.

TSA has enrolled over 1.4 million workers as of December 9, 2009. After completing the initial enrollment of all maritime workers as reflected in anticipated revenues for FY 2010 and FY 2011, the program will move into a sustainment mode, and continue to support enrollment centers nationwide for new maritime workers, workers requiring a replacement card, and workers renewing their TWIC. TSA and USCG work closely with the industry to expedite the enrollment process, working with maritime stakeholders, at the national and local levels, to provide program updates and promote awareness and support for the program. The TWIC deployment contractor has an extensive outreach effort which includes in-person meetings with local port stakeholders and targeted communications materials distributed at each port (well in advance of deployment). Additionally, the program has the TWIC Stakeholder Communications Committee, comprised of maritime stakeholders spanning unions, associations, and government. This

group continues to provide invaluable feedback and recommendations that TSA and USCG act upon accordingly.

The TWIC Program has established applicant fees to sufficiently recover the cost of providing this security service. The standard TWIC Fee is \$132.50 per applicant. A reduced TWIC fee of \$105.25 has also been established for those applicants that previously completed a comparable security threat assessment. The card replacement fee is \$60.00. The credential is valid for five years and revenue generated from these security fees will only be used to support the TWIC program.

In FY 2008, Congress provided \$8.1 million in two-year appropriated funding for TSA to implement an access control technology pilot to test contact-less biometric technologies within the TWIC program. The \$8.1 million has been obligated, and TSA expects to draft a final pilot report by the end of 2010, augmented with data collected from pilot sites where reader installations were not completed until mid-2010. The Early Operational Assessment (EOA) effort began in April 2009 with Initial Technical Testing (ITT) scheduled for completion in December, 2009. System Test and Evaluation (ST&E) began in November 2009. Thirteen percent of the planned 213 readers have been activated at several pilot sites. The remaining readers will be activated during the 2nd and 3rd quarters of FY 2010. No additional funding is requested to complete the pilot test.

Of the \$8.1 million appropriation, \$2.0 million is supporting the program's administrative efforts for the pilot. This work includes: development of bench test protocols and test cards to evaluate readers for their capability to read TWICs; conducting functional and environmental reader testing; and, the implementation of the Integrated Test Agent (ITA) which will plan, conduct, and report on the pilot test. The remaining \$6.1 million provides funding for work and test equipment at test participant facilities and vessels. This work includes: test equipment and software; the development of site-specific test plans and on-site data collection and coordination by the ITA; and travel necessary to support sites.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Transportation Worker Identification Credential (TWIC) - offsetting fee
Program Performance Justification
(Dollars in Thousands)**

PPA: Transportation Worker Identification Credential (TWIC) - offsetting fee

	Perm. Pos	FTE	Amount
2009 Actuals	15	22	45,224
2010 Enacted	21	21	9,000
2011 Adjustments-to-Base	-	-	200
2011 Current Services	21	21	9,200
2011 Total Request	21	21	9,200
Total Change 2010 to 2011	-	-	200

The Transportation Security Administration estimates fee collections of \$9.2 million for the TWIC Program.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Registered Traveler Program - offsetting fee
Program Performance Justification
(Dollars in Thousands)**

PPA: Registered Traveler Program - offsetting fee

	Perm. Pos	FTE	Amount
2009 Actuals	12	2	579
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	-

Although TSA no longer collects fee revenue for the Registered Traveler program, remaining revenue collections are being used for staff and contract support to monitor program status at those airports that continue the program. Once the fee revenue is completely expended, Transportation Security Network Management (TSNM) will continue to monitor the program out of its current base funding.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
HAZMAT - offsetting fee
Program Performance Justification
(Dollars in Thousands)**

PPA: HAZMAT - offsetting fee

	Perm. Pos	FTE	Amount
2009 Actuals	17	15	13,552
2010 Enacted	17	17	15,000
2011 Adjustments-to-Base	-	-	(3,000)
2011 Current Services	17	17	12,000
2011 Total Request	17	17	12,000
Total Change 2010 to 2011	-	-	(3,000)

The Transportation Security Administration estimates fee collection of \$12.0 million in the Hazardous Materials Endorsement Threat Assessment Program (HTAP).

CURRENT SERVICES PROGRAM DESCRIPTION:

The HTAP is a key component of the DHS/TSA layered approach to transportation security. The program was established to fulfill the statutory requirements of both the USA PATRIOT and Safe Explosives Acts to further protect against the threats to transportation posed by terrorists, dangerous criminals, and illegal aliens that may attempt to transport hazardous materials in commerce.

As directed by Congress, TSA established fees to fund the HTAP threat assessment. The fee is comprised of three elements: 1) the cost for collecting and processing fingerprint and application information; 2) the fee the FBI charges to run the fingerprints against the criminal history records; and 3) a TSA program fee to cover costs to administer the program, including conducting the security threat assessments. Payment of the Federal fee is a requirement to undergo the TSA Security Threat Assessment.

TSA charges \$38 for the collection of information, \$17.25 for the FBI fingerprint-based CHRC, and \$34 for the TSA program fee for a total fee of \$89.25. The \$34 TSA program fee is charged to every applicant regardless of the state of issuance. Non-TSA Agent States charge various collection, processing, and fingerprinting fees; the average total fee in non-TSA Agent States is approximately \$89.

States must forward biographic and biometric (fingerprint) information to TSA in an approved and established format to facilitate the security threat assessment process. TSA allowed States to elect to perform the biographic and biometric collection, or utilize a TSA-contracted agent to perform these functions on their behalf. Currently, 12 states collect the required biographic information and biometric data through their individually established and maintained programs and 38 states and the District of Columbia have elected to utilize the TSA-contracted agent. Additionally, drivers registered in a state serviced by the TSA Agent may be fingerprinted in any other state serviced by the TSA Agent.

The HTAP has processed over 1,350,000 applications, and currently processes over 95 percent of applications in five days or less. The HTAP has a robust redress process, including appeals, waivers, and Administrative Law Judge review. In FY 2009, the program conducted threat assessments on 297,473 applicants, a continued increase from the program's inception that confirms the vital role of improving the safety and protection of passengers and freight traveling on our Nation's highways. The request provides full funding from fee revenue to cover TSA's operational costs for this program.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
General Aviation-Offsetting Fee
Program Performance Justification
(Dollars in Thousands)**

PPA: General Aviation/Offsetting Fee

	Perm. Pos	FTE	Amount
2009 Actuals¹	-	-	30
2010 Enacted	-	-	100
2011 Current Services	-	-	100
2011 Total Request	-	-	100
Total Change 2010 to 2011	-	-	-

¹ The FY 2009 actuals are shown here as reference information and were incurred under the Aviation Appropriation.

The Transportation Security Administration requests \$100,000 in fee collection authority to support General Aviation.

CURRENT SERVICES PROGRAM DESCRIPTION

This offsetting collection supports General Aviation flights into Reagan National (DCA) as provided by the Vision 100 – Century of Aviation Reauthorization Act (P.L. 108-176). TSA levies a \$15 fee for each person onboard the flight for security threat assessments and flight authorization services. In addition, a \$296 fee per roundtrip is charged to flight operators for the screening personnel and equipment used to support such flights at DCA. These fee collections cover security threat assessment and program costs associated with the legislated mandate requiring the establishment of a security program to allow General Aviation flights into and out of DCA.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Indirect Air Cargo-Fee
Program Performance Justification
(Dollars in Thousands)**

PPA: Indirect Air Cargo-Fee

	Perm. Pos	FTE	Amount
2009 Actuals¹	3	3	1,144
2010 Enacted	3	2	2,600
2011 Adjustments-to-Base	-	-	(1,200)
2011 Current Services	3	2	1,400
2011 Total Request	3	2	1,400
Total Change 2010 to 2011	-	-	(1,200)

¹ The FY 2009 actuals are shown here as reference information and were incurred under the Aviation Appropriation

The Transportation Security Administration requests \$1.4 million in fee collection authority to support Indirect Air Cargo (IAC).

CURRENT SERVICES PROGRAM DESCRIPTION

This program provides for fee collections supporting security threat assessments of security workers in the air cargo supply chain. TSA levies a \$28 per assessment fee to offset costs of the assessments and program management costs. The total FY 2011 collections from these fees are estimated to be \$1,400,000. This fee is collected in accordance with the Final Rule on Air Cargo Security Requirements and as authorized by the FY 2004 DHS Appropriations Act (P.L. 108-90). The decrease in estimated fees from FY 2010 to FY 2011 is a result of a decrease in the estimated population of the IAC program applicants.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Certified Cargo Screening Program
Program Performance Justification**
(Dollars in Thousands)

PPA: Certified Cargo Screening Program

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	-	-	5,200
2011 Adjustments-to-Base	6	6	-
2011 Current Services	6	6	5,200
2011 Total Request	6	6	5,200
Total Change 2010 to 2011	6	6	-

The Transportation Security Administration requests \$5.2 million in fee collection authority to support the Certified Cargo Screening Program (CCSP).

CURRENT SERVICES PROGRAM DESCRIPTION

This initiative provides for fee collections to fund security threat assessments of certified cargo shippers. The CCSP rulemaking is in progress and the fee is anticipated to begin in FY 2010. The CCSP fee is \$19 per applicant. This program will utilize existing shipping infrastructure to help TSA meet cargo screening mandates.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Large Aircraft Security Plan
Program Performance Justification**
(Dollars in Thousands)

PPA: Large Aircraft Security Plan

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	-	-	1,600
2011 Adjustments-to-Base	-	-	(400)
2011 Current Services	-	-	1,200
2011 Total Request	-	-	1,200
Total Change 2010 to 2011	-	-	(400)

The Transportation Security Administration requests \$1.2 million in fee collection authority to support the Large Aircraft Security Plan (LASP).

CURRENT SERVICES PROGRAM DESCRIPTION

This program change provides for the fee collections to fund security threat assessments for the large aircraft security program. The original LASP Notice of Proposed Rulemaking (NPRM) included language to require all U.S. operators of aircraft over 12,500 maximum gross take-off weight (MTOW) to adopt and implement a TSA-approved security program. The rule is currently undergoing analysis and revision by TSA with additional feedback from industry regarding alternatives to the rule's proposed requirements, and a Supplemental NPRM is expected. The decrease in estimated fees from FY 2010 to FY 2011 is a result of a decrease in the estimated population of the LASP program.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Secure Identification Display Area Checks
Program Performance Justification**
(Dollars in Thousands)

PPA: Secure Identification Display Area Checks

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	-	-	10,000
2011 Adjustments-to-Base	-	-	(2,000)
2011 Current Services	-	-	8,000
2011 Total Request	-	-	8,000
Total Change 2010 to 2011	-	-	(2,000)

The Transportation Security Administration requests \$8.0 million in fee collection authority to support Secure Identification Display Area Checks (SIDA).

CURRENT SERVICES PROGRAM DESCRIPTION

The SIDA fee is used to fund the Federal Bureau of Investigation criminal history records check for those applicants of the SIDA program required for certain airport and air carrier workers. The decrease in estimated fees from FY 2010 to FY 2011 is a result of a decrease in the estimated population of SIDA applicants.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Other Security Threat Assessments
Program Performance Justification**
(Dollars in Thousands)

PPA: Other Security Threat Assessments

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	-	-	100
2011 Current Services	-	-	100
2011 Total Request	-	-	100
Total Change 2010 to 2011	-	-	-

The Transportation Security Administration requests \$100 thousand in fee collection authority to support Other Security Threat Assessments (OSTA).

CURRENT SERVICES PROGRAM DESCRIPTION

The OSTA fee funds the Federal Bureau of Investigation criminal history records check for those applicants required for very small transportation populations not mentioned above, such as private charters, Maryland Three Airports, and air space waivers.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Sensitive Security Information - Fee
Program Performance Justification**
(Dollars in Thousands)

PPA: Sensitive Security Information - Fee

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	-	-	20
2011 Current Services	-	-	20
2011 Total Request	-	-	20
Total Change 2010 to 2011	-	-	-

The Transportation Security Administration requests \$20,000 in discretionary fee collection authority to support Sensitive Security Information (SSI).

CURRENT SERVICES PROGRAM DESCRIPTION

TSA is collecting the SSI fee to fund the Federal Bureau of Investigation criminal history records check for those individuals who require access to SSI.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Alien Flight School - mandatory fee
Program Performance Justification
(Dollars in Thousands)**

PPA: Alien Flight School - mandatory fee

	Perm. Pos	FTE	Amount
2009 Actuals	6	4	5,414
2010 Enacted	6	6	4,000
2011 Current Services	6	6	4,000
2011 Total Request	6	6	4,000
Total Change 2010 to 2011	-	-	-

The Transportation Security Administration estimates \$4.0 million in fee collection for the Alien Flight Student Program (AFSP).

CURRENT SERVICES PROGRAM DESCRIPTION:

AFSP conducts terrorist, immigration, and criminal-background checks on all foreign students applying for flight training in the United States or abroad at FAA certified flight training locations. Applicants are subject to a security threat assessment (STA) in accordance with Vision 100 – Century of Aviation Reauthorization Act (P.L. 108-176). AFSP applicants identified as a “threat to aviation or national security” under this program will be denied training.

The program reviews and assesses both biographic and biometric information to identify individuals who pose a security threat. Prior to the September 11, 2001 attacks, there were no systematic security checks performed on foreign students applying for flight training in the United States or abroad.

Section 612 of the Vision 100 – Century of Aviation Reauthorization Act (P.L. 108-176) transferred the function for screening AFSP applicants from the Attorney General to the Secretary of Homeland Security (and subsequently delegated to the TSA). The Act also gives the Secretary of Homeland Security the authority to establish a fee to offset costs of vetting on first-time AFSP applicants. Beginning May 13, 2009, TSA was given the authority to also impose a fee on recurrent training candidates.

AFSP processed 24,814 basic and 5,440 recurrent flight training fee applications, for a total of 30,254 fee applications in FY 2009. Based on the number of recurrent flight applicants each year, which prior to May 2009 did not pay a fee, TSA anticipates the

number of recurrent flight training applications with a fee to quadruple in FY 2010, to approximately 20,000. Approximately 45,000 flight training fee applications are expected in FY 2010 and 47,000 fee applicants in FY 2011.

The program also began migrating 10-print fingerprints data to a common DHS platform, which will allow for the leveraging of program data to other DHS components. This effort is of particular interest to DHS Immigration and Customs Enforcement's Student and Exchange Visitor Information System and will enhance both programs' capability to more closely monitor attendance and status of students in training.

AFSP currently collects a fee of \$130 per basic applicant. This fee includes \$112.75 for extensive TSA international and domestic threat assessments, and \$17.25 for an FBI criminal history records check. On May 13, 2009, AFSP also began collecting a fee of \$70 per recurrent applicant. The fee includes extensive TSA international and domestic threat assessments and application processing.

IV. Program Justification Changes

Not Applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Transportation Security Administration
Justification of Proposed Changes in
Transportation Threat Assessment and Credentialing
Appropriation Language**

For necessary expenses for the development and implementation of screening programs of the Office of Transportation Threat Assessment and Credentialing, [\$171,999,000] **\$173,724,000** available until September 30, [2011] **2012**. (Department of Homeland Security Appropriations Act, 2010.)

Explanation of Changes:

No substantive changes proposed.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
 Transportation Security Administration
 Transportation Threat Assessment & Credentialing:
 FY2010 to FY2011 Budget Change
 (Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	240	182	187,842
FY 2010 Enacted	273	252	219,619
Adjustments-to-Base	-	-	-
Increases	-	-	-
Annualization of FY 2010 Pay Raise	-	-	123
Annualization of prior year funding	-	10	1,273
FY 2011 Pay Increase	-	-	340
Fee Adjustment	-	-	200
2011 Fee Adjustment	6	6	-
Total Increases	6	16	1,936
Decreases	-	-	-
Other Pay Adjustment	-	-	(11)
Fee Adjustment	-	-	(6,600)
Total Decreases	-	-	(6,611)
Total, Adjustments-to-Base	6	16	(4,675)
FY 2011 Current Services	279	268	214,944
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	279	268	214,944
FY 2010 to FY 2011 Total Change	6	16	(4,675)

C. Summary of Requirements

**Department of Homeland Security
 Transportation Security Administration
 Transportation Threat Assessment & Credentialing:
 Summary of Requirements
 (Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	240	182	187,842
FY 2010 Enacted	273	252	219,619
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	6	16	1,936
Decreases	-	-	(6,611)
Total, Adjustments-to-Base	6	16	(4,675)
FY 2011 Current Services	279	268	214,944
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	279	268	214,944
Total Change 2010 to 2011	6	16	(4,675)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Secure Flight	113	108	84,363	113	108	84,637	-	-	274	-	-	-	-	-	274
Other Vetting/Screening Administration and Operations	113	98	87,636	113	108	89,087	-	10	1,451	-	-	-	-	10	1,451
Transportation Worker Identification Credential (TWIC) - offsetting fee	21	21	9,000	21	21	9,200	-	-	200	-	-	-	-	-	200
HAZMAT - offsetting fee	17	17	15,000	17	17	12,000	-	-	(3,000)	-	-	-	-	-	(3,000)
General Aviation-Offsetting Fee	-	-	100	-	-	100	-	-	-	-	-	-	-	-	-
Indirect Air Cargo-Fee	3	2	2,600	3	2	1,400	-	-	(1,200)	-	-	-	-	-	(1,200)
Certified Cargo Screening Program	-	-	5,200	6	6	5,200	6	6	-	-	-	-	6	6	-
Large Aircraft Security Plan	-	-	1,600	-	-	1,200	-	-	(400)	-	-	-	-	-	(400)
Secure Identification Display Area Checks	-	-	10,000	-	-	8,000	-	-	(2,000)	-	-	-	-	-	(2,000)
Other Security Threat Assessments	-	-	100	-	-	100	-	-	-	-	-	-	-	-	-
Sensitive Security Information - Fee	-	-	20	-	-	20	-	-	-	-	-	-	-	-	-
Alien Flight School - mandatory fee	6	6	4,000	6	6	4,000	-	-	-	-	-	-	-	-	-
Subtotal, Estimates Program Project Activity	273	252	219,619	279	268	214,944	6	16	(4,675)	-	-	-	6	16	(4,675)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	273	252	219,619	279	268	214,944	6	16	(4,675)	-	-	-	6	16	(4,675)

D. Summary of Reimbursable Resources

**Department of Homeland Security
 Transportation Security Administration
 Transportation Threat Assessment & Credentialing:
 Summary of Reimbursable Resources
 (Dollars in Thousands)**

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
US VISIT	-	-	816	-	-	816	-	-	1,700	-	-	884
Federal Aviation Administration	-	-	500	-	-	500	-	-	500	-	-	-
Total Budgetary Resources	-	-	1,316	-	-	1,316	-	-	2,200	-	-	884

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
Other Vetting/Screening Administration and Operations	-	-	1,316	-	-	1,316	-	-	2,200	-	-	884
Total Obligations	-	-	1,316	-	-	1,316	-	-	2,200	-	-	884

E. Summary of Requirements by Object Class

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	19,085	27,393	30,476	3,083
11.3 Other than full-time permanent	50	200	225	25
11.5 Other personnel compensation	780	1,108	1,214	106
11.6 Pay Diff (Sun/Night)	757	-	-	-
12.1 Benefits	4,506	7,469	8,275	806
21.0 Travel	92	525	751	226
22.0 Transportation of things	199	71	306	235
23.2 Other rent	2,954	5,500	5,550	50
23.3 Communications, utilities, and misc. charges	326	1,082	1,152	70
25.1 Advisory and assistance services	21,297	30,610	29,815	(795)
25.2 Other services	84,873	101,747	94,796	(6,951)
25.3 Purchases from Gov't accts.	22,076	160	0	(160)
25.4 O&M of facilities	172	18,076	19,980	1,904
25.7 Operation and maintenance of equipment	932	219	2,100	1,881
26.0 Supplies and materials	180	315	315	-
31.0 Equipment	29,563	25,144	19,989	(5,155)
Total, Object Class	187,842	219,619	214,944	(4,675)
Total, Direct Obligations	187,842	219,619	214,944	(4,675)
Unobligated balance, start of year	(47,476)	(47,476)	-	-
Unobligated balance, end of year	46,400	47,476	-	-
Recoveries of prior year obligations	1,076	-	-	-
Total Requirements	\$187,842	\$219,619	\$214,944	

F. Permanent Positions by Grade

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	2	2	2	-
L Band	8	9	9	-
K Band	53	60	62	2
J Band	84	97	99	2
I Band	38	43	44	1
H Band	31	35	36	1
G Band	14	16	16	-
F Band	10	11	11	-
Total Permanent Positions	240	273	279	6
Unfilled Positions EOY	58	21	11	(10)
Total Permanent Employment EOY	182	252	268	16
Full Time Equivalents	182	252	268	16
Headquarters	240	273	279	6
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total, Location	240	273	279	6
Average ES Salary	\$161,544	\$164,775	\$167,082	\$2,307
Average Salary, Banded Positions	\$107,152	\$109,295	\$110,825	\$1,530
Average Band	J	J	J	J

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Secure Flight
Funding Schedule
(Dollars in Thousands)**

PPA: Secure Flight	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	6,612	12,800	14,560	1,760
11.3 Other than full-time permanent	2	200	225	25
11.5 Other personnel compensation	196	270	290	20
11.6 Pay Diff (Sun/Night)	357	-	-	-
12.1 Benefits	1,503	2,886	3,650	764
21.0 Travel	34	200	200	-
22.0 Transportation of things	4	1	1	-
23.2 Other rent	2,952	4,500	4,500	-
23.3 Communications, utilities, and misc. charges	299	837	900	63
25.1 Advisory and assistance services	20,483	19,000	17,500	(1,500)
25.2 Other services	10,116	18,590	20,611	2,021
25.3 Purchases from Gov't accts.	12,023	-	-	-
25.4 O&M of facilities	172	18,076	19,980	1,904
26.0 Supplies and materials	52	220	220	-
31.0 Equipment	25,572	6,783	2,000	(4,783)
Total, Object Class	80,377	84,363	84,637	274
Total, Secure Flight	80,377	84,363	84,637	274
Full Time Equivalents	62	108	108	-

PPA Mission Statement

The mission of the Secure Flight Program is to significantly improve the Federal Government's ability to prevent terrorists from boarding aircraft, help move passengers through airport screening more quickly, and reduce the number of individuals selected for secondary screening, while fully protecting passengers' privacy and civil liberties.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	6,612	12,800	14,560	1,760

The increase provides for the cost of living adjustment for Secure Flight.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	2	200	225	25

The increase provides for the cost of living adjustment for Secure Flight.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	196	270	290	20

The increase provides for the cost of living adjustment for Secure Flight.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	1,503	2,886	3,650	764

The increase provides for the cost of living adjustment for Secure Flight.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	34	200	200	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	4	1	1	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	2,952	4,500	4,500	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes an increase for increased rent related to the roll out of the Secure Flight platform.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	299	837	900	63

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, and utility services. TSA is dependent upon communications lines and utilities to run the Secure Flight platform. The increase of \$63K in FY 2011 is to account for an increase of communication and utility costs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	20,483	19,000	17,500	(1,500)

Advisory and assistance services include services acquired by contract from non-Federal sources (that are private sector, foreign governments, State and local governments, tribes, etc) as well as from other units within the Federal Government. The FY 2011 request includes a decrease of \$1,500K as the final roll out of Secure Flight will be completed.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	10,116	18,590	20,611	2,021

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25. Contracting services will be the primary vehicle by which the Secure Flight program will be implemented and operated in regard to connectivity with air carriers and the processing of security checks. The FY 2011 request includes an increase of \$2,021K as a result of the O&M costs and completion of the Secure Flight platform, and non-pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	172	18,076	19,980	1,904

Provides for the operation and maintenance of information technology systems used to support the Secure Flight program. The FY 2011 increase of \$1,904K is a result of the completion of the Secure Flight platform in FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	52	220	220	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	25,572	6,783	2,000	(4,783)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. These costs include equipment that will be purchased for the Secure Flight program outside of contracts for rollout and sustainment of the program. The FY 2011 request includes a decrease of \$4,783 as a result of the completion of the Secure Flight platform in FY 2010.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Other Vetting/Screening Administration and Operations
Funding Schedule
(Dollars in Thousands)**

PPA: Other Vetting/Screening Administration and Operations	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	8,150	9,984	11,307	1,323
11.5 Other personnel compensation	271	694	780	86
11.6 Pay Diff (Sun/Night)	400	-	-	-
12.1 Benefits	1,751	3,328	3,370	42
21.0 Travel	8	229	235	6
22.0 Transportation of things	14	40	45	5
23.2 Other rent	-	1,000	1,050	50
23.3 Communications, utilities, and misc. charges	25	243	250	7
25.1 Advisory and assistance services	-	10,850	10,875	25
25.2 Other services	21,416	44,043	44,000	(43)
25.7 Operation and maintenance of equipment	932	128	200	72
26.0 Supplies and materials	110	-	-	-
31.0 Equipment	3,098	17,097	16,975	(122)
Total, Object Class	36,175	87,636	89,087	1,451
Total, Other Vetting/Screening Administration and Operations	36,175	87,636	89,087	1,451
Full Time Equivalents	77	98	108	10

PPA Mission Statement

The mission of the Screening Administration and Operations is to help support the identification of individuals deemed as potential terrorists or who pose a security threat to either aviation or national security.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	8,150	9,984	11,307	1,323

The increase provides for the annualization of FTE and the cost of living adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	271	694	780	86

The increase provides for the annualization of FTE and the cost of living adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	1,751	3,328	3,370	42

The increase provides for the annualization of FTE and the cost of living adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	8	229	235	6

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 increase of \$6K reflects increased travel needs for the [Crew and] Other Vetting Programs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	14	40	45	5

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things. The FY 2010 increase of \$5,000 reflects an increase in transportation needs for the Other Vetting/SAO Program.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	-	1,000	1,050	50

Rent includes all payments to a GSA managed source for rental space, land, and structures. The FY 2011 request includes an increase of \$50K for additional rental space needed for the [Crew and] Other Vetting Programs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	25	243	250	7

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, and utility services. TSA is dependant upon communications lines and utilities to run the vetting systems. The FY 2010 increase of \$7,000 includes inflation and reflects an increase for the Other Vetting/SAO Program.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	10,850	10,875	25

Advisory and assistance services include services acquired by contract from non-Federal sources (that are private sector, foreign governments, State and local governments, tribes, etc) as well as from other units within the Federal Government. TSA uses these services to provide program management, technical and logistical support as well as evaluations. The FY 2011 increase of \$25K reflects an increase for the [Crew and] Other Vetting Programs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	21,416	44,043	44,000	(43)

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25. Contracting services are used extensively in the systems operation and case adjudication of the Alien Flight Student program. These contracts will also support SIDA, 12/5 Charter Pilots, MD-3 Airports and the Temporary Flight Restriction programs. [Crew and] Other Vetting Programs has a planned decrease of \$43K.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	932	128	200	72

Supports the operation and maintenance of information technology systems used to perform name checks for SIDA, 12/5 Charter Pilots, MD-3 Airports, and the Temporary Flight Restriction program. The FY 2011 increase of \$72K reflects an increase in O&M of equipment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	110	-	-	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	3,098	17,097	16,975	(122)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 decrease of \$122K reflects a decrease for the [Crew and] Other Vetting Programs.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Transportation Worker Identification Credential (TWIC) - Direct Appropriation
Funding Schedule
(Dollars in Thousands)**

PPA: Transportation Worker Identification Credential (TWIC) - Direct Appropriation	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	6,521	-	-	-
Total, Object Class	6,521	-	-	-
Total, Transportation Worker Identification Credential (TWIC) - Direct Appropriation	6,521	-	-	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The mission of the TWIC Program is to establish an integrated, credential-based, identity verification program through the use of biometric technology to grant workers unescorted access to secure areas within the nation's transportation system.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	6,521	-	-	-

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Registered Traveler Program - offsetting fee
Funding Schedule
(Dollars in Thousands)**

PPA: Registered Traveler Program - offsetting fee	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	46	-	-	-
25.1 Advisory and assistance services	72	-	-	-
25.2 Other services	461	-	-	-
Total, Object Class	579	-	-	-
Total, Registered Traveler Program - offsetting fee	579	-	-	-
Full Time Equivalents	2	-	-	-

PPA Mission Statement

The mission of the Registered Traveler (RT) pilot was to increase the efficiency with which screeners and security resources are aligned. The pilot concluded July 30, 2008. FY 2008 was the last fiscal year that TSA collected RT fees.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	46	-	-	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is necessary to conduct on-site reviews and participate in meetings with maritime port operators and other TWIC program stakeholders. Although TSA no longer collects fee revenue for the Registered Traveler program, remaining revenue collections are being used for staff and contract support to monitor program status at those airports that continue the program.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	72	-	-	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that are private sector, foreign governments, State and local governments, tribes, etc) as well as from other units within the Federal Government. Although TSA no longer collects fee revenue for the Registered Traveler program, remaining revenue collections are being used for staff and contract support to monitor program status at those airports that continue the program.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	461	-	-	-

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25. Although TSA no longer collects fee revenue for the Registered Traveler program, remaining revenue collections are being used for staff and contract support to monitor program status at those airports that continue the program.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Transportation Worker Identification Credential (TWIC) - offsetting fee
Funding Schedule
(Dollars in Thousands)**

PPA: Transportation Worker Identification Credential (TWIC) - offsetting fee	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	2,208	2,207	2,207	-
11.5 Other personnel compensation	164	28	28	-
12.1 Benefits	772	580	580	-
21.0 Travel	-	26	200	174
22.0 Transportation of things	181	23	250	227
25.1 Advisory and assistance services	742	20	700	680
25.2 Other services	30,596	4,534	2,254	(2,280)
25.3 Purchases from Gov't accts.	9,669	160	-	(160)
25.7 Operation and maintenance of equipment	-	91	1,900	1,809
26.0 Supplies and materials	8	81	81	-
31.0 Equipment	884	1,250	1,000	(250)
Total, Object Class	45,224	9,000	9,200	200
Total, Transportation Worker Identification Credential (TWIC) - offsetting fee	45,224	9,000	9,200	200
Full Time Equivalents	22	21	21	-

PPA Mission Statement

The mission of the TWIC Program is to establish an integrated, credential-based, identity verification program through the use of biometric technology to grant workers unescorted access to secure areas within the nation's transportation system.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	-	26	200	174

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is necessary to conduct on-site reviews and meetings with maritime port operators and other TWIC program stakeholders. The increase of \$174K properly accounts for travel needs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	181	23	250	227

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things. The increase of \$227K is to properly account for transportation of things in the TWIC program.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	742	20	700	680

Advisory and assistance services include services acquired by contract from non-Federal sources (that are private sector, foreign governments, State and local governments, tribes, etc) as well as from other units within the Federal Government. TSA uses these types of contracts to assist in the development and implementation of the TWIC program. The increase of \$680K is a result of additional assistance services needed by the TWIC program.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	30,596	4,534	2,254	(2,280)

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25. Contracting services will include the adjudication of cases where individuals are denied a TWIC card. The decrease of \$2,280K is because of the continued decrease in contractor staffing needed after the initial surge of enrollments, and Government personnel will complete the majority of vetting and adjudication services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	9,669	160	-	(160)

Includes contracts with federal agencies for background check services including the FBI for fingerprint based checks and/or name based checks for these vetting programs. The decrease is a result of the completion of the initial surge of TWIC applicants.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	-	91	1,900	1,809

Supports the operation and maintenance of information technology systems used for the TWIC program. The increase of \$1,809K is a result of the TWIC program being in the O&M stage in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	8	81	81	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	884	1,250	1,000	(250)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. These costs include equipment that will be purchased for the TWIC program outside of contracts for implementation and sustainment of the program. The decrease is a result of the completion of the initial surge of TWIC applicants.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
HAZMAT - offsetting fee
Funding Schedule
(Dollars in Thousands)**

PPA: HAZMAT - offsetting fee	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,606	1,632	1,632	-
11.3 Other than full-time permanent	48	-	-	-
11.5 Other personnel compensation	117	70	70	-
12.1 Benefits	353	443	443	-
21.0 Travel	-	64	110	46
22.0 Transportation of things	-	7	10	3
23.2 Other rent	2	-	-	-
23.3 Communications, utilities, and misc. charges	2	2	2	-
25.1 Advisory and assistance services	-	740	740	-
25.2 Other services	11,422	12,042	8,993	(3,049)
26.0 Supplies and materials	2	-	-	-
Total, Object Class	13,552	15,000	12,000	(3,000)
Total, HAZMAT - offsetting fee	13,552	15,000	12,000	(3,000)
Full Time Equivalents	15	17	17	-

PPA Mission Statement

The mission of the HazMat Program is to support public safety by ensuring that all commercial drivers transporting hazardous materials are thoroughly checked against terrorist and criminal databases and receive the appropriate endorsement from DHS.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,606	1,632	1,632	-

Salary and Benefits provides for the cost of living adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	48	-	-	-

Salary and Benefits provides for the cost of living adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	117	70	70	-

Salary and Benefits provides for the cost of living adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	353	443	443	-

Salary and Benefits provides for the cost of living adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	-	64	110	46

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is necessary to conduct on-site reviews and meetings with state and local stakeholders in the HazMat CDL program.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	-	7	10	3

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things. The increase of \$3K is for additional cost of transportation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	2	2	2	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, and utility services. TSA is dependent upon communications lines and utilities to run the various systems that facilitate the vetting and adjudication of the HazMat CDL checks.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	740	740	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that are private sector, foreign governments, State and local governments, tribes, etc) as well as from other units within the Federal Government. TSA uses these types of contracts to assist in the efficiency and effectiveness of the HazMat CDL program.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	11,422	12,042	8,993	(3,049)

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25. Contracting services are used extensively in the systems operation and case adjudication of the HazMat CDL program. The decrease of \$3,049K is a result of fewer contractual obligations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	2	-	-	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
General Aviation-Offsetting Fee
Funding Schedule
(Dollars in Thousands)**

PPA: General Aviation/Offsetting Fee	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	90	90	-
26.0 Supplies and materials	-	10	10	-
Total, Object Class	-	100	100	-
Total, General Aviation/Offsetting Fee	-	100	100	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

This funding is the fee collection supporting General Aviation flights into DCA as provided by the Vision 100 Act.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	90	90	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request has no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	-	10	10	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request has no change.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Indirect Air Cargo-Fee
Funding Schedule
(Dollars in Thousands)**

PPA: Indirect Air Cargo-Fee	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	227	227	-
11.5 Other personnel compensation	-	11	11	-
12.1 Benefits	-	56	56	-
25.2 Other services	-	2,306	1,106	(1,200)
Total, Object Class	-	2,600	1,400	(1,200)
Total, Indirect Air Cargo-Fee	-	2,600	1,400	(1,200)
Full Time Equivalents	-	2	2	-

PPA Mission Statement

This funding is the fee collection supporting General Aviation flights into DCA as provided by the Vision 100 Act and the fee collection supporting security threat assessments of security workers in the air cargo supply chain.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	227	227	-

Salary and Benefits provides for the cost of living adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	-	11	11	-

Salary and Benefits provides for the cost of living adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	-	56	56	-

Salary and Benefits provides for the cost of living adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	2,306	1,106	(1,200)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The fee reduction is due to a decrease in new population from FY 2010 to FY 2011 who require security threat assessments. Once the security threat assessment is completed on the base population, only new applicants subject to a security threat assessment are from industry growth and turnover. Thus, the decrease is directly related a maturing program that has provided service to and collected fees from most of the base population and is servicing only growth and turnover of the regulated population.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Certified Cargo Screening Program
Funding Schedule
(Dollars in Thousands)**

PPA: Certified Cargo Screening Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	5,200	5,200	-
Total, Object Class	-	5,200	5,200	-
Total, Certified Cargo Screening Program	-	5,200	5,200	-
Full Time Equivalents	-	-	6	6

PPA Mission Statement

This funding supports security fee collections to fund security threat assessments for the Certified Cargo Screening Program. The program will utilize existing shipping infrastructure to help TSA meet cargo screening mandates.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	5,200	5,200	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request has no change.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Large Aircraft Security Plan
Funding Schedule
(Dollars in Thousands)**

PPA: Large Aircraft Security Plan	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	1,600	1,200	(400)
Total, Object Class	-	1,600	1,200	(400)
Total, Large Aircraft Security Plan	-	1,600	1,200	(400)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

This funding supports security fee collections to fund security threat assessments required for certain airport and air carrier workers.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	1,600	1,200	(400)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The fee reduction is due to a decrease in new population from FY 2010 to FY 2011 who require security threat assessments. Once the security threat assessment is completed on the base population, only new applicants subject to a security threat assessment are from industry growth and turnover. Thus, the decrease is directly related a maturing program that has provided service to and collected fees from most of the base population and is servicing only growth and turnover of the regulated population.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Secure Identification Display Area Checks
Funding Schedule
(Dollars in Thousands)**

PPA: Secure Identification Display Area Checks	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	10,000	8,000	(2,000)
Total, Object Class	-	10,000	8,000	(2,000)
Total, Secure Identification Display Area Checks	-	10,000	8,000	(2,000)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

This funding supports security fee collections to fund other security threat assessments that are required for very small transportation populations not mentioned above.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	10,000	8,000	(2,000)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. For the Secure Identification Display Area Checks, the fee reduction is due to a decrease in population from FY 2010 to FY 2011. In this mature program, the base population has completed security threat assessments, so only turnover population and applicant renewals are subject to security threat assessments. It appears that the aviation industry is experiencing the effects of the economic decline and the regulated population is experiencing an overall decline. Thus, there is less employee turnover and limited, if any, new entrants into the population.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Other Security Threat Assessments
Funding Schedule
(Dollars in Thousands)**

PPA: Other Security Threat Assessments	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	100	100	-
Total, Object Class	-	100	100	-
Total, Other Security Threat Assessments	-	100	100	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Screening Partnership Program (SPP) allows an airport operator to submit an application to have screening carried out by a qualified private screening company. The contractor must perform under federal oversight and the contracted screeners must perform at the same or at higher performance levels as federal TSOs.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	100	100	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request has no change.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Sensitive Security Information - Fee
Funding Schedule
(Dollars in Thousands)**

PPA: Sensitive Security Information - Fee	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	20	20	-
Total, Object Class	-	20	20	-
Total, Sensitive Security Information - Fee	-	20	20	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

TSA is collecting the portion of SSI fee that is used to fund the Federal Bureau of Investigation criminal history records check for those applicants of the SSI program.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	20	20	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Alien Flight School - mandatory fee
Funding Schedule
(Dollars in Thousands)**

PPA: Alien Flight School (by transfer from DOJ) - mandatory fee	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	509	543	543	-
11.5 Other personnel compensation	32	35	35	-
12.1 Benefits	127	176	176	-
21.0 Travel	4	6	6	-
25.2 Other services	4,341	3,222	3,222	-
25.3 Purchases from Gov't accts.	384	-	-	-
26.0 Supplies and materials	8	4	4	-
31.0 Equipment	9	14	14	-
Total, Object Class	5,414	4,000	4,000	-
Total, Alien Flight School (by transfer from DOJ) - mandatory fee	5,414	4,000	4,000	-
Full Time Equivalents	4	6	6	-

PPA Mission Statement

The mission of the Alien Flight Student Program is to help identify individuals deemed as potential terrorists or who pose a security threat to either aviation or national security. This program reviews and assesses biographic and biometric information of non-U.S. citizens and other individuals who seek flight training at FAA certified flight schools located both inside and outside the United States.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	509	543	543	-

Salary and Benefits provides for the cost of living adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	32	35	35	-

Salary and Benefits provides for the cost of living adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	127	176	176	-

Salary and Benefits provides for the cost of living adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	4	6	6	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is necessary to conduct on-site reviews and meetings with state and local stakeholders in the Alien Flight Student Program.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	4,341	3,222	3,222	-

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25. Contracting services are used extensively in the systems operation and case adjudication of the Alien Flight Student program.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	384	-	-	-

Alien Flight Student program contracts with federal agencies for background check services including the FBI for fingerprint based checks on each applicant.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	8	4	4	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	9	14	14	-

To purchase hardware and software used to support the program.

I. Changes in Full Time Equivalent

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing:
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	182	182	252
INCREASES	-	-	-
Adjusted for EOY Actuals		-	-
Increases		-	-
Other Vetting- Annualize FY 2008 9/11 FTE		13	
Other Vetting- Annualize FY 2009 Program Increase		9	
Other Vetting FY 2010 Program Increase for Infrastructure		11	-
Secure Flight Annualization of FY09 Program Increase		11	-
Conversion of contracting resources to inherently governmental positions		17	-
Other Adjustments		9	-
Annualization of prior year funding		-	10
2011 Fee Adjustment		-	6
Subtotal, Increases		70	16
DECREASES	-	-	-
Adjusted for EOY Actuals		-	-
Decreases		-	-
Subtotal, Decreases		0	-
Year End Actual / Estimated FTEs:	182	252	268
Net Change from prior year base to Budget Year Estimate:		70	16

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
 Transportation Security Administration
 Transportation Threat Assessment & Credentialing:
 FY 2011 Schedule of Working Capital Fund by Program/Project Activity
 (Dollars in Thousands)**

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Total Working Capital Fund	-	-	-	-

Department of Homeland Security
Transportation Security Administration
Transportation Security Support:



Fiscal Year 2011
Overview
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Transportation Security Support:

I. Appropriation Overview

A – Mission Statement for Transportation Security Support:

The Transportation Security Administration (TSA) is an agency of over 50,000 personnel, with approximately \$7.4 billion in budget authority, substantial regulatory and law enforcement authority, and a nationwide presence. The management and support of the organization is accomplished by a transportation security support staff in Washington, D.C. and five strategically located Mission Support Centers (MSCs). TSA has developed and will maintain a flat organizational structure that emphasizes front-line service delivery with well-trained managers.

B – Budget Activities:

Intelligence - The Office of Intelligence (INTEL) receives, assesses, and distributes intelligence information to support TSA's mission of securing the transportation system. INTEL also conducts strategic operational and tactical risk-based security planning.

HQ Administration - Headquarters Administration provides all aspects of the support infrastructure required to sustain TSA's nation-wide operations. These activities include serving as the central point on policy development, performance management, facilities management, financial management, acquisition, protecting civil rights, legal advice, internal conduct and audits, and providing a safe and healthful work environment for employees.

Human Capital Services - The Office of Human Capital Services (OHCS) includes all services that support the recruitment, assessment, servicing, and payroll of TSA's employees at headquarters, field, airports, and other locations. The Office maintains oversight of all human resources contractual activities, and provides advice and counsel to senior managers on personnel issues.

Information Technology - Information Technology provides the IT infrastructure and services to maintain connectivity, provide productivity tools, and support Headquarters and field corporate applications.

C – Budget Request Summary:

The Transportation Security Administration requests 1,668 positions, 1,558 FTE, and \$1,052,369,000 in appropriated funding for Transportation Security Support in FY 2011. The total adjustments-to-base include 13 FTE and reduction of \$3,577,000. The program changes include a total increase of 86 positions, 44 FTE, and \$54,166,000:

- Increase Intelligence: 31 positions, 16 FTE, and \$6,620,000,
- Increase Headquarters Administration: 55 positions, 28 FTE, and \$21,612,000
- Increase Human Capital Services: 0 positions, 0 FTE, and \$22,871,000
- Increase Information Technology: 0 positions, 0 FTE, and \$11,160,000
- Reduce corporate training: 0 positions, 0 FTE, and \$1,000,000, and
- Reduce information technology across-the-board: 0 positions, 0 FTE, and \$7,097,000.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security Transportation Security Administration Transportation Security Support:

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Intelligence	124	23,007	167	28,203	202	37,788	35	9,585	16	6,620	19	2,965
Headquarters Administration	876	245,205	963	248,929	985	271,399	22	22,470	28	21,612	(6)	858
Human Capital Services	181	192,543	222	226,338	222	262,747	-	36,409	-	21,871	-	14,538
Information Technology	125	476,880	149	498,310	149	480,435	-	(17,875)	-	4,063	-	(21,938)
Research and Development Consolidation	-	2,862	-	-	-	-	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	1,306	940,497	1,501	1,001,780	1,558	1,052,369	57	50,589	44	54,166	13	(3,577)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	1,306	940,497	1,501	1,001,780	1,558	1,052,369	57	50,589	44	54,166	13	(3,577)

III. Current Services Program Description by PPA

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Intelligence
Program Performance Justification**
(Dollars in Thousands)

PPA: Intelligence

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	155	124	23,007
2010 Enacted	180	167	28,203
2011 Adjustments-to-Base	15	19	2,965
2011 Current Services	195	186	31,168
2011 Program Change	31	16	6,620
2011 Total Request	226	202	37,788
Total Change 2010 to 2011	46	35	9,585

The Transportation Security Administration requests \$37.8 million for the Office of Intelligence. The adjustments-to-base include \$95,000 in pay annualization, \$231,000 in pay inflation, 6 FTE and \$770,000 for annualization of FY 2010 program increase, 13 FTE and \$1.9 million for program realignment, and 16 FTE and \$6.6 million for program increase.

CURRENT SERVICES PROGRAM DESCRIPTION

The Office of Intelligence (INTEL) provides TSA an organic capability to review, synthesize, and analyze transportation specific intelligence and provide comprehensive and cogent analytic products. It is the only Federal intelligence entity focused solely on the transportation sector. INTEL coordinates closely and shares information with DHS Intelligence & Analysis (DHS-I&A), the Intelligence Community (IC), the intelligence sections of law enforcement agencies, and the transportation industry. To facilitate collaboration and provide rapid analysis and notification of threats, the office assigns Field Intelligence Officers (FIOs) at key transportation nodes and places liaison officers at key IC and law enforcement agencies.

INTEL is critical to TSA's overall risk-based security strategy and the intelligence products generated provide the threat framework utilized to prioritize security resources. These products are regularly used by TSA senior leadership, the Federal Security Directors (FSDs), the Federal Air Marshal Service (FAMS), and the transportation industry to guide decisions. INTEL operates and maintains 24/7 intelligence capabilities at TSA Headquarters and the TSA Freedom Center to disseminate warnings and notifications of credible and immediate threats. INTEL also assists in coordinating domestic and international civil aviation and other modal security intelligence activities with other government agencies.

In order to perform its mission, INTEL provides and maintains Top Secret and Secret Collateral classified information technology infrastructures for interfacing via voice, video, and data with the IC, state & local law enforcement, field sites, and industry partners. One such system is the TSA Remote Access to Classified Enclaves (TRACE) solution which provides secure access to classified and unclassified threat information in a timely manner to multiple remote locations.

Significant accomplishments in FY 2009 included:

- Served as the key hub interface between the commercial aviation sector and Federal agencies ensuring individuals designated as threats to security are identified and prohibited from traveling or are thoroughly screened before traveling.
- Led TSA in the development of a comprehensive Knowledge Management System to automate and assist in quickly and accurately reviewing and analyzing the entire range of intelligence material available to INTEL analysts.
- Assumed responsibility for TSA's Risk Assessment and Analysis Program. This program serves as one of the core elements responsible for developing risk analyses of individual transportation modes and a comprehensive risk analysis of all transportation modes combined.
- Completed the construction and equipping of the permanent TSA Continuity of Operations Sensitive Compartmented Information Facility (SCIF), and additional SCIFs at the Annapolis Junction and Colorado Springs Secure Flight facilities.
- Established a federal transportation Information Sharing and Analysis Center (ISAC), which will serve as the hub for future collaboration with existing transportation sector ISACs.
- Completed the conversion of contractors to a near total Federal workforce. This conversion reduced 38 contract positions and resulted in a savings of over \$500,000 that was redirected into other critical information sharing needs.
- Expanded INTEL Watch Operations Support for the TSA Behavior Detection Officers (BDO) program and Secure Flight for TSA Headquarters, Annapolis Junction and Colorado Springs Operations Center.

FY 2010 planned accomplishments include:

- Development of TSA's capability to provide comprehensive risk analyses, made up of quantifiable threat, vulnerability and consequence factors, to assist and enable TSA senior leadership and the operations elements in decision concerning the application of low density – high demand assets to critical transportation sector security needs.
- Lead TSA in developing a nationwide, desktop, secure video teleconferencing capability for use by both INTEL and the Office of Security Operations. This capability will establish face to face communication for both day-to-day and crisis operations.
- Complete the first comprehensive risk analysis assessment, which includes information concerning all U.S. transportation sectors through TSA INTEL Risk Analysis (RMS) element. Additionally, RMS will revisit each of the previous transportation modal assessments to similar threats and critical vulnerabilities applicable to all modes of transportation.
- Expand the FIO program to improve INTEL's ability to provide accurate and timely intelligence products and threat warnings to more than 30 additional FSDs.

FY 2011 planned accomplishments include:

- Expand FIO program to increase field notification of threats and warnings to cover 100 percent of Category X and 73 percent of Category I airports. The FY 2011 locations will be selected based on close coordination with TSA operational elements to meet critical security needs.
- Enhance and expand the network of state, local and industry partners fully involved and engaged with the newly created TSA ISAC.
- Develop and refine the risk assessment and analysis program to provide TSA leadership, TSA operational elements and transportation stakeholders with the most relevant and usable information and recommendations.
- Lead TSA in developing and implementing classified communications architecture and capability by completing a comprehensive TRACE to HSDN conversion plan and expanding the deployment of TANDBERG systems to enable secure video-teleconferencing between TSA HQ and key airports nationwide.

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Headquarters Administration
Program Performance Justification**
(Dollars in Thousands)

PPA: Headquarters Administration

	Perm. Pos	FTE	Amount
2009 Actuals	981	876	245,205
2010 Enacted	1,016	963	248,929
2011 Adjustments-to-Base	(15)	(6)	858
2011 Current Services	1,001	957	249,787
2011 Program Change	55	28	21,612
2011 Total Request	1,056	985	271,399
Total Change 2010 to 2011	40	22	22,470

The Transportation Security Administration requests \$271.4 million for this activity. The adjustments-to-base include \$642,000 for pay annualization, \$1.4 million for pay inflation, 7 FTE and \$850,000 for annualization of the FY 2010 program increase, reduction of 15 FTP/13 FTE and \$2.1 million for realignments, and 55 FTP/28 FTE and \$21.6 million for program increase.

CURRENT SERVICES PROGRAM DESCRIPTION

The following table provides the components that make up this PPA.

(Dollars in Millions)

	FY 2010	FY 2011
Personnel	\$135.9	\$141.1
Leadership	2.1	3.2
Internal Management and Controls	57.5	72
Workforce Support	18.8	20.9
Facilities Management & Physical Security	34.6	34.2
Total	\$248.9	\$271.4

Headquarters Administration supports numerous functions required to provide leadership, management, and logistics support to TSA operations.

Personnel: \$141.1 million in personnel costs are included in this PPA for the Offices of the Assistant Secretary and Deputy Assistant Secretary, Inspection, Chief Counsel, Finance and Administration, Legislative Affairs, Acquisition, Special Counselor, Security, and Strategic Communications and Public Affairs.

Leadership: \$3.2 million in operating expenses are provided to develop the policy and management architecture to guide overall activities, ensure compliance with laws and regulations, develop and monitor performance metrics, and manage external relationships with Congress, the Administration, other oversight entities, and private sector partners. Executive leadership offices include the Office of the Administrator, Deputy Administrator, Legislative Affairs, and Strategic Communications and Public Affairs.

Internal Management and Controls: \$72 million in operating expenses support the day-to-day management of a \$7.4 billion budget and over 50,000 personnel. Offices overseeing internal management and controls include:

- Inspection – Conducts covert testing to assess systematic vulnerabilities across all modes of transportation. Investigates allegations of employee misconduct within TSA and conducts proactive compliance inspections of TSA program components. Provides financial and operational reviews to assess the integrity of TSA programs. Conducts insider threats reviews.
- Acquisition – Executes contracts and other agreements for the supplies and services needed by TSA to accomplish its mission; and provides TSA with subject matter expertise in the areas of acquisition, field office acquisition guidance, grants management, requirements development, and program management.
- Chief Financial Officer (CFO) – Obtains the necessary resources to support TSA’s critical mission and ensures the resources are used efficiently by providing effectual financial systems and robust internal controls over funds. Provides planning guidance to align the TSA budget with DHS goals and objectives.
- Chief Administrative Officer (CAO) – Reduces operational and financial risk by ensuring control of all sensitive and capitalized assets. This is an on-going initiative which provides policy, guidance, training, inventory support, information management, and compliance reporting.
- Chief Counsel – Delivers legal services to all TSA mission areas, components, and staff, covering all substantive legal areas applicable to TSA. These include a comprehensive and inclusive array of services from legal and policy development, ethics, negotiating and drafting international agreements, drafting and reviewing legislation, Congressional testimony, and regulations and rulemaking.
- Security – Oversees and administers the agency-wide physical, personnel, and internal security policies and procedures, thereby ensuring a safe and secure workplace for its employees, and effectively determining the pre-employment suitability of all TSA personnel, to include contractors.

Significant accomplishments in FY 2009 included:

- Inspection –
 - Conducted 2,800 covert tests at airports: Tests included core-enhanced tests, focused tests, field tests of new advanced technology equipment, other transportation mode tests, and extensive cargo testing;
 - Completed more than 140 airport inspections to evaluate management effectiveness, morale of the workforce, communications, and ensure Federal Security Director (FSD) offices are adhering to management directives and standard operating procedures;
 - Conducted seven inspections of Federal Air Marshal Service (FAMS) field offices, five inspections of FAMS Headquarter offices, and five special inquires (special investigations) to evaluate operational program, procedures, and policies;
 - Completed risk assessments of TSA operations and executed 10 internal reviews to evaluate processes and address potential weaknesses;
 - Performed eight audits of airline security fees remitted to TSA to determine compliance with regulatory requirements and identify possible liability; and
 - Developed the Airport Community Engagement Strategy to address insider threats and piloted at 14 airports.
- Acquisition – Strengthened contract administration through:
 - Emphasized oversight of the Contracting Officer Technical Representative;
 - Improved OMB Exhibit 300 submissions and ensured weaknesses were addressed, and enhanced quality assurance and contract oversight;
 - Implemented the recommendations of the Lean Six Sigma study to improve the procurement process, including the Procurement Request Package Process and Proposal Evaluation Process;
 - Formalized TSA’s requirements process, which included drafting procedures, issuing policies, and providing guidance to examine, stabilize, and review mission needs and capabilities; and
 - Implemented a successful transition to the Federal Acquisition Regulation (FAR) that included training, communication, policy and guidance.
- Chief Administrative Officer –
 - Issued policies and guidance on inventory controls to ensure accountability of TSA’s sensitive capitalized property and conducted approximately 200 inventory site visits;
 - Undertook methods to further ensure a low loss, damaged, and destroyed property rate; and
 - Initiated development of a records management accountability and compliance system to mark and manage electronic records (i.e., electronic tagging (*eTagging*)).
- Chief Financial Officer --
 - Developed, presented, and defended TSA’s annual budget requests (FY 2010/FY 2011) in meetings with the Department, the Office of Management and Budget (OMB), and Congress; and

- Continued efforts to ensure a TSA-wide culture of fiscal and performance responsibility and accountability and improve financial audit results. Efforts included: strengthening fiscal policies and procedures, providing financial training and tools, enhancing the management and internal controls programs, and improving the quality and integrity of financial data.
- Chief Counsel –
 - Chaired the TSA Information Protection Commission, examining and evaluating information protection practices throughout TSA and creating the Information Protection Oversight Board as a semi-permanent entity;
 - Drafted legislative proposals to authorize special testing of air cargo;
 - Worked closely with the DHS Office of General Counsel to develop rulemaking proceedings for Secure Flight, Air Cargo, Rail Rule and the Large Aircraft Rule; and
 - Provided more than 1,000 ethics opinions, reviewed and certified nearly 200 Public Financial Disclosure reports and more than 2,000 Confidential Financial Disclosure Reports. Trained all of Headquarters SF-278 and OGE-450 filers and deployed new electronic training module for ethics training.
- Security –
 - In direct support of the Department of Homeland Security’s department wide efficiency review, converted 20 contractors to 21 federal positions for employee vetting and credentialing. With this conversion, TSA streamlined operations, eliminated redundancies;
 - Continued to provide security services with additional improvements in background investigation cycle time and through the implementation of new security technologies aimed at reducing the risk of unauthorized access to airports and other TSA facilities; and
 - Launched initiative to upgrade 10,000 Transportation Security Officers (TSOs) to Secret security clearance eligibility. Upgrading these positions allows TSA to provide mission-critical intelligence data to frontline personnel, enhancing their ability to perform their duties. As of December 15, 2009, the TSO Upgrade Project Team has processed 904 upgrade requests.

FY 2010 planned accomplishments include:

- Inspection –
 - Increase number of covert testing team leaders by four to expand the covert testing of airports and intermodal transportation security systems;
 - Expand air cargo covert testing to include the TSA Known Shipper Program and Certified Shipper Program;
 - Conduct more than 140 airport inspections and various re-inspections to reach goal of inspecting all airports over a three year period;
 - Conduct seven inspections of FAMS field offices, seven inspections of FAMS Headquarter units, and seven inspections of other Headquarter offices annually in order to achieve the goal of inspecting all field and Headquarter offices on a 3-year cycle. The inspections independently evaluate offices for

- compliance with TSA and DHS directives, standard operating procedures, and policies; and
- Conduct risk assessments of TSA operations and execute 10 internal reviews and 15 audits of airline security fees remitted to TSA.
 - Acquisition –
 - Continue to build and develop an acquisition workforce through the implementation of recruitment, retention and employee development plans, and participation in the DHS Acquisition Professional Career Program;
 - Continue process improvements identified through Lean Six Sigma efforts, formalize TSA Test & Evaluation (T&E) policy to include requirements for a program Test and Evaluation Master Plan (TEMP) and implement systematic reviews of test results as part of the Investment Review Board (IRB) process; and
 - Initiate strategic sourcing efforts, including the development of a comprehensive plan for enterprise-wide requirements.
 - Chief Administrative Officer –
 - Complete and reconcile the annual inventory of all capitalized and sensitive property (to include IT assets) with a loss, damage, or destruction (LDD) ratio of less than two percent and implement the corrective action plan for Property and Equipment Accounting and conduct approximately 250 inventory site visits;
 - Further utilize asset management control program to include software revision, administratively controlled property module, and more effective tracking of the local movement of TSA property; and
 - Pilot and deploy eTagging for improved electronic records management accountability and compliance.
 - Chief Financial Officer –
 - Ensure that improvements put into place over the past three years are firmly integrated into the day-to-day business processes by continuing testing of management controls; providing on-going training; and expanding financial reporting to provide enhanced analytical capabilities to facilitate monitoring, tracking and resource decision making; and
 - Present, and defend TSA's annual (FY 2011/FY2012) budget request in meetings with the Department, OMB, and Congress.
 - Chief Counsel –
 - Continue to provide litigation support to the agency before federal courts, Equal Employment Opportunity Commission (EEOC) and the Merit System Protection Board (MSPB);
 - Provide legal advice and guidance on TSA's transition to a four-tiered performance measurement/employee performance rating system;
 - Issue or review regulations on Canine Searches and Cargo Screening, Credential Authentication Technology/Boarding Pass Scanning System Pilot, Stand-Off Detection Passive Millimeter Wave Screening SOP, Freight Rail Security, Large Aircraft Security Program, Aircraft Repair Station Security, Fee Increases for Transportation Worker Identification Credential (TWIC)

Maritime, and draft rule on Protection of Sensitive Security Information (SSI) in Federal Civil Court proceedings; and

- Finalize regulations for rail security and air cargo security.
- Security –
 - Increase the level of background investigations for all newly hired TSOs to a Minimum Background Investigation rather than the current National Agency Check and Inquiry based on their designated position sensitivity level;
 - Initiate re-investigations for employees who have been employed at TSA for at least five years through a three-year phased approach, beginning in FY 2010; and
 - Continue to conduct upgrade re-investigations on the remainder of approximately 9,000 TSOs to grant Secret security clearance eligibility.

FY 2011 planned accomplishments include:

- Inspection – Increase of 242 FTP, 12 FTE and \$6.3 million to support the enhanced security at the checkpoint.
 - Increase number of covert testing team leaders dedicated to multi-modal covert testing and participation in security exercises and expand covert testing of aviation security operations and air cargo programs;
 - Begin new cycle of FSD inspections to evaluate management effectiveness, morale of the workforce, communications, and ensure FSD offices are adhering to management directives and standard operating procedures;
 - Conduct risk assessments of TSA operations and execute 20 internal reviews and airline audits to address potential weaknesses.
- Acquisition –
 - Strengthen contract oversight, including consistent file and process reviews of the end-to-end procurement process; and
 - Formulate Acquisition Logistics guidance and policy, develop documentation requirements for the Integrated Logistics Support Plan, and implement the strategic sourcing plan.
- Chief Administrative Officer –
 - Deploy eTagging fully and pilot/integrate it into a deployable electronic records management system (eRMS).
- Chief Financial Officer –
 - Continue to present and obtain critical resources to effectively and efficiently support TSA's mission;
 - Continue to sustain an unqualified (clean) audit opinion on the FY 2010 Financial Statements, sustain improvements and prepare TSA for transition to the next generation of DHS financial and administrative systems.
- Chief Counsel – Increase 25 FTP, 13 FTE, and \$2.9 million to support the enhanced security at the checkpoints.
 - Provide strategic legal guidance to TSA on several high-dollar, high-risk acquisitions to support enhanced security measures, including defending the agency at bid and award protests;
 - Provide legal advice to the FAMS on use of deadly force and ethics.

- Write Security Directives and regulations/rulemaking for all aspects of transportation security; and
- Adjudicate the imposition of civil penalties and represent TSA in civil penalty actions.
- Security –
 - Continue to conduct re-investigations of approximately 25,000 current employees who have been employed at TSA for at least five years and require periodic background re-investigations; and
 - Continue to reduce the processing time for the background investigation and thus quicken the pace of the hiring process, clear re-investigation backlogs, and strengthen security through more thorough Minimum Background Investigations.

Workforce Support: \$20.9 million in operating expenses supports all aspects of sustaining approximately 50,000 employees and ensuring an excellent working climate and a safe and healthful environment while performing TSA’s mission. In addition, these programs ensure fair and lawful treatment of employees and the public. Offices that provide workforce support include:

- Special Counselor includes Offices of Audit Liaison, Executive Secretariat, Freedom of Information Act (FOIA), Civil Rights and Civil Liberties (OCRL), Ombudsman, Privacy, SSI, and Transportation Security Redress –
 - Audit Liaison is the TSA point of contact for audits performed by the Government Accountability Office (GAO) and the DHS Office of the Inspector General (OIG);
 - Executive Secretariat manages the preparation and coordination of correspondence with DHS, Congress, and the public, briefing materials for the Secretary and Deputy Secretary, and congressional Questions for the Record and Reports to Congress. It also operates the TSA Contact Center which responds to traveler inquiries;
 - FOIA responds to FOIA and Privacy Act requests from the public, Congress, and other government agencies;
 - OCRL provides Equal Employment Opportunity services including education, traditional counseling, mediation, and formal complaint investigation;
 - Ombudsman provides neutral and confidential problem resolution services to employees and the public for issues involving TSA;
 - The Privacy Office ensures that TSA complies with all privacy laws and regulations;
 - Transportation Security Redress provides an appeal forum for individuals identified as a threat or a potential threat to transportation security; and
 - SSI ensures that TSA complies with all laws and regulations regarding the recognition, identification, and safeguard of SSI.
- Chief Administrative Officer includes Occupational Safety and Health and Environment (OSHE), Property Management, Real Estate Services, and Information Management Programs –

- OSHE works to bring facilities into compliance, provide a safe and healthful working environment and reduce injuries and illness;
- Property Management provides accountability of all personal property owned by TSA, manages the fleet and transportation program, transit benefits, and HQ parking;
- Real Estate Services provides facilities services for field workspace locations by managing office and airport space allocations; lease acquisitions; design, construction and renovation of tenant space; furniture acquisition; and HQ building management and facilities support; and
- Information Management Programs manages the release of official agency records, management directives, and official forms.

Significant accomplishments in FY 2009 included:

- Special Counselor –
 - Continued streamlining of the process for delivering requested documents to GAO and OIG in a timely manner;
 - Continued to manage contacts from the public and official agency documents, including letters and Questions for the Record from Congress, and Reports to Congress;
 - Held TSA’s Annual Coalitions Meeting and hosted community outreach meetings with leaders from the disability and multi-cultural communities; and expanded relationships with minority-serving institutions by establishing a multi-year rotational assignment;
 - Improved reporting by providing quarterly updated site-specific contact data to TSA management via SharePoint; and launched a moderated intranet forum for employees on workplace policies and practices;
 - Developed and refined information sharing methods and responsiveness to ensure that programs tracking passengers are consistent with civil rights laws and policies; and
 - Continued the TSA-wide SSI Awareness campaign through improved guidance, targeted site visits, and an expanded training conference and implementation of the Controlled Unclassified Information (CUI) framework in conjunction with SSI.
- Chief Administrative Officer –
 - Completed the formal occupational safety and health inspections of all TSA airport operational and administrative facilities;
 - Initiated and piloted the Safety Information System (SIS) Case Management Module (one-step) and presented nine SIS Hand-on Training courses;
 - Exceeded the goal for the Safety, Health, and Return to Employment (SHARE) injury rate by three percent; and
 - Piloted and presented a total of 16 TSA 600-Collateral Duty Safety Officers’ Applied Courses for TSA operations.

FY 2010 planned accomplishments include:

- Special Counselor –
 - Further develop the persons with disability and multi-cultural program and continue outreach efforts with the disability and multi-cultural communities.
 - Expand alternative dispute resolution program and programs offered in observance of Conflict Resolution Day to include a specific emphasis on workplace bullying;
 - Expand SSI education and awareness programs and continue to implement CUI; and
 - Enhance the hosting center support and the Redress Case Management System operation.
- Chief Administrative Officer –
 - Implement the SIS Case Management Module (one-step) TSA wide;
 - Meet the requirements of the SHARE initiative by reducing the total injury case rates and lost time case rates; and
 - Complete formal Occupational Safety and Health Inspections of all Federalized airport facilities and program evaluations.

FY 2011 planned accomplishments include:

- Special Counselor – Increase of 6 FTP, 3 FTE and \$317,000 to support DHS Traveler Redress Inquiry Program (DHS TRIP).
 - Deploy kiosks in CAT X and CAT 1 airports, which will allow persons to apply for redress in real time in an electronic, secure, and streamlined fashion.
 - Utilize technology and automated business processes to provide effective and timely management of OCRL cases and EEOC-mandated reporting requirements; and
 - Continue to raise employee awareness of options available to informally resolve disputes by hosting TSA's observance of Conflict Resolution Day;
- Chief Administrative Officer –
 - Continue to meet the requirements of the SHARE Initiative by reducing the total injury case rates and lost time case rates;
 - Expand the Health Unit Program and services to field units; and
 - Complete the formal Occupational Safety and Health Inspections and program evaluation of all TSA facilities.

Facilities Management and Physical Security – \$34.2 million is necessary for operating expenses managed by the Chief Administrative Officer including facility and management support for HQ, the Freedom Center, the Franconia Warehouse, and the Mission Support Centers (MSCs). The Franconia warehouse is used to stage TSA equipment prior to deployment, store special purpose consumables, and temporary storage of property and equipment during construction projects. The MSCs are the central field service support mechanism for TSA across transportation modes. They

provide TSA field personnel with support within designated areas, located in San Francisco, CA; Atlanta, GA; Dearborn, MI; Philadelphia, PA; and Coppell, TX.

Significant accomplishments in FY 2009 included:

- Continued co-location of TSA with the Federal Protective Services/Immigration and Custom Enforcement personnel at the Philadelphia MSC;
- Completed the state-of-the-art Transportation Systems Integration Facility (TSIF) project to facilitate enhanced baggage and passenger screening innovation at DCA; and
- Completed design for 12,500 square feet of un-built space at the Freedom Center in Northern Virginia.

FY 2010 planned accomplishments include continued support of tenant activity and mission critical requirements and identification of additional energy cost saving HQ projects.

FY 2011 planning includes the implementation of furniture modification requests at TSA HQ to support mission critical requirements.

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Human Capital Services
Program Performance Justification
(Dollars in Thousands)**

PPA: Human Capital Services

	Perm. Pos	FTE	Amount
2009 Actuals	188	181	192,543
2010 Enacted	231	222	226,338
2011 Adjustments-to-Base	-	-	14,538
2011 Current Services	231	222	240,876
2011 Program Change	-	-	21,871
2011 Total Request	231	222	262,747
Total Change 2010 to 2011	-	-	36,409

The Transportation Security Administration requests \$262.7 million for Human Resources (HR) services for Headquarters and field offices. The adjustments-to-base include \$180,000 for pay annualization, \$411,000 for pay inflation, \$15,000 for annualization of program increase, \$13.9 million for realignment of Human Capital (HC) Systems and support from the Information Technology PPA to this PPA, and \$21.9 million for program change.

CURRENT SERVICES PROGRAM DESCRIPTION

The following table provides the components that make up this PPA.

(Dollars in Millions)

	FY 2010	FY 2011
Personnel	\$32.3	\$36.1
HR Services and Administration	54.6	
Recruitment and Assessment	96.5	
HR Access -- Recruitment, Assessment, & Personnel Administration		182.2
Other HC Services	29.6	31.0
Leadership Training & Development	13.3	13.4
Total	\$226.3	\$262.7

The Office of Human Capital Services (OHCS) maintains oversight of all human resources contractual activities, develops policies, guidance and programs that are used to identify and promote the best and most efficient HR practices allowing TSA to establish

and administer programs necessary to create and sustain a diverse and highly skilled workforce.

Personnel: \$36.1 million in personnel costs are included in this PPA to support all HR activities at headquarters.

HR Access: The request includes \$182.2 million to provide HR Services to employees in the field and Headquarters. The OHCS provides human capital functions through the acquisition of the HRAccess Program to meet the Federal human capital service excellence mission of TSA. This contract combined the services provided by three separate contractors to one service provider who has expertise in Federal human capital services, program management, business and financial management, and systems and process integration enabling it to perform the full range of human capital operations, seamlessly in an end-to-end process supporting the entire life cycle of the TSA employee. HR Access manages \$10 million of the HC systems and support that is realigned from the Information Technology PPA.

HRAccess aligns with the Enterprise Architecture of the Department of Homeland Security and leverages available e-systems that create efficient services and processes. As a result, TSA benefits from improved customer service both through feedback and stakeholder communications, innovative approaches utilizing automated solutions and Federal best practice applications, and improved efficiency through system/process integration resulting in reduced overhead.

FY 2009 accomplishments included:

- Completed process mapping of all HR operations to include hiring process for Transportation Security Officers (TSOs), Management, Administrative, & Professional (MAPs) positions, and Federal Air Marshals (FAMs);
- Created a TSO Realistic Job Preview (RJP) linked to the application, which provides approximately 12 minutes of TSO testimonial describing the duties/responsibilities of a screener;
- Developed an Integrated Hiring Solution (IHS) with an automated process to include notifications to candidates and hiring managers via an integrated candidate and manager dashboard;
- Began development of a Table of Organization for the Office of Security Operations;
- Developed of Job Analysis Tool (JAT; Position Description) Library resulting in standardized job descriptions written in plain language;
- Developed MAP Recruiting – a comprehensive recruitment plan using marketing concepts, potential sourcing avenues, advertising samples, effective job posting placements, and TSA engagement activities, such as university contacts, job fairs, online resources, virtual career fairs, and professional networking organizations;
- Rolled out a new TSO application that includes 28 disqualifiers to allow for an earlier self select-out process and moved quick-check earlier in the hiring process with the goal to refine the candidate pool with higher acceptance rate, higher

quality candidates, improved job expectations and eliminating candidate bottlenecks; and

- Implemented eOrientation for new TSOs which streamlined and reduced the orientation process to two to three hours.

FY 2010 planned accomplishments include:

- Complete a Table of Organization for Security Operations and commence development of a Table of Organization for the rest of TSA; and
- Streamline automated awards and recruiting processing systems to reduce input errors and speed processing; and
- Refine Full Operational Metrics to evaluate the HRAccess vendor performance as related to delivery of services and costs under the HRAccess contract. Specific metrics include evaluating the rates of:
 - TSO hiring actions that are processed in compliance with Federal law and TSA business rules;
 - MAP hiring actions that are processed within TSA established business rules and meet OPM 45 day requirement;
 - TSES certified applicants that meet the 90 day OPM deadline from date of application to date of certification;
 - Personnel transactions processed according to Federal Regulations and Guidelines;
 - Helpdesk first call resolutions; and
 - Improvement in overall customer satisfaction.

In FY 2011, an integrated data warehouse will be fully functional. Additionally HRAccess program will continually refine the new integrated system to realize efficiencies and cost savings to the government. OHCS will also review the service levels being delivered and the methodologies, tools, and staffing levels being employed by the HRAccess vendor with the objective of identifying further opportunities for improvements.

Other Human Capital Services: The \$31.0 million is requested for benefits, mandatory programs, employee relations, program management support of Human Capital systems, and management of the Worker's Compensation program. The benefits include the Employee Assistance Program, LifeCare, flu vaccinations, and retirement assistance. Mandatory programs include drug and alcohol testing and Unemployment Compensation.

The Workers' Compensation Program oversees the Workers' Compensation chargeback from the Department of Labor and the Nurse Case Management Program. The Program established the Periodic Roll Initiative (PRI) in April 2007. The initiative is a joint effort with the Nurse Case Management team in which all of the long term disability (Periodic Roll) cases are examined for opportunities to return employees back to work when medically feasible.

MedLink is utilized to schedule and provide MRI and CT Scans for TSA employees with work-related injuries. Using MedLink's service expedites the scheduling of MRI and CT Scans at a reduced cost. This service schedules appointments with local radiology and diagnostic imaging centers at the earliest possible date, providing the employee's physician with an image and image study within 24 hours of testing. This enables the physician to provide accurate and timely diagnosis for quality care and medical treatment.

FY 2009 accomplishments included:

- Completed the review and assessment all 965 periodic roll cases to determine: 1) if the employee is able to return to duty (full or limited), the case was medically resolved, or 2) the case required continued monitoring due to long term disability;
- Resolved a total of 609 periodic roll cases, as of March 31, 2009, which represents 63 percent of the original claims noted at the beginning of this initiative. The projected annual salary savings equates to \$18.3 million, offset by increases in the federal salaries and the cost of medical care; and
- Conducted 173 diagnostics tests using MedLink from October 2008 to March 2009 were conducted for a cost savings of \$52,422.

FY 2010 planned accomplishments include:

- Continue focused efforts to clear periodic roll cases while addressing new injury claims through medical management within the Nurse Case Management Program protocol;
- Continue use of the MedLink services; and
- Implement a Prescription Network (Pharmacy Benefit Management or PBN). TSA plans to provide a prescription service network for employees to utilize in conjunction with the Nurse Case Manager Service. The nationwide pharmacy prescription network will be designed specifically for workers' compensation claims. The PBN will provide prescription medication through a network provider for reduced costs to the agency. This will also provide oversight to ensure that the medication billed as part of the Workers' Compensation injury is directly related to the injury. Additional benefits provided by the prescription network will include:
 - A proven first fill program with no out-of-pocket expense for the injured staff member and no financial risk for the TSA,
 - Point-of-Sale Drug Utilization Review,
 - Two (2) levels of clinical review to protect the agency and the injured staff member, and
 - Opportunity for the program to assess proper dosing, frequency, drug interactions, and medication use related to the identified injury.

In FY 2011, Workers' Compensation Program will continue to review and assess any remaining periodic roll cases and all newly added periodic roll cases and continue to use

MedLink. The newly implemented prescription network will be reviewed and assessed for performance improvements and program enhancements.

Leadership Training and Development Program: \$13.4 million is requested for training and development of Headquarters and Field staff. OHCS works closely with TSA leadership to develop and administer programs to prepare for the future leadership needs of TSA and fulfill the succession planning mandate assessed by the Office of Personnel Management and DHS. This requires identifying the most critical current and future senior leadership requirements, preparing a pipeline of talented and motivated leaders at all levels who will be ready to take on new challenges and identifying the best external sources of recruitment when internal sources are insufficient to meet critical needs.

All employees benefit from better-prepared, better-trained leaders who ensure that TSA accomplishes its important mission and advances the goal of becoming a highly effective and agile organization, and an employer of choice. The Succession Plan provides the opportunity for current leaders to make an investment in the development of future leaders and in the long-term success of TSA. TSA's program to develop bench strength for the most senior positions has been launched in three phases so far, designated below as Senior Leadership Development Program (SLDP) 1, 2, and 3. These first three phases each targeted different pools of critical positions.

Professional development training provides mission-related training that is either beneficial for an employee in his/her current position or for professional development that will increase the employee's ability to contribute to TSA's mission in another capacity. The TSA Career Resident Program is a formal career development program designed to attract exceptional candidates with diverse backgrounds into targeted entry level positions.

FY 2009 accomplishments included:

- Substantially redesigned Mid-Level Development Program that is right-sized to projected turnover in targeted critical positions; contained well-defined program components, and improved program support tools;
- Graduated the first class of 57 Senior Leadership Development Program (SLDP1) participants and evaluated the program components;
- Completed all program development activities for SLDP2 participants and many activities for SLDP3, as well as first stages of program evaluation for SLDP2;
- Completed the conversion of 12 self-study leadership training courses from print-based workbooks to web-based training. By converting to web-based training, TSA will substantially reduce production and distribution costs, while increasing the audience size from 800 in FY 2009 to more than 12,000 in 2010;
- Continued to offer *Foundations of Leadership* (1,060 course completions), *Transition to Security Manager* (95 completions), and *Leading From the Middle* (75 completions); and

- Initial selection and development of participants for the TSA Career Resident Program, which included exceeding participation goal by 100 percent.

FY 2010 planned accomplishments include:

- Develop and test new learning and development tools for aspiring mid-level managers with new class of Mid-Level Leadership Development Program (MLDP09);
- Graduate SLDP2 and TSES classes, accomplish OPM certification for graduates of SLDP3, which is a Candidate Development Program (CDP), and evaluate both programs;
- Begin evaluation and redesign analysis for *Transition to Security Manager* and *Leading from the Middle*;
- Update corporate succession plan, including identification of critical positions and related competencies, projection of near-term turnover and internal/external selection ratios, evaluation of internal and external feeder pools, and recommendation of specific succession strategies;
- Offer at least 3,000 seats of cutting edge, synchronous e-learning to first line supervisors on supervisory topics such as leave, medical; Family Leave Act; and charges and specifications;
- Develop and pilot *Essential Leadership Skills for Lead Transportation Security Officers*;
- Complete a comprehensive review of all leadership training programs and skills-focused training to ensure complete alignment with strategic goals and elimination of redundancies; and
- Continue and conduct ongoing evaluation of current TSA Career Resident Program class, and conduct planning of next rollout including exploring opportunity for a national program.

In FY 2011, OHCS will roll out new and/or revised learning and development programs and learning tools based on the results of prior evaluation and senior leadership input. OHCS will complete the FY 2010 cohort of the Mid-Level leadership Development Program and will begin to design selection criteria and activities for the FY 2011-2012 cohort. It is anticipated 600 first line supervisors and 200 mid-level supervisors will receive leadership training through redesigned programs. The Career Residency Program will expand to a national level and will continue to work to attract multi-talented and diverse individuals.

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Information Technology
Program Performance Justification**
(Dollars in Thousands)

PPA: Information Technology

	Perm. Pos	FTE	Amount
2009 Actuals	141	125	476,880
2010 Enacted	155	149	498,310
2011 Adjustments-to-Base	-	-	(21,938)
2011 Current Services	155	149	476,372
2011 Program Change	-	-	4,063
2011 Total Request	155	149	480,435
Total Change 2010 to 2011	-	-	(17,875)

The Transportation Security Administration requests \$480.4 million to support information technology (IT) for Headquarters and field offices. This is a decrease of \$17.9 million from FY 2010. The adjustment-to-base decrease of \$21.9 million consists of a \$13.9 million decrease due to the realignment of an IT system to the Human Capital Service PPA, an \$8.8 million decrease of non-recr funding for Data Center Migration, a \$107,000 increase for pay annualization, a \$251,000 increase for pay inflation, and a \$402,000 increase for the annualization of FY 2010 program increase. The FY 2011 program change is a \$4.1 million increase to the IT base for Whisper Communications technology and IT support related to increased staff levels.

CURRENT SERVICES PROGRAM DESCRIPTION

The following table provides the components of the PPA's Current Services.

(dollars in millions)

	FY 2010	FY 2011
Core Information Technology Program	\$401.3	\$398.3
Personnel/Financial Management Systems	70.6	57.8
e-Government Operating Platform	2.5	0
IT Personnel	23.9	24.3
Total	\$498.3	\$480.4

Core Information Technology (IT) Program: A total of \$398.3 million supports the core IT and telecommunications infrastructure for all TSA enterprise-wide IT services that assist in accomplishing TSA mission responsibilities. The core enterprise IT capability is supported through an information technology infrastructure contract that provides TSA the flexibility to manage and adjust IT resources as necessary. The IT business model that TSA has implemented offers the prospect of long-term cost efficiencies and the implementation of state-of-the-art technologies without sacrificing the integrity or security of IT systems.

FY 2009 significant accomplishments included:

- Completed the migration of the TSA's main data center to the DHS consolidated solution;
- Scored 100 percent on the OMB Federal Information Security Management Act (FISMA) scorecard; and
- Awarded the security operations center (SOC) contract to centralize security monitoring for all TSA systems.

FY 2010 planned accomplishments include:

- Reengineering the data storage, backup, and recovery environment at TSA to ensure services are aligned with evolving demand of TSA;
- Transitioning from the current IT managed service contract to a new competitively awarded DHS Enterprise Acquisition Gateway for Leading Edge Solutions (EAGLE) contract; and
- Maintaining a score of 100 percent on the OMB FISMA scorecard.

In FY 2010, TSA will deploy a number of new radios and whisper communications devices to the TSA security workforce. The use of whisper communications will improve efficiency of operations, enhance current communications, and expedite the screening of passengers. In FY 2011, TSA will continue to service and update the large land mobile radio (LMR) and checkpoint communication equipment base, and routinely evaluate the needs of the screener workforce to enhance communication capabilities wherever possible.

TSA has planned objectives in FY 2011 to strengthen its IT security posture of TSA and reevaluate current network and IT infrastructure resources for optimum efficiency. TSA is working with DHS to align current IT capabilities including network, infrastructure, IT security, information sharing, applications development, and engineering support requirements to DHS strategic objectives. To accomplish this goal, TSA has aligned a number of core IT services with the existing DHS EAGLE contract to further improve mission support and operational efficiency across DHS. The alignment will help deliver enhanced business-focused IT services and a more robust telecommunications infrastructure for all TSA employees. The funding in FY 2011 will also assist TSA in developing an IT environment which promotes collaboration throughout TSA and the DHS component agencies. Enhancements to the IT environment include:

- Transitioning and optimizing current data circuits to the GSA Network contract;
- Evaluating and testing solutions for a proposed cloud computing environment; and
- Consolidating and centralizing IT system monitoring.

The TSA IT infrastructure supports the technology assets of airport, Headquarters, and TSA Freedom Center personnel. The personnel equipment requires a large wide area network to support the information needs of the TSA user base. TSA will provide support for the large distributed user base through robust IT engineering efforts, infrastructure operations, and enterprise application services. Resources are allocated for ongoing operations and maintenance for the TSA data centers, operation centers, failover resources, applications, operating platform management, database management, application systems, system performance monitoring, and configuration management. Support includes:

- National Help Desk support, which includes software, licensing and software distribution support;
- Headquarters and Airport IT support;
- Security Incident Response;
- Checked baggage and passenger screening data;
- Performance management data analysis;
- Equipment maintenance and legacy systems support;
- Wireless infrastructure support and maintenance; and
- Technical architecture compliance and enterprise architecture-related support.

A primary objective for TSA is to provide limited failover capabilities in the event that IT systems at the primary Data Center, HQ server facility, or the Freedom Center server facility are lost or become inoperable for an extended period of time. TSA will reevaluate the current storage and retrieval capabilities to improve the time and availability of data in the event of a system failure.

Federal Information Security Management Act (FISMA) compliance is a main objective of the TSA IT community. IT security will allocate resources to perform audit and assessment reviews to test the compliance of IT systems, including the physical review of sites that house TSA's IT systems. TSA IT security enhancements will allow the agency to continue to maintain full FISMA compliance. Certification and accreditation (C&A) management will develop, implement and enhance the continuous monitoring phase of the IT Security Life Cycle.

The growing needs of the TSA communication security (COMSEC) user base requires TSA to continually enhance secure communications to stakeholders and help desk capability. The service area includes the continued modernization of secure communication units as well as infrastructure protection which includes but is not limited to:

- Firewalls;
- Intrusion detection and prevention;
- Antivirus;
- Content monitoring; and
- Managed Security Services.

The Electronic Time and Attendance System (eTAS) project will streamline and automate the process currently utilized to support collection and data input of timecards and collection of performance metrics for the airport support staff. Current processes and available automation are legacy based, which make the continuance of the same functionality ineffective and cost prohibitive. This effort endeavors to eliminate paperwork, provide cost accounting, and provide management with the tools and resources needed to effectively evaluate cost alternatives with respect to FTE management and technological developments. In FY 2011, TSA will continue operations and maintenance of systems and leverage connectivity to expand automated processes.

The IT core program provides focused and efficient management practices and support services while seeking the achievement of contract results, not contract compliance, in meeting the IT mission solutions needs of TSA. In addition, the IT training program provides staff the necessary resources to improve the alignment of requirements in TSA business portfolios in support of the Agency mission.

Personnel/Financial Management Systems: This activity funds \$57.8 million of interagency agreements with Coast Guard and the U.S. Department of Agriculture for the use of their financial management, personnel, and payroll systems. This also funds reimbursements to the Department of Homeland Security for the costs of the Working Capital Fund, related to operational information management support functions.

IT Personnel: This PPA includes \$24.3 million to support 155 FTP / 149 FTE for Information Technology support. These personnel consist of IT engineers, application developers, technical specialists, and associated support professionals. They provide the IT infrastructure and services to TSA Headquarters and field locations.

IV. Program Justification Changes

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Intelligence
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Expand FIOs and Technical Adjustment
PPA: Intelligence
Program Increase: Positions 31.0, FTE 16.0, Dollars \$6620.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	155	124	23,007	180	167	28,203	195	186	31,168
Program Increase							31	16	6,620
Total Request	-	-	-	-	-	-	226	202	37,788

Description of Item

The total cost to enhance technical capability and expand the Field Intelligence Officer (FIO) program is \$7 million with 31 FTP / 16 FTE and \$6.6 million in the Intelligence program, and \$392,000 in the support programs (which is included under Program Increase #2)

The additional funds provide technical enhancements for communications to support operation contingencies, the INTEL networks, storage, and increased Knowledge Management System (KMS) capabilities. The requested positions will support field locations with intelligence expertise regarding threats to transportation. This will provide critical field elements with intelligence expertise to quickly identify and communicate potential threats to transportation.

Justification

The technical enhancements for communications will support the entire INTEL network. These software and hardware solutions are absolutely essential for modern and effective intelligence communications. The FIO program has proven to be a great success for TSA by enhancing aviation security through facilitating the sharing of information. The 31 additional FIOs will increase TSA's coverage at category X airports from 71 percent to 100 percent and expand coverage at category I airports from 34 percent to 73 percent.

Impact on Performance (Relationship of Increase to Strategic Goals)

INTEL provides classified voice, data, and video systems for TSA and maintains classified IT connectivity to the Intelligence Community and to TSA sites. INTEL maintains the TSA Remote Access to Classified Enclaves (TRACE) to provide geographically separated field units with classified connectivity in near real-time. INTEL also requires large amounts of storage space for products and data as well as the KMS to assist analyst in their activities. These technical enhancements will increase INTEL KMS capability, ensure continuity of operations, and increase secure communication capability.

Currently, the office operates with personnel strategically located across the continental U.S. at significant transportation nodes. The increased FTE requested in FY 2011 will expand this coverage to critical field locations that are currently without this support, making intelligence information operational and making it available to those who need it in a timely fashion. The requested increase will enable the intelligence program to meet its planned milestones to expand the use of analysis to identify potential weaknesses in the transportation system and provide corresponding mitigation strategies.

The below table illustrates the FTE distribution across category X, I, and II airports.

	Total Airport	FIO FY10	% Covered FY10	FIO FY11	% Covered FY11	With Additional 31 requested	% Covered FY11 + 31 additional
Category X	28	20	71%	20	71%	28	100%
Category I	56	12	21%	19*	34%	41	73%
Category II	77	0	0%	0	0%	1	1%
TOTAL	161	32	20%	39	24%	70	43%

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Headquarters Administration
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 2: Reduce Corporate Training
PPA: Headquarters Administration
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-1000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	188	181	192,543	231	222	226,338	231	222	240,876
Program Decrease							-	-	(1,000)
Total Request	-	-	-	-	-	-	231	222	239,876

Description of Item

The FY 2011 request includes a reduction of \$1 million from the Human Capital Services PPA.

Justification

In order to sustain critical support of operational programs, TSA proposes to reduce corporate training by \$1 million. This reduction will not directly affect current levels of support.

Impact on Performance (Relationship of Decrease to Strategic Goals)

To accommodate this reduction, TSA will reduce the number of leadership and development training offerings and the number of participants in the Senior Leadership Development Program.

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Headquarters Administration
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 3: Support Enhanced Security at Checkpoint
PPA: Headquarters Administration, Human Capital Services, Information Technology
Program Increase: Positions 55.0, FTE 28.0, Dollars \$55,653.0

Funding Profile

	FY 2009 Actual			FY 10 Enacted			FY 11 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	1,310	1,182	914,628	1,402	1,334	973,577	1,387	1,328	967,035
Program Increase – Headquarters Administration	-	-	-	-	-	-	55	28	21,612
Program Increase – Human Capital Services							0	0	22,871
Program Increase – Information Technology							0	0	11,160
Total Request	-	-	-	-	-	-	1,459	1,364	1,043,130

Description of Item

The program increases in the Transportation Security Support appropriation directly support the initiatives in aviation security to enhance security at the checkpoints. The program increases are as follows:

Program Increases	HQA	HCS	ITS	Positions
Screening Technology -- Whisper Communication Technology to support AIT, EDS/ETD and portable ETD (See Aviation Security Program Increase #1)			6,000	
Enhanced Airport Security -- Support increase in TSO, BDO and Airport Staffing (See Aviation Security Program Increase #2)	20,315	21,587	4,922	55 FTP, 28 FTE
International Security (See Aviation Security Program Increase #3)	231	269	150	
Information Sharing & Intelligence Coordination (See Transportation Security Support Program Increase #1)	216	113	63	
Canine (See Aviation Security Program Increase #4)	850	902	25	
Total	21,612	22,871	11,160	55 FTP, 28 FTE

Justification

The Transportation Security Support Appropriation funds transportation security support staff at Headquarters and field locations throughout the United States that provide leadership, management, and support to TSA.

Headquarters Administration provides all aspects of the support infrastructure required to sustain TSA's nation-wide operations. These activities include leadership, internal management and controls, workforce support, and facilities management and physical security. Program increases will fund the following new positions:

- Investigator positions, 12 FTE and \$6.3 to conduct covert testing and internal inspections;
- Attorney positions, 13 FTE and \$2.9 million to provide legal guidance on acquisitions, security directives, and regulatory and rulemaking issues; and
- DHS Traveler Redress Inquiry Program enhancement of 6 positions, 3 FTE and \$317,000.

Human Capital Services includes the services to support the recruitment, assessment, servicing, and payroll of all TSA employees at headquarters and in the field. The increase of \$22.9 million is for recruitment and servicing of new Transportation Security Officers (TSO), Behavior Detection Officers (BDO) and support staff hired in response to the evolving threats to transportation security such as the attempted attack on Christmas Day 2009.

The Information Technology program at TSA provides a suite of IT services to Headquarters and field locations throughout the United States. Funding provided within the PPA supports the core IT functional requirements of the organization, which include the voice and data network, email, file storage, wireless communications, personal computing equipment, and cyber security services for an agency of over 50,000 personnel spanning more than 400 locations. The above items provide TSA with a stable, secure, and reliable IT operating environment. The program increase of \$11.2 million is for whisper communications technology to support the deployment of approximately 1,000 new Advanced Imaging Technology machines in FY 2010 and FY 2011 as well as core IT functions to support the new workforce.

Impact on Performance (Relationship of Increase to Strategic Goals)

TSA supports DHS Objective 3.1: Protect and strengthen the resilience of the Nation's critical infrastructure and key resources, by focusing resources on the TSO workforce, specifically through ensuring readiness in areas where the threat is greatest. TSA will accomplish this objective by dedicating resources to workforce support, vulnerability assessment, and workplace infrastructure support.

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Information Technology
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 4: Reduce IT Across-the-Board
PPA: Information Technology
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-7097.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	141	125	476,880	155	149	498,310	155	149	476,372
Program Decrease							-	-	(7,097)
Total Request	-	-	-	-	-	-	155	149	469,275

Description of Item

The FY 2011 request includes a reduction of \$7.1M from the Information Technology (IT) Support PPA.

Justification

TSA proposes to reduce the Information Technology base by \$7.1 million. This reduction will have limited impacts on the security of TSA’s network. The IT environment will remain stable, secure, and reliable with the proposed level of base funding.

The Information Technology program at TSA provides a suite of IT services to Headquarters and field locations throughout the United States. Funding provided within the PPA supports the core IT functional requirements of the organization which include: the voice and data network, email, file storage, wireless communications, personal computing equipment, and cyber security services for an agency of over 50,000 personnel spanning more than 400 locations.

Impact on Performance (Relationship of Decrease to Strategic Goals)

TSA supports DHS Objective 3.1: Protect and strengthen the resilience of the Nation’s critical infrastructure and key resources, by focusing resources on the TSO workforce, specifically through ensuring readiness in areas where the threat is greatest. TSA will accomplish this objective by dedicating resources to workforce support, vulnerability assessment, and workplace infrastructure support.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Department of Homeland Security Transportation Security Administration

Justification of Proposed Changes in Transportation Security Support Appropriation Language

For necessary expenses of the Transportation Security Administration related to providing transportation security support and intelligence pursuant to the Aviation and Transportation Security Act (Public Law 107-71; 115 Stat.597; 49 U.S.C. 40101 note), [1,001,780,000] **\$1,052,369,000** to remain available until September 30, ~~2011~~ **2012**. (Department of Homeland Security Appropriations Act, 2010)

Explanation of Changes:

TSA has complied with the provisions included in previous language.

B. FY 2010 to 2011 Budget Change

Department of Homeland Security Transportation Security Administration Transportation Security Support: FY2010 to FY2011 Budget Change (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2009 Actuals	1,465	1,306	940,497
FY 2010 Enacted	1,582	1,501	1,001,780
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Transfer from Aviation for Annual of FY10 Programs	-	-	35
Transfer from Aviation for Other Adjustments	-	-	100
Transfer from Surface for Annual of FY10 Programs	-	-	406
Total Transfers	-	-	541
Increases	-	-	-
FY11 Annualization of FY10 Program Increase	-	13	1,620
FY11 Pay Annualization	-	-	1,024
FY11 Pay COLA	-	-	2,320
Other Adjustments	15	13	15,801
Total Increases	15	26	20,765
Decreases	-	-	-
Non-recur From FY10 Data Migration Center	-	-	(8,800)
Other Adjustments	(12)	(10)	(15,801)
Transfer to Aviation for Other Adjustments	(3)	(3)	(282)
Total Decreases	(15)	(13)	(24,883)
Total, Adjustments-to-Base	-	13	(3,577)
FY 2011 Current Services	1,582	1,514	998,203
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Expand FIOs and Technical Adjustment	31	16	6,620
Reduce Corporate Training	-	-	(1,000)
Reduce IT Across-the-Board	-	-	(7,097)
Support Enhanced Security at Checkpoint	55	28	55,643
Total, Program Changes	86	44	54,166
FY 2011 Request	1,668	1,558	1,052,369
FY 2010 to FY 2011 Total Change	86	57	50,589

C. Summary of Requirements

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	1,465	1,306	940,497
FY 2010 Enacted	1,582	1,501	1,001,780
Transfers	-	-	-
Total, Transfers	(3)	(3)	259
Adjustments-to-Base	-	-	-
Transfers	-	-	541
Increases	15	26	20,765
Decreases	(12)	(10)	(24,601)
Total, Adjustments-to-Base	3	16	(3,295)
FY 2011 Current Services	1,582	1,514	998,744
Program Changes	-	-	-
Total, Program Changes	86	44	54,166
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	1,668	1,558	1,052,369
Total Change 2010 to 2011	86	57	50,589

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Intelligence	180	167	28,203	226	202	37,788	46	35	9,585	31	16	6,620	15	19	2,965
Headquarters Administration	1,016	963	248,929	1,056	985	271,399	40	22	22,470	55	28	21,612	(15)	(6)	858
Human Capital Services	231	222	226,338	231	222	262,747	-	-	36,409	-	-	21,871	-	-	14,538
Information Technology	155	149	498,310	155	149	480,435	-	-	(17,875)	-	-	4,063	-	-	(21,938)
Subtotal, Estimates Program Project Activity	1,582	1,501	1,001,780	1,668	1,558	1,052,369	86	57	50,589	86	44	54,166	-	13	(3,577)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	1,582	1,501	1,001,780	1,668	1,558	1,052,369	86	57	50,589	86	44	54,166	-	13	(3,577)

D. Summary of Reimbursable Resources

**Department of Homeland Security
 Transportation Security Administration
 Transportation Security Support:
 Summary of Reimbursable Resources
 (Dollars in Thousands)**

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
DHS CIO	-	-	-	-	-	500	-	-	1,000	-	-	500
Office of Health Affairs	-	-	155	-	-	155	-	-	100	-	-	(55)
DHS Real Estate	-	-	83	-	-	560	-	-	1,000	-	-	440
Total Budgetary Resources	-	-	238	-	-	1,215	-	-	2,100	-	-	885

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
Headquarters Administration	-	-	-	-	-	560	-	-	1,000	-	-	440
Information technology	-	-	238	-	-	655	-	-	1,100	-	-	445
Total Obligations	-	-	238	-	-	1,215	-	-	2,100	-	-	885

E. Summary of Requirements by Object Class

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	140,474	158,503	166,331	7,828
11.3 Other than full-time permanent	2,106	2,425	2,528	103
11.5 Other personnel compensation	7,635	7,538	7,905	367
12.1 Benefits	39,397	45,502	47,761	2,259
13.0 Unemployment Compensation	8,038	7,000	7,000	-
21.0 Travel	8,819	9,461	11,006	1,545
22.0 Transportation of things	450	431	497	66
23.1 GSA rent	2,968	2,827	3,100	273
23.2 Other rent	25,550	24,707	28,623	3,916
23.3 Communications, utilities, and misc. charges	50,382	61,944	62,499	555
24.0 Printing	308	307	358	51
25.1 Advisory and assistance services	183,797	106,238	108,061	1,823
25.2 Other services	317,350	396,249	409,894	13,645
25.3 Purchases from Gov't accts.	71,169	104,736	113,153	8,417
25.4 O&M of facilities	3,225	3,119	3,589	470
25.6 Medical care	38	38	43	5
25.7 Operation and maintenance of equipment	59,895	42,661	34,731	(7,930)
26.0 Supplies and materials	2,547	2,696	3,066	370
31.0 Equipment	13,576	23,639	40,187	16,548
32.0 Land & structures	1,793	1,729	2,002	273
41.0 Grants/Subsidies/Contributions	949	-	-	-
42.0 Insurance Claims and Indemnity	31	30	35	5
Total, Object Class	940,497	1,001,780	1,052,369	50,589
Total, Direct Obligations	940,497	1,001,780	1,052,369	50,589

F. Permanent Positions by Grade

Department of Homeland Security Transportation Security Administration Transportation Security Support: Permanent Positions by Grade

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	27	27	27	-
Total, EX	1	1	1	-
L Band	58	73	73	-
K Band	327	361	377	16
J Band	544	554	599	45
I Band	202	224	234	10
H Band	136	169	177	8
G Band	99	92	96	4
F Band	52	61	64	3
E Band	10	12	12	-
D Band	5	7	7	-
C Band	3	-	-	-
B Band	1	1	1	-
Total Permanent Positions	1,465	1,582	1,668	(86)
Unfilled Positions EOY	82	96	96	-
Total Permanent Employment EOY	1,547	1,678	1,764	86
Full Time Equivalents	1,306	1,501	1,558	57
Headquarters	1,258	1,358	1,413	55
U.S. Field	207	224	255	31
Foreign Field	-	-	-	-
Total, Location	1,465	1,582	1,668	86
Average ES Salary	163,818	165,462	167,117	1,655
Average Salary, Banded Positions	108,463	112,114	113,684	1,570
Average Band	J	J	J	-

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Intelligence
Funding Schedule
(Dollars in Thousands)**

PPA: Intelligence	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	12,199	16,424	20,191	3,767
11.3 Other than full-time permanent	26	146	179	33
11.5 Other personnel compensation	1,236	728	895	167
12.1 Benefits	2,888	4,663	5,733	1,070
21.0 Travel	150	390	457	67
22.0 Transportation of things	5	3	5	2
25.2 Other services	6,342	5,684	6,135	451
26.0 Supplies and materials	161	143	204	61
31.0 Equipment	-	22	3,989	3,967
Total, Object Class	23,007	28,203	37,788	9,585
Total, Intelligence	23,007	28,203	37,788	9,585
Full Time Equivalents	124	167	202	35

PPA Mission Statement

Provide Intelligence Analysis, Coordination, and Dissemination -- TSA will continue to provide current and strategic warning regarding threats to U.S. transportation modes and identify trends and changes in targeting. The TSA intelligence unit analyzes intelligence and disseminates information through liaison with intelligence community agencies.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	12,199	16,424	20,191	3,767

Salaries and Benefits includes costs for 202 FTE. The FY 2011 request includes \$95,000 for pay annualization, \$231,000 for pay COLA and annualization of FY 2011 program increase of 6 FTE and \$770,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	26	146	179	33

Salaries and Benefits includes costs for 202 FTE. The FY 2011 request includes \$95,000 for pay annualization, \$231,000 for pay COLA and annualization of FY 2011 program increase of 6 FTE and \$770,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	1,236	728	895	167

Salaries and Benefits includes costs for 202 FTE. The FY 2011 request includes \$95,000 for pay annualization, \$231,000 for pay COLA and annualization of FY 2011 program increase of 6 FTE and \$770,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	2,888	4,663	5,733	1,070

Salaries and Benefits includes costs for 202 FTE. The FY 2011 request includes \$95,000 for pay annualization, \$231,000 for pay COLA and annualization of FY 2011 program increase of 6 FTE and \$770,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	-	-	-	-

Salaries and Benefits includes costs for 202 FTE. The FY 2011 request includes \$95,000 for pay annualization, \$231,000 for pay COLA and annualization of FY 2011 program increase of 6 FTE and \$770,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	150	390	457	67

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request has an increase of \$67,000 for program increase and inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	5	3	5	2

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	6,342	5,684	6,135	451

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Included in this category is contractual services for intelligence support. The FY 2011 request has an increase of \$451,000 for program increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	161	143	204	61

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request reflects an increase of \$61,000 for program increase and inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	-	22	3,989	3,967

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects an increase of \$3,967,000 for program increase and inflation.

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Headquarters Administration
Funding Schedule
(Dollars in Thousands)**

PPA: Headquarters Administration	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	93,443	99,207	102,575	3,368
11.3 Other than full-time permanent	1,727	1,834	1,896	62
11.5 Other personnel compensation	4,792	5,088	5,261	173
12.1 Benefits	28,052	29,781	30,792	1,011
21.0 Travel	6,240	6,018	6,969	951
22.0 Transportation of things	343	331	383	52
23.1 GSA rent	1,791	1,727	2,000	273
23.2 Other rent	25,225	24,327	28,170	3,843
23.3 Communications, utilities, and misc. charges	336	324	375	51
24.0 Printing	245	236	273	37
25.1 Advisory and assistance services	10,978	10,588	12,261	1,673
25.2 Other services	48,572	46,843	54,245	7,402
25.3 Purchases from Gov't accts.	14,678	14,155	16,391	2,236
25.4 O&M of facilities	3,065	2,956	3,423	467
25.6 Medical care	33	32	37	5
25.7 Operation and maintenance of equipment	297	286	331	45
26.0 Supplies and materials	1,695	1,635	1,893	258
31.0 Equipment	1,869	1,802	2,087	285
32.0 Land & structures	1,793	1,729	2,002	273
42.0 Insurance Claims and Indemnity	31	30	35	5
Total, Object Class	245,205	248,929	271,399	22,470
Total, Headquarters Administration	245,205	248,929	271,399	22,470
Full Time Equivalents	876	963	985	22

PPA Mission Statement

TSA Headquarters Administration include such critical functions as Assistant Secretary and Deputy Assistant Secretary, Office of Inspection, Chief Counsel, Finance and Administration, Legislative Affairs, Special Counselor, Acquisition, Security, and Strategic Communications and Public Affairs. These services are essential for the effective and efficient operation of the Agency.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	93,443	99,207	102,575	3,368

Salaries and benefits includes costs for 985 FTEs. The FY 2011 request reflects \$642,000, a pay annualization, \$1,427,000 for pay inflation \$850,000 for annualization of FY 2010 program increase, - \$1,634,000 for realignments and \$3,329,000 for program increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	1,727	1,834	1,896	62

Salaries and benefits includes costs for 985 FTEs. The FY 2011 request reflects \$642,000, a pay annualization, \$1,427,000 for pay inflation \$850,000 for annualization of FY 2010 program increase, - \$1,634,000 for realignments and \$3,329,000 for program increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	4,792	5,088	5,261	173

Salaries and benefits includes costs for 985 FTEs. The FY 2011 request reflects \$642,000, a pay annualization, \$1,427,000 for pay inflation \$850,000 for annualization of FY 2010 program increase, - \$1,634,000 for realignments and \$3,329,000 for program increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	28,052	29,781	30,792	1,011

Salaries and benefits includes costs for 985 FTEs. The FY 2011 request reflects \$642,000, a pay annualization, \$1,427,000 for pay inflation \$850,000 for annualization of FY 2010 program increase, - \$1,634,000 for realignments and \$3,329,000 for program increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	6,240	6,018	6,969	951

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request reflects an increase of \$951,000 due to increased travel and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	343	331	383	52

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request reflects an increase of \$52,000 due to inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	1,791	1,727	2,000	273

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request reflects an increase of \$273,000 due to inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	25,225	24,327	28,170	3,843

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request reflects the realignment, non-pay inflation, and efficiency. The FY 2011 request reflects an increase of \$3,843,000 due to inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	336	324	375	51

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request reflects an increase of \$51,000 due to inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	245	236	273	37

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects an increase of \$37,000 due to inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	10,978	10,588	12,261	1,673

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal government. The FY 2011 request reflects an increase of \$1,673,000 due to conversion of contracts to FTEs and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	48,572	46,843	54,245	7,402

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Included under this object class are contracts for security support, EEO support, and corporate training. The FY 2011 request reflects an increase of \$7,402,000 due to conversion of contracts to FTE and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	14,678	14,155	16,391	2,236

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request reflects an increase of \$2,236,000 due to conversion of contracts to FTE and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	3,065	2,956	3,423	467

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects an increase of \$467,000 due to conversion of contracts to FTE and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	33	32	37	5

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request reflects an increase of \$5,000 due to inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	297	286	331	45

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects an increase of \$45,000 due to inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,695	1,635	1,893	258

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2011 request reflects and increase of \$258,000 due to inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	1,869	1,802	2,087	285

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects an increase of \$285,000 due to realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	1,793	1,729	2,002	273

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	31	30	35	5

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Human Capital Services
Funding Schedule
(Dollars in Thousands)**

PPA: Human Capital Services	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	19,408	24,672	25,126	454
11.3 Other than full-time permanent	350	445	453	8
11.5 Other personnel compensation	602	765	779	14
12.1 Benefits	4,930	6,268	6,383	115
13.0 Unemployment Compensation	8,038	7,000	7,000	-
21.0 Travel	2,356	2,753	3,280	527
22.0 Transportation of things	53	62	74	12
23.2 Other rent	325	380	453	73
23.3 Communications, utilities, and misc. charges	17	20	24	4
24.0 Printing	61	71	85	14
25.2 Other services	139,263	163,873	195,230	31,357
25.3 Purchases from Gov't accts.	16,692	19,505	23,237	3,732
25.6 Medical care	5	6	6	-
26.0 Supplies and materials	229	268	319	51
31.0 Equipment	214	250	298	48
Total, Object Class	192,543	226,338	262,747	36,409
Total, Human Capital Services	192,543	226,338	262,747	36,409
Full Time Equivalents	181	222	222	-

PPA Mission Statement

Human Capital Services include all the activities that support the Office of Human Capital Services (OHCS) including the recruitment, assessment, servicing, and payroll of TSA's Transportation Security Officers and other workforce at headquarters, field locations, and airports, and personnel policies, programs and systems.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	19,408	24,672	25,126	454

Salaries and benefits includes costs for 222 FTEs. In FY 2009, the HR Services PPA in the Aviation Security Appropriation and funding of the Office of Human Capital in the HQ Administration, Transportation Security Support Appropriation were realigned into this PPA. The increase reflects a pay COLA of \$411,000 and \$180,000 for pay annualization.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	350	445	453	8

Salaries and benefits includes costs for 222 FTEs. In FY 2009, the HR Services PPA in the Aviation Security Appropriation and funding of the Office of Human Capital in the HQ Administration,

Transportation Security Support Appropriation were realigned into this PPA. The increase reflects a pay COLA of \$411,000 and \$180,000 for pay annualization.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	602	765	779	14

Salaries and benefits includes costs for 222 FTEs. In FY 2009, the HR Services PPA in the Aviation Security Appropriation and funding of the Office of Human Capital in the HQ Administration, Transportation Security Support Appropriation were realigned into this PPA. The increase reflects a pay COLA of \$411,000 and \$180,000 for pay annualization.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	4,930	6,268	6,383	115

Salaries and benefits includes costs for 222 FTEs. In FY 2009, the HR Services PPA in the Aviation Security Appropriation and funding of the Office of Human Capital in the HQ Administration, Transportation Security Support Appropriation were realigned into this PPA. The increase reflects a pay COLA of \$411,000 and \$180,000 for pay annualization.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	8,038	7,000	7,000	-

Salaries and benefits includes costs for 222 FTEs. In FY 2009, the HR Services PPA in the Aviation Security Appropriation and funding of the Office of Human Capital in the HQ Administration, Transportation Security Support Appropriation were realigned into this PPA. The increase reflects a pay COLA of \$411,000 and \$180,000 for pay annualization.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	2,356	2,753	3,280	527

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request reflects an increase of \$527,000 for inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	53	62	74	12

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request reflects an increase of \$12,000 for inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	325	380	453	73

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request reflects an increase of \$73,000 for inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	17	20	24	4

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request reflects a \$4,000 increase due to inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	61	71	85	14

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects an increase of \$14,000 due to inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	139,263	163,873	195,230	31,357

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Included under this object class are contracts for security support, EEO support, and corporate training. The FY 2011 request reflects a PPA realignment from Information Technology for a Human Capital System of \$13,900,000 and an increase of \$17,457,000 for inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	16,692	19,505	23,237	3,732

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request reflects an increase of \$3,732,000 due to inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	5	6	6	-

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request remains static.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	229	268	319	51

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2011 request reflects an increase of \$51,000 for inflation and realignments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	214	250	298	48

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Information Technology
Funding Schedule
(Dollars in Thousands)**

PPA: Information Technology	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	15,424	18,200	18,439	239
11.3 Other than full-time permanent	3	-	-	-
11.5 Other personnel compensation	1,005	957	970	13
12.1 Benefits	3,527	4,790	4,853	63
21.0 Travel	73	300	300	-
22.0 Transportation of things	49	35	35	-
23.1 GSA rent	1,177	1,100	1,100	-
23.3 Communications, utilities, and misc. charges	50,029	61,600	62,100	500
24.0 Printing	2	-	-	-
25.1 Advisory and assistance services	172,441	95,650	95,800	150
25.2 Other services	122,869	179,849	154,284	(25,565)
25.3 Purchases from Gov't accts.	39,799	71,076	73,525	2,449
25.4 O&M of facilities	160	163	166	3
25.7 Operation and maintenance of equipment	59,598	42,375	34,400	(7,975)
26.0 Supplies and materials	451	650	650	-
31.0 Equipment	10,273	21,565	33,813	12,248
Total, Object Class	476,880	498,310	480,435	(17,875)
Total, Information Technology	476,880	498,310	480,435	(17,875)
Full Time Equivalents	125	149	149	-

PPA Mission Statement

Information Technology provides and maintains the IT and network and infrastructure services and support for all of TSA. TSA will continue to enhance the effectiveness of its entire workforce through its IT core support.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	15,424	18,200	18,439	239

Salaries and benefits includes costs for 149 FTEs. The FY 2011 request includes an increase of \$315,000 attributed to pay annualization and pay COLA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	3	-	-	-

Salaries and benefits includes costs for 149 FTEs. The FY 2011 request includes an increase of \$315,000 attributed to pay annualization and pay COLA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	1,005	957	970	13

Salaries and benefits includes costs for 149 FTEs. The FY 2011 request includes an increase of \$315,000 attributed to pay annualization and pay COLA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	3,527	4,790	4,853	63

Salaries and benefits includes costs for 149 FTEs. The FY 2011 request includes an increase of \$315,000 attributed to pay annualization and pay COLA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	73	300	300	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request remains static.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	49	35	35	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request remains static.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	1,177	1,100	1,100	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request remains static.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	50,029	61,600	62,100	500

Communications, utilities, and miscellaneous charges includes all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request includes an increase of \$500,000 for IT equipment and services to support an FY 2011 staff increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	172,441	95,650	95,800	150

Advisory and assistance services includes services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes an increase of \$150,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	122,869	179,849	154,284	(25,565)

Other services includes report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes a decrease of \$25,565,000 which reflects an across-the-board PPA reduction and a \$13.9 million PPA realignment for a Human Capital System.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	39,799	71,076	73,525	2,449

Purchases from Government Accounts includes costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 includes an increase of \$2,449,000 due to Working Capital Fund increases and an FY 2011 staff increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	59,598	42,375	34,400	(7,975)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$7,975,000 which reflects a reduction in non-recur Data Center Migration funds and an increase in equipment O&M to support an FY 2011 staff increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	451	650	650	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. Some software purchases and computer supplies are included in this object class. The FY 2011 request remains static.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	10,273	21,565	33,813	12,248

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes an increase of \$12,248,000 which reflects an increase in Whisper Communications technology and an increase in IT equipment to support an FY 2011 staff increase.

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support:
Research and Development Consolidation
Funding Schedule
(Dollars in Thousands)**

PPA: Research and Development Consolidation	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	378	-	-	-
25.2 Other services	304	-	-	-
26.0 Supplies and materials	11	-	-	-
31.0 Equipment	1,220	-	-	-
41.0 Grants/Subsidies/Contributions	949	-	-	-
Total, Object Class	2,862	-	-	-
Total, Research and Development Consolidation	2,862	-	-	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Provides research and development (Tech Center), Next Generation Explosive Detection Systems, and Air Cargo research. Research and Development funds were permanently transferred to the DHS Office of Science and Technology in FY 2006 for more effective coordination of research dollars within the Department.

I. Changes in Full Time Equivalent

Department of Homeland Security Transportation Security Administration Transportation Security Support: Changes in Full Time Equivalent

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	1,347	1,306	1,501
INCREASES	-	-	-
Covert Testing & Correct Material Weaknesses	29	1	-
Implementation of 9/11 Act	-	11	-
Intelligence Operations	47	74	6
Workforce Shaping and Sustainment	-	8	7
DHS TRIP	-	1	-
HQ Operations	4	95	1
Evolution of the Checkpoint	-	1	-
IT Sustainment	-	1	-
HQ Rent/Admin	-	1	-
Expand FIOs and Technical Adjustment	-	-	16
FY11 Annualization of FY10 Program Increase	-	-	-
Other Adjustments	-	-	-
Support Enhanced Security at Checkpoint	-	-	28
Annual Hiring	-	3	-
Subtotal, Increases	80	195	58
DECREASES	-	-	-
Realignment between PPA's	-11	-	-
Lapse rate/Efficiencies	-110	-	-1
	-	-	-
Subtotal, Decreases	-121	0	(1)
Year End Actual / Estimated FTEs:	1,306	1,501	1,558
Net Change from prior year base to Budget Year Estimate:	-41	195	57

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
 Transportation Security Administration
 Transportation Security Support:
 FY 2011 Schedule of Working Capital Fund by Program/Project Activity
 (Dollars in Thousands)**

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Headquarters Administration	1,171	2,639	1,511	(1,128)
Human Capital Services	-	81	81	-
Information technology	39,386	46,904	50,023	3,119
Intelligence	-	178	178	-
Total Working Capital Fund	40,557	49,802	51,793	1,991

Department of Homeland Security
Transportation Security Administration
Federal Air Marshals:



Fiscal Year 2011
Overview
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Federal Air Marshals:

I. Appropriation Overview

A – Mission Statement for Federal Air Marshals:

The Federal Air Marshal Service (FAMS) promotes public confidence in our Nation's civil transportation systems through the effective risk-based strategic deployment of Federal Air Marshals (FAMs) and other FAMS law enforcement resources in both air and land based mission-related assignments. The organization's primary focus is to detect, deter, and defeat terrorist or other criminal hostile acts targeting U.S. air carriers, airports, passengers, crew and other transportation modes within the Nation's general transportation systems.

B – Budget Activities:

Management and Administration (M&A)

The FAMS's mission demands a host of critical planning, operational, and support programs to protect the public from the threat of a terrorist attack or other criminal activity. The FAMS's M&A programs encompass vital enforcement, information management, and infrastructure components necessary to support core operations. Examples include the FAMS's participation in Joint Terrorism Task Force (JTTF) operations and investigations, management and implementation of a sophisticated flight/mission scheduling and notification system, and performance of mission critical workforce management, command and control, information technology, logistics, and related services.

Travel and Training (T&T)

In order to maintain optimum readiness and perform its primary operational functions, the FAMS requires extensive training and mission travel capabilities. FAMs must undergo continuous training to maintain and expand their expertise in the full-range of skills necessary to operate within the transportation domain, to include specialized tactics, enforcement, surveillance detection, marksmanship, and other skill sets. Furthermore, this PPA funds the FAMS's mission travel activities, which are an integral component to the international and domestic flight coverage activities that are core to the FAMS mission.

C – Budget Request Summary:

The Transportation Security Administration (TSA) requests \$950,015,000 in FY 2011, an increase of \$89,904,000 over FY 2010. The total adjustments-to-base are \$4,877,000 which includes a permanent shift of \$5,058,000 to TSA's Aviation Security Appropriation to reflect the organizational transfer and realignment of TSA's Explosives Operations Division to TSA's Office of Security Operations. The program increase totals \$85,027,000 to:

- FY 2011 Mission Coverage Enhancement (\$85,027,000)

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshals:**

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Management and Administration	-	728,052	-	762,569	-	822,900	-	60,331	-	54,856	-	5,475
Travel and Training	-	90,118	-	97,542	-	127,115	-	29,573	-	30,171	-	(598)
Subtotal, Enacted Appropriations and Budget Estimates	-	818,170	-	860,111	-	950,015	-	89,904	-	85,027	-	4,877
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	-	818,170	-	860,111	-	950,015	-	89,904	-	85,027	-	4,877

III. Current Services Program Description by PPA

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshals:
Management and Administration
Program Performance Justification**
(Dollars in Thousands)

PPA: Management and Administration

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	728,052
2010 Enacted	-	-	762,569
2011 Adjustments-to-Base	-	-	5,475
2011 Current Services	-	-	768,044
2011 Program Change	-	-	54,856
2011 Total Request	-	-	822,900
Total Change 2010 to 2011	-	-	60,331

The Transportation Security Administration requests \$822.9 million for this activity in FY 2011. The request includes a program increase of \$54.9 million to sustain domestic flight coverage while maintaining the enhanced international flight coverage initiated in response to the threat posed by Al Qaeda and associated groups to U.S. civil aviation. In addition, the proposed funding level reflects a permanent shift of \$4.5 million to the Aviation Security Appropriation to reflect the transfer and realignment of TSA's Explosives Operations Division to the Agency's Office of Security Operations.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Management & Administration (M&A) PPA funds the FAMS's payroll costs and supports all operational and infrastructure requirements with the exception of training and travel expenses. The vast majority of this PPA provides the salaries for FAMs and allows the workforce to provide the vital protective and law enforcement services necessary for both domestic and international air travel and other transportation-related security activities.

The remaining balance of M&A supports the continuing development and maintenance of the Service's infrastructure, internal business processes, and strategic systems that

enable FAMS to seamlessly perform the integrated set of functions that make up their mission. In addition to the activities detailed below, M&A provides funding for workforce management activities (background investigations, permanent change of station (PCS), etc); information technology; leasing and maintenance of facilities in Washington DC area, Atlantic City, NJ, and twenty-one field and four Resident Agent in Charge (RAC) offices across the country; and program infrastructure and logistics support such as vehicles, communications, duty equipment, and physical security.

Key programs of the Management & Administration PPA include:

Joint Terrorism Task Force (JTTF): The FAMS is a full participant in the JTTF, a nation-wide counter terrorism enforcement program managed by the Federal Bureau of Investigation (FBI). JTTFs target terrorism-related criminal threats against the United States or its interests. The FAMS has been an active full-time investigative partner in JTTFs providing support since 2002. The FAMS is able to partner with and provide support to the FBI and other law enforcement agencies via this program. The investigation of aviation and other transportation-related threats is the primary focus for FAMS's support to JTTF activities.

Transportation Information Sharing System (TISS): The TISS enables the collection, analysis, and dissemination of intelligence information observed by FAMS, TSA personnel, and State/Local law enforcement in the transportation sector. FAMS routinely submit Surveillance Detection Reports (SDRs) when they observe activities that fall below a predetermined threshold of an actionable incident. The FAMS's Tactical Information Branch (TIB) analyzes and investigates these reports and uses the information to identify a nexus of terrorist or criminal related activity, as well as trends, patterns, or associations that may reveal circumstances or subjects that are deemed to be of interest to Department of Homeland Security (DHS) intelligence.

Visible Intermodal Prevention and Response (VIPR): Deployments are conducted in all modes of transportation to effectively detect, deter, defeat, and disrupt potential terrorist and/or criminal activity. VIPR operations are planned and implemented through a risk-based approach utilizing existing intelligence, empirical data, security, and threat based assessments and analysis. The operations consist of teams of TSA personnel including FAMS, Transportation Security Inspectors (TSIs), Transportation Security Officers (TSOs), Behavioral Detection Officers (BDOs), Explosive Detection Canine Teams, Bomb Appraisal Officers (BAOs), and Federal, state and local law enforcement officers. The teams are tailored to each transportation mode, the specific needs of each transportation partner, as well as venue. In addition, VIPR deployments incorporate elements of randomness and are unpredictable in frequency, location, and duration. These resources are used to enhance TSA's overall ability to screen passengers, identify suspicious behavior, and act as a visible deterrent in multiple transportation sectors. In FY 2009, FAMS completed the hiring and deployment of 10 teams dedicated to the VIPR program. As a result of additional resources and an increased Federal, state and local stakeholder awareness of, and commitment to VIPR team deployments, the number of VIPR deployments has increased from four to five per week in 2007 to approximately

40 to 50 per week in 2009. Of the VIPR operations completed by TSA during FY 2009, approximately 55 percent were dedicated to the surface domain, including highways, freight rail, pipelines, mass transit, and maritime. The remaining 45 percent were focused in the aviation domain, including air cargo, commercial aviation, and general aviation. In FY 2010 and 2011, FAMS will continue to deploy resources in support of this vital transportation security program.

The following table provides the major component parts of the M&A PPA, with resources shown in millions of dollars.

	FY 2010	FY 2011
Payroll, Compensation and Benefits	\$648.9	\$662.9
Information Technology	45.7	45.7
Operations Infrastructure	68.0	59.4
Total	\$762.6	\$768.0

Payroll/OWCP – \$662.9M: This component, which amounts to approximately 77 percent of the total FAMS budget, covers all pay, compensation and benefits, overtime, Law Enforcement Availability Pay (LEAP), awards, and workers’ compensation for the Service’s FAM and civilian work force. The missions that FAMS perform every day support the Service’s core capability and effort in achieving its goal of detecting, deterring, and preventing hostile acts within the aviation and transportation domains. FAMS personnel are arrayed throughout the country and provide the manpower necessary to conduct the Service’s full range of operations. The FAMS continues to effectively utilize its allocated FTE and associated payroll resources.

Information Technology (IT) – \$45.7M: The FAMS’s IT capability is critical to providing the Service and individual FAMS with the vital automated tools, systems, and computer security technology necessary to ensure accomplishment of the FAMS mission. In FY 2009, the FAMS completed a technology refresh of personal data assistant (PDA) equipment, which is used by FAMS during mission status as a critical means of communication to share real time tactical information and for business and administrative applications. In FY 2009, the FAMS initiated a partial technology refresh of hardware and associated software needed to support continued operations for the FAMS IT network infrastructure as part of an approved reprogramming of prior year funds. FAMS enterprise access to DHS One Net is expected in FY 2010.

In addition to funding a critical IT network needed for managing the FAMS’s enforcement and business operations, this PPA funds the Mission Scheduling and Notification System (MSNS), the core automated system used by the Service for planning, scheduling, and implementing FAMS’s flight coverage operations. The MSNS uses a risk-based process that selects from over 28,000 daily U.S. commercial airline flights to prioritize deployments of FAMS worldwide. The core of the MSNS consists of SABRE Air Crews and SABRE QIKRES Reservations systems, modified for use by the FAMS, with data being stored in Oracle Databases. The MSNS is critical to the accomplishment of the FAMS’s mission in as much as its loss, or even an extended

interruption, would cause a deterioration of mission coverage. In FY 2010, the FAMS will initiate a hardware refresh for the MSNS and continue work on scheduled software improvements to address quality of life and coverage issues. FAMS plans to continue the hardware refresh in FY 2011, and the scheduled software improvements initiated in FY 2010 are expected to be deployed.

Operations Infrastructure -- \$59.4M: The Operations Infrastructure component funds critical operations infrastructure activities including, but not limited to: permanent change of station (PCS); facility build out, leases, utilities, and maintenance; telecommunications; background investigations; and logistics management. In FY 2009, the FAMS finalized the relocation of the Los Angeles Field Office to more efficiently support critical mission operations. In addition, the FAMS developed a successful pilot program that demonstrated the effectiveness of “floating” medical assessment centers in several locations throughout the United States to facilitate the FAM hiring process. In FY 2010 and FY 2011, the FAMS plans to continue to provide current services level support for this critical program area.

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshals:
Travel and Training
Program Performance Justification
(Dollars in Thousands)**

PPA: Travel and Training

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	90,118
2010 Enacted	-	-	97,542
2011 Adjustments-to-Base	-	-	(598)
2011 Current Services	-	-	96,944
2011 Program Change	-	-	30,171
2011 Total Request	-	-	127,115
Total Change 2010 to 2011	-	-	29,573

The Transportation Security Administration (TSA) requests \$127.1 million for this activity in FY 2011. The request includes a program increase of \$30.2 million to sustain domestic flight coverage while maintaining the enhanced international flight coverage initiated in response to the threat posed by Al Qaeda and associated groups to U.S. civil aviation. In addition, the proposed funding level reflects a permanent shift of \$0.6 million to the Aviation Security Appropriation to reflect the transfer and realignment of TSA's Explosives Operations Division to the Agency's Office of Security Operations. This permanent transfer and realignment in addition to the transfer from the Management and Administration PPA totals \$5.1 million.

CURRENT SERVICES PROGRAM DESCRIPTION:

The following table provides the major component parts of the Travel and Training (T&T) PPA, with resources shown in millions of dollars.

	FY 2010	FY 2011
Travel	\$83.1	\$82.6
Training	14.4	14.3
Total	\$97.5	\$96.9

The T&T PPA supports the FAMS's core requirements for travel, travel-associated costs, and training.

Travel – \$82.6M: This component funds all travel necessary to perform domestic and international mission coverage, mission essential training, and other business-related travel in support of FAMS’s operational and programmatic goals. The FAMS schedules the coverage of high-risk flights according to a concept of operations that incorporates threat and intelligence, consequence, and vulnerability.

In January 2009, the Government Accountability Office (GAO) released a public version of a report requested by members of Congress to examine (1) the FAMS’s operational approach or "concept of operations" for covering flights, (2) the extent to which this operational approach has been independently evaluated, and (3) the processes and initiatives the FAMS established to address workforce-related issues. GAO examined previous studies conducted by the Homeland Security Institute (HSI) that independently assessed and validated the FAMS’s operational approach.

The FY 2009 appropriation increased mission travel to maintain priority coverage of international and domestic flights using available FTE. In FY 2010, in response to the December 25, 2009 attempted bombing of a U.S. aircraft, the FAMS significantly increased its international coverage to detect, deter or defeat additional terrorist attacks.

Training – \$14.3M: Through its training programs, the FAMS provides effective learning environments and opportunities for its employees, utilizing current and relevant curricula and training methodologies to enable and challenge FAMS to perform their duties and responsibilities in a highly effective and efficient manner.

Upon entry into the FAMS training program, FAM trainees undergo an intensive 16.5-week training program conducted at the Federal Law Enforcement Training Center (FLETC) in Artesia, New Mexico and at the FAMS Training Center in Atlantic City, New Jersey. The training component provides for all associated training requirements to include FLETC-related expenses, role player contracts, hotel lodging contracts for Atlantic City classes, training supplies, firing range fees, training gear, equipment, and clothing. Once assigned to a field office, FAMs undergo recurrent, in-service training to maintain their necessary skill base and meet firearms certification levels on a quarterly basis. Currently, the FAMS has the highest firearms qualification score of any federal agency (85% or 255/300). At the end of FY 2009, virtually all eligible FAMs met their quarterly firearms qualification and the average rate of accuracy in FAMs’ firearms re-qualification was 95.34%.

In FY 2009, the FAMS achieved Federal Law Enforcement Training Accreditation (FLETA) of the Federal Air Marshal Training Program I (FAMTPI) in Artesia, NM. In FY 2010, FAMS expects to achieve accreditation of the FAMS Instructor Development Course (IDC). In FY 2011, FAMS expects to achieve re-accreditation for the Federal Air Marshal Service Training Center (FAMSTC) and Federal Air Marshal Training Program II (FAMTPII) in Atlantic City, NJ.

In FY 2009, the FAMS initiated the purchase, delivery, and installation of a turn-key functional range equipment upgrade at the FAMS Training Center in Atlantic City, NJ for

the outdoor and indoor ranges. The combined results of this expenditure will provide enhanced firearms training and range operation efficiency and safety as well as allowing more efficient utilization of instructor resources.

In addition in FY 2009, the FAMS approved a plastic molded aircraft seat prototype and initiated the procurement of 260 such seats which will be used to replicate aircraft seats at the FAMS Training Center in Atlantic City, NJ as well as field office training locations across the country. These are durable, rugged, maintainable, and safe seats for both indoor and outdoor training environments that will mitigate recently identified safety and health risks. These seats minimize the retention and permeation of gun powder, mold, tungsten and lead as well as eliminate potential sharp edges found in actual airline seats.

In FY 2010, the FAMS plan to complete the procurement and installation of aircraft cabin training simulators that will reside inside an existing building at FAMSTC located in Atlantic City, NJ. The simulators will replace the outdated L1011 and 727 airframes currently in use at the FAMSTC. The FAMS estimates that the first simulator will be completed and operational by mid-FY 2010 and the second simulator will be completed and operational by mid-FY 2011. In addition, the FAMS plan to complete their validation study to define the related physical performance standards for the Federal Air Marshal SV-1801 job series. Upon completion of the study, the FAMS will receive recommendations on the minimum level of fitness status necessary to ensure safe and efficient job performance.

This PPA component also provides required training for the FAMS workforce. Examples include firearms training, mandated annual contracts/warrant officer training, mandated FAMS instructor training, leadership/management training, and professional/career development courses. In FY 2011, the FAMS plans to continue to provide support for this critical program area.

IV. Program Justification Changes

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshals:
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Increase FAMS Mission Coverage
 PPA: Federal Air Marshals: Management and Administration, Travel and Training
 Program Increase: Positions 0.0, FTE 0.0, Dollars \$85027.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	864,988
Program Increase							-	-	85,027
Total Request	-	-	-	-	-	-	-	-	950,015

Description of Item

Due to the failed Christmas Day 2009 terrorist attack, an increase in coverage of international flights began. In order to sustain coverage capacity in the out years, TSA is requesting an additional \$85 million. The request includes additional positions that will backfill the existing Federal Air Marshals who have been diverted from domestic missions to continue the present international surge mission tempo.

Justification

As a result of the failed Christmas Day 2009 terrorist attack on Northwest Airlines Flight 253, increased FAMS coverage on international flights departing/arriving in sensitive locations was immediately instituted, and is anticipated to continue. This level of international flight coverage significantly exceeds what is supportable in the FAMS's current base of funds and an additional investment of resources is necessary to sustain the increased mission tempo. The monetary expenses incurred for international mission coverage are significant due to higher lodging and per diem costs overseas and the times and distances involved in international travel have a disproportionate impact on domestic flight coverage. The requested program change will enable the FAMS to continue the present mission tempo in international flight coverage in FY 2011, while ensuring that historical domestic flight coverage levels are maintained. This would be accomplished by an increase in Federal Air Marshals and associated infrastructure.

Impact on Performance (Relationship of Increase to Strategic Goals)

This program change directly supports DHS Strategic Goal 3.4 - Protect Transportation Sectors. By maintaining coverage of high-risk international and domestic flights selected using the FAMS's risk-based Concept of Operations (CONOPS), the Federal Air Marshal Service is better able to detect, deter, and defeat terrorist or other criminal hostile acts targeting the Nation's aviation and transportation domain. Furthermore, maintaining mission coverage provides flexibility in efforts to cover high-risk flights, supporting TSA's strategy of increasing the use of flexible and unpredictable security measures to protect critical infrastructure.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Transportation Security Administration
Justification of Proposed Changes in
Federal Air Marshal Service
Appropriation Language**

For necessary expenses of the Federal Air Marshals, [\$860,111,000] ***\$950,015,000***.
(Department of Homeland Security Appropriations Act, 2010)

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshals:
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	-	-	818,170
FY 2010 Enacted	-	-	860,111
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Increases	-	-	-
Annualization of FY 2010 Pay Raise	-	-	3,122
FY11 Pay COLA	-	-	6,813
Total Increases	-	-	9,935
Decreases	-	-	-
Explosives Operations Division Transfer to Aviation Security	-	-	(5,058)
Total Decreases	-	-	(5,058)
Total, Adjustments-to-Base	-	-	4,877
FY 2011 Current Services	-	-	864,988
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Increase FAMS Mission Coverage	-	-	85,027
Total, Program Changes	-	-	85,027
FY 2011 Request	-	-	950,015
FY 2010 to FY 2011 Total Change	-	-	89,904

C. Summary of Requirements

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshals:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	-	-	818,170
FY 2010 Enacted	-	-	860,111
Transfers	-	-	-
Total, Transfers	-	-	(5,058)
Adjustments-to-Base	-	-	-
Increases	-	-	9,935
Total, Adjustments-to-Base	-	-	9,935
FY 2011 Current Services	-	-	864,988
Program Changes	-	-	-
Total, Program Changes	-	-	85,027
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	-	-	950,015
Total Change 2010 to 2011	-	-	89,904

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Management and Administration	-	-	762,569	-	-	822,900	-	-	60,331	-	-	54,856	-	-	5,475
Travel and Training	-	-	97,542	-	-	127,115	-	-	29,573	-	-	30,171	-	-	(598)
Subtotal, Estimates Program Project Activity	-	-	860,111	-	-	950,015	-	-	89,904	-	-	85,027	-	-	4,877
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	-	-	860,111	-	-	950,015	-	-	89,904	-	-	85,027	-	-	4,877

D. Summary of Reimbursable Resources

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshals:
Summary of Reimbursable Resources
(Dollars in Thousands)**

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
National Protection and Program Directorate (NPPD)	-	-	-	-	-	5	-	-	5	-	-	-
Recovery Accountability & Transparency Board	-	-	-	-	-	175	-	-	178	-	-	3
Immigration and Customs Enforcement	-	-	151	-	-	-	-	-	-	-	-	-
Total Budgetary Resources	-	-	151	-	-	180	-	-	183	-	-	3

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
Immigrations and Customs Enforcement (ICE)	-	-	151	-	-	-	-	-	-	-	-	-
National Protection and Programs Directorate	-	-	-	-	-	5	-	-	5	-	-	-
Recovery Accountability & Transparency Board	-	-	-	-	-	175	-	-	178	-	-	3
Total Obligations	-	-	151	-	-	180	-	-	183	-	-	3

Explanation of Increase/Decrease:

Recovery Accountability and Transparency Board- Under its interagency agreement (IAA) with the Board, FAMS provides a detailee that serves as the Chief of Staff to the Director of Recovery.gov. TSA intends to charge an inflationary increase of 1.4% in FY 2011.

E. Summary of Requirements by Object Class

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshals:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	331,107	350,387	381,612	31,225
11.3 Other than full-time permanent	1,069	12,977	14,082	1,105
11.5 Other personnel compensation	101,158	103,349	111,245	7,896
11.8 Special Service Pay	1,679	470	704	234
12.1 Benefits	186,611	181,682	196,438	14,756
21.0 Travel	80,339	85,022	101,875	16,853
22.0 Transportation of things	258	267	291	24
23.1 GSA rent	2,234	3,411	3,656	245
23.2 Other rent	15,566	17,196	17,047	(149)
23.3 Communications, utilities, and misc. charges	13,253	13,872	15,303	1,431
24.0 Printing	6	6	10	4
25.1 Advisory and assistance services	15,202	19,330	16,049	(3,281)
25.2 Other services	29,987	36,246	33,457	(2,789)
25.3 Purchases from Gov't accts.	13,320	15,023	28,268	13,245
25.4 O&M of facilities	3,587	2,160	3,208	1,048
25.6 Medical care	1,028	17	1,926	1,909
25.7 Operation and maintenance of equipment	1,775	2,206	5,838	3,632
26.0 Supplies and materials	4,001	7,216	8,696	1,480
31.0 Equipment	15,505	9,199	10,309	1,110
42.0 Insurance Claims and Indemnity	485	75	1	(74)
Total, Object Class	818,170	860,111	950,015	89,904
Total, Direct Obligations	818,170	860,111	950,015	89,904

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing
Not Applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshals:
Management and Administration
Funding Schedule
(Dollars in Thousands)**

PPA: Management and Administration	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	331,107	350,387	381,612	31,225
11.3 Other than full-time permanent	1,069	12,977	14,082	1,105
11.5 Other personnel compensation	101,158	103,349	111,245	7,896
11.8 Special Service Pay	1,679	470	704	234
12.1 Benefits	186,611	181,682	196,438	14,756
21.0 Travel	2,646	2,797	2,441	(356)
22.0 Transportation of things	258	257	281	24
23.1 GSA rent	2,234	3,411	3,656	245
23.2 Other rent	14,425	16,275	16,126	(149)
23.3 Communications, utilities, and misc. charges	13,253	13,872	15,303	1,431
24.0 Printing	6	6	10	4
25.1 Advisory and assistance services	15,202	19,330	16,049	(3,281)
25.2 Other services	23,870	27,974	25,277	(2,697)
25.3 Purchases from Gov't accts.	13,298	14,764	15,834	1,070
25.4 O&M of facilities	3,587	2,160	3,208	1,048
25.6 Medical care	1,022	-	1,909	1,909
25.7 Operation and maintenance of equipment	1,775	2,206	5,838	3,632
26.0 Supplies and materials	1,362	2,047	3,246	1,199
31.0 Equipment	13,005	8,530	9,640	1,110
42.0 Insurance Claims and Indemnity	485	75	1	(74)
Total, Object Class	728,052	762,569	822,900	60,331
Total, Management and Administration	728,052	762,569	822,900	60,331
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Management and Administration (M&A) PPA funds the FAMS' staffing/payroll requirements, which include: salary/compensation, benefits, awards, overtime, etc. In addition, M&A funds critical administrative and operational requirements including the FAMS' mission scheduling system and information technology requirements, rent, wireless communications systems and explosives unit operations; recruitment/hiring and retention services (background investigations, security clearances, medical exams/physicals, drug tests); and a host of program support services and requirements (interagency agreements, vehicle leasing, shipment of goods, utilities/communications, janitorial services, supplies, duty equipment, printing, physical security, etc.)

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	331,107	350,387	381,612	31,225

The FY 2011 request includes an increase for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	1,069	12,977	14,082	1,105

The FY 2011 request includes an increase for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	101,158	103,349	111,245	7,896

The FY 2011 request includes an increase for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	1,679	470	704	234

The FY 2011 request includes an increase for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	186,611	181,682	196,438	14,756

The FY 2011 request includes an increase for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	2,646	2,797	2,441	(356)

Travel in the M&A PPA reflects costs for vehicle leases. The FY 2011 request includes a decrease of \$356,000 for a technical adjustment. There is no program impact associated with this technical change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	258	257	281	24

Transportation of things includes all costs associated with the care of items in the process of being transported, as well as other services associated with the transportation of things. The FAMS uses this object class series for central billing and for the shipment of goods between Headquarters and Field Offices. The FY 2011 request includes an increase of \$24,000 for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	2,234	3,411	3,656	245

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes an increase of \$245,000 for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	14,425	16,275	16,126	(149)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The majority of the FAMS' commercial office leases for Headquarters and field offices are included in this category. The FY 2011 request includes a decrease of \$149,000 for a technical adjustment. There is no program impact associated with this technical change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	13,253	13,872	15,303	1,431

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FAMS uses this object class series for PDA and cell phone air time and general office utilities such as metered gas, electric, water usage, etc. The FY 2011 request includes an increase of \$1,431,000 for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	6	6	10	4

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The majority of costs are for promotional/public relations materials. The FY 2011 request includes an increase of \$4,000 for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	15,202	19,330	16,049	(3,281)

Advisory and assistance services primarily include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, State and local governments, tribes, etc.). The FY 2011 request includes a decrease of \$3,281,000 for a technical adjustment. There is no program impact associated with this technical change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	23,870	27,974	25,277	(2,697)

Other services include contractual services with non-Federal and Federal sources that are not otherwise classified under Object Class 25.1. The FAMS uses this series for additional support for the Mission Scheduling and Notification System, support services for other elements (including contractors supporting contracting/procurement efforts) within the Service. The FY 2011 request includes a decrease of \$2,697,000 for a technical adjustment. There is no program impact associated with this technical change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	13,298	14,764	15,834	1,070

Purchases from Government Accounts include costs for purchases from other Federal agencies or accounts that are not otherwise classified. For the FAMS, this includes IT Support for the entire FAMS, facility maintenance support from the FAA, office equipment maintenance and security clearances. The FY 2011 request includes an increase of \$1,070,000 for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	3,587	2,160	3,208	1,048

Operation and maintenance of facilities includes all payments for the operation and maintenance of facilities when done by contract with either the private sector or another Federal Government account. The FAMS uses this object class series for custodial services and facility build out/enhancements of current leases. The FY 2011 request includes an increase of \$1,048,000 for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	1,022	-	1,909	1,909

Medical care includes payments to contracts for medical services, but excludes Federal employees who are reportable under OPM regulations as federal employees. The FAMS uses this series for a contract with Federal Occupational Health (FOH). The FY 2011 request includes an increase of \$1,909,000 for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	1,775	2,206	5,838	3,632

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal account. The FY 2011 request includes an increase of \$3,632,000 for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,362	2,047	3,246	1,199

Supplies and materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FAMS uses this series for IT supplies and materials, office supplies and fuel. The FY 2011 request includes an increase of \$1,199,000 for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	13,005	8,530	9,640	1,110

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Included in this total are costs for IT equipment and software, furniture and other office equipment. The FY 2011 request includes an increase of \$1,110,000 for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	485	75	1	(74)

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. If a claim is incurred, FAMS will address via the budget execution process (i.e. redistribute funds from another object class). The FY 2011 request includes a decrease of \$74,000 for a technical adjustment. There is no program impact associated with this technical change.

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshals:
Travel and Training
Funding Schedule
(Dollars in Thousands)**

PPA: Travel and Training	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	77,693	82,225	99,434	17,209
22.0 Transportation of things	-	10	10	-
23.2 Other rent	1,141	921	921	-
25.2 Other services	6,117	8,272	8,180	(92)
25.3 Purchases from Gov't accts.	22	259	12,434	12,175
25.6 Medical care	6	17	17	-
26.0 Supplies and materials	2,639	5,169	5,450	281
31.0 Equipment	2,500	669	669	-
Total, Object Class	90,118	97,542	127,115	29,573
Total, Travel and Training	90,118	97,542	127,115	29,573
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Travel and Training (T&T) PPA is used to cover all travel and training requirements that support the FAMS program. The Travel portion of the PPA supports the FAMS' requirements for mission travel (per diem, lodging) and associated costs, such as airport parking and automated travel account services. Mission travel resources are essential to the Federal Air Marshals' ability to perform scheduled flight coverage on both domestic and international operations and provide the FAMS the necessary mobility and flexibility to perform their enforcement and counterterrorism missions. T&T funds also support other FAMS travel required for non-mission and training purposes.

T&T also supports the FAMS' comprehensive training requirements to include TP I (Basic Law Enforcement Training) and TP II (FAMS specific training) training of new Federal Air Marshals and all recurrent field training. This PPA provides funding for all associated training requirements, such as Federal Law Enforcement Training Center (FLETC) costs, training-related ammunition, TP II instructor contracts, hotel lodging contracts for Atlantic City classes, training supplies, firing range fees, professional & training gear, equipment and clothing. The T&T PPA also supports the required professional training for FAMS explosives technicians and for other professional development and career training as required.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	77,693	82,225	99,434	17,209

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The bulk of these costs directly support Federal Air Marshal domestic and international mission travel, which is the primary mission of the Service. Also included in this object class are travel costs related to training, conference attendance and site visits. The FY 2011 request includes an increase of \$17,209,000 for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	-	10	10	-

Transportation of things includes all costs associated with the care of items in the process of being transported, as well as other services associated with the transportation of things. Under this PPA (T&T), costs are associated specifically with transportation of things related to training (e.g. shipment of equipment from vendors to field offices). No change is expected between the FY 2010 level and the FY 2011 request.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	1,141	921	921	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The T&T PPA covers airport parking lot rental (to support mission travel operations) and other rent associated specifically with meeting the Service's training requirements. All other rent is funded through the FAMS' M&A PPA. No change is expected between the FY 2010 level and the FY 2011 request.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	-	-	-

Advisory and assistance services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Prior to FY 2009, FAMS TP II Instructor contract costs were included in this object class. As of the end of FY 2008, the training instructor costs were reclassified to object class 25.2 (Other Services).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	6,117	8,272	8,180	(92)

Other services include contractual services with non-Federal and Federal sources that are not otherwise classified under Object Class 25. The FAMS uses this object class series for FLETC training costs, hotel lodging contracts for TP II training and field recurring range fees for Federal Air Marshals' quarterly requalifications. The FY 2011 request includes a decrease of \$92,000 for a technical adjustment. There is no program impact associated with this technical change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	22	259	12,434	12,175

Purchases from Government Accounts include costs for purchases from other Federal agencies or accounts that are not otherwise classified and include costs associated with maintenance and repair of the Atlantic City training facility. The FY 2011 request includes an increase of \$12,175,000 for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	6	17	17	-

This object class series includes medical care. No change is expected between the FY 2010 level and the FY 2011 request.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	2,639	5,169	5,450	281

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FAMS uses this object class series for ammunition, armory supplies and training supplies. The FY 2011 request includes an increase of \$281,000 for the Mission Coverage Enhancement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	2,500	669	669	-

Equipment includes all costs for the purchase of personal property of a durable nature or the initial installation of equipment when performed under contract. The FAMS uses this object class series for training and other equipment, primarily for field office recurrent training and TP II tactical training equipment. No change is expected between the FY 2010 level and the FY 2011 request.

I. Changes in Full Time Equivalent

**Department of Homeland Security
 Transportation Security Administration
 Federal Air Marshals:
 Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	-	-	-
INCREASES	-	-	-
DECREASES	-	-	-
Year End Actual / Estimated FTEs:	-	-	-
Net Change from prior year base to Budget Year Estimate:	-	-	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security

Transportation Security Administration



**Fiscal Year 2011
Strategic Context
Congressional Justification**

FY 2011 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

TRANSPORTATION SECURITY ADMINISTRATION

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A. Mission and Description of the Transportation Security Administration

U.S. transportation systems move billions of people and trillions of dollars worth of goods that are vital to the Nation's economic prosperity, global competitiveness, and national security each year. The Aviation and Transportation Security Act established the Transportation Security Administration (TSA) to protect these transportation systems and ensure the freedom of movement for people and commerce. The focus of TSA is to identify, prioritize, and mitigate risks, ultimately minimizing the impact of potential incidents. Information sharing among agencies and stakeholders – including intelligence information – is a cornerstone of the risk management model.

TSA has devoted its resources to strengthening the security of the U.S. transportation network. Working with State, local and regional partners, TSA oversees security for highways, railroads, buses, mass transit systems, ports and 450 U.S. airports. TSA has grown from a small cadre of employees into a dedicated workforce of approximately 57,000 people that protect every domestic commercial airport, strengthen the Nation's surface transportation modes and work with international partners around the world.

TSA's specific responsibilities include:

- Ensuring a thorough and efficient screening of all aviation passengers, their baggage and all regulated aviation employees;
- Deploying Federal Air Marshals to detect, deter, and defeat hostile acts targeting air carriers, airports, passengers, and crews;
- Managing security risks of the surface transportation systems by establishing clear lines of communication and collaborative working relationships with Federal, State, local and private stakeholders, providing support and programmatic direction, conducting on-site inspections, and developing security programs; and
- Developing and implementing more efficient, reliable, integrated, and cost effective terrorist-related screening programs.

B. Major Activities and Key Strategic Goals:

In FY 2010, TSA was appropriated \$7.402 billion in order to maintain its critical mission and expand such areas as the deployment of emerging technologies to screen airline passengers and carry-on baggage for explosives and weapons, increase Federal Air Marshal coverage of international flights, hire additional inspectors and expand technology pilots for air cargo screening, and implement new regulations and activities authorized by the 9/11 Act.

Terrorism in the aviation domain is an enduring and highly adaptive threat. Groups and individuals with malicious intent study our vulnerabilities to learn how to exploit procedural and technological gaps to increase the lethality and political impact of their attacks. Through the use and refinement of authorities, capabilities, capacity, and partnerships, TSA continues to make positive strides with respect to domestic flight operations. However, breaching security of the more than 854,000 annual commercial in-bound international flights continues to be a goal of

coordinated terrorist activity. Examples include the attempted attack on Northwest Flight 253, an alleged terrorist plot to detonate liquid explosives onboard multiple aircraft departing from the United Kingdom for the United States in August 2006, and terrorists' intended attacks on U.S.-bound flights originating from foreign airports in December 2003.

As President Obama stated on January 5, 2010, "[A]s they refine their tactics, we'll enhance our defenses, including smarter screening and security at airports, and investing in the technologies that might have detected the kind of explosives used on Christmas." Additionally, the President has ordered concrete steps be taken to protect the American public and specifically charged DHS and TSA with developing new screening and security procedures for all flights, domestic and international; deploying explosive detection teams at all domestic airports; increasing Federal Air Marshals coverage; and deepening cooperation with international partners.

One of the most promising current technologies for detecting small quantities of explosives concealed on passengers is Advanced Imaging Technology (AIT). AIT provides the ability to detect anomalies such as hidden explosives on one's person. To address privacy concerns, current systems have privacy filters to eliminate the ability to image sensitive areas of the human body. Currently, TSA has deployed 40 systems to 19 airports and by December 2010 an additional 457 AIT units will be installed. The request funds the purchase and installment of 500 additional new units in FY 2011. By the end of FY 2011, TSA will have AIT coverage at 60 percent of the total lanes at Category X through II airports. This deployment will support screening of about 50 percent of all air passengers.

At locations where AIT will not be employed, TSA requests funding in FY 2011 to purchase approximately 800 portable Explosive Trace Detection (ETD) units and 275 canine teams to fill the enhanced screening gap. Use of these measures in both primary screening and random screening locations will improve TSA's ability to detect residue from explosive materials on people.

As DHS deploys additional technology, workforce needs also increase. The 3,550 Full Time Equivalents (FTE) increase in Transportation Security Officers (TSO) supports the accelerated deployment of AIT. In order to ensure adequate throughput, additional lanes may have to be staffed and will be supported by these FTE. Further, to ensure the effectiveness of this security layer, TSA will use experienced TSOs that have scored well in the Performance Accountability and Standards System.

The combination of AIT, canine teams, and ETD will be further complemented by enhancement to TSA's Screening Passengers by Observation Techniques program, which is comprised of approximately 3,000 Behavior Detection Officers (BDOs) assigned to 161 airports. In FY 2011, TSA seeks an additional 350 BDOs to enhance coverage at lanes and shifts at high risk Category X and I airports, as well as expanded coverage of smaller high risk airports. BDOs work in teams and observe all persons visible in their operational area (checkpoint and surrounding area). They are trained to identify anomalous/suspicious behavior against a known established environmental baseline.

TSA will also take steps in FY 2010 and FY 2011 to further the deployment and installation of checked baggage technology. The Explosives Detection Systems (EDS) Strategic Plan outlined a process for achieving optimal screening solutions at the top 250 commercial airports. This number has been increased to 285 in order to incorporate Category III airports. By the end of FY 2010 it is projected that 200 airports will have one or more operational in-line systems. The American Recovery Reinvestment Act of 2009 (ARRA) infusion of \$689 million, coupled with a program increase in the FY 2010 Appropriation of \$487 million, will facilitate acceleration of inline systems, which provide higher detection rates and increased baggage throughput. In FY 2011, the discretionary program will accelerate the purchase of Explosives Detection equipment and will ensure that ARRA projects are completed without incurring delays.

In addition to the measures to enhance passenger aviation security, as directed by Secretary Napolitano, TSA will strengthen the presence and capacity of aviation law enforcement. To address the immediate threat in FY 2010, TSA will partner with other DHS components to deploy law enforcement officers to help meet the directive to increase international flight coverage. In FY 2011, TSA will increase the number of Federal Air Marshals to increase flight coverage.

Many of TSA's efforts to protect the aviation domain against those with malicious intent begins even before such individuals step foot into an airport. TSA's Office of Intelligence analyzes transportation specific intelligence and is charged with disseminating warnings and notifications of credible and immediate threats. In FY 2010 and FY 2011 TSA will hire an additional 45 Field Intelligence Officers (FIO). These FIOs will serve as transportation-specific intelligence officers assigned to TSA's largest airports/transportation nodes and as liaisons to select intelligence and law enforcements agencies to facilitate collaboration and the sharing of intelligence. Once fully deployed, TSA will have FIO coverage at 100 percent of Category X airports and 73 percent coverage at Category I airports.

Further, the Homeland Security Presidential Directive-11 (HSPD-11), issued August 27, 2004, directed DHS in coordination with other Federal agencies, to "enhance terrorist-related threat assessment through comprehensive, coordinated procedures." TSA supports this directive by consolidating the management of all vetting and credentialing programs within the Office of Transportation Threat Assessment and Credentialing (TTAC). In the aviation security realm these vetting and screening programs focus on passengers, crew and aviation employees. Such programs include Secure Flight, Alien Flight Student Program, Crew Vetting and several other programs that vet aviation employees.

The cornerstone of DHS' and TSA's efforts to prevent suspected terrorists from boarding an aircraft is TTAC's Secure Flight program. The Secure Flight program uses an automated process to match Secure Flight Passenger Data (SFPD) for domestic travelers against records contained in the No-Fly and Selectee portions of the Federal Bureau of Investigation's (FBI) Terrorist Screening Database (TSDB). Currently, U.S. Customs and Border Protection conducts watch list matching for passengers flying into and out of the U.S. through its Advance Passenger Information System (APIS). However, per the Secure Flight Final Rule (effective December 29, 2008), both programs are working towards transitioning the screening of international flight

passengers through the Secure Flight program, ensuring that domestic and international watch list matching is consistent and uniformly effective. In FY 2010 TSA will continue its roll out of Secure Flight and plans for full implementation -- 100 percent vetting of passengers on all covered flights -- by the end of CY 2010.

To ensure success in protecting aviation passengers, TSA will continue to cultivate relationships with its international partners as well as the airline industry. Currently, TSA coordinates and conducts security assessments at more than 300 foreign airports and repair stations in more than 100 countries, using 70 inspectors and 21 Transportation Security Administration Representatives (TSARs) in 14 countries. Additionally, TSA deploys eight International Industry Representatives (IIRs) to liaise with air carriers and airline industry organizations to coordinate the sharing of aviation security requirements and threat information. In FY 2011, TSA seeks to grow its international presence with the addition of 34 Transportation Security Specialists, 10 IIRs, and a Rapid Response Team. The increase in personnel will allow TSA to increase the number of Foreign Airport Assessments it conducts, better train host nations to mitigate vulnerabilities and ensure compliance with aviation security standards, and conduct congressionally-mandated inspections to ensure threat mitigation measures are applied by local authorities.

While recent headlines have focused on the steps and improvements to our passenger screening capabilities, TSA remains on track to achieve its goal of screening 100 percent of all passenger air cargo departing from the U.S. by August 2010. The air cargo transportation system consists of 450 domestic airports, 300 air carriers, and approximately 4,400 indirect air carriers and shippers. An estimated 16 million tons of cargo is shipped within the United States by air annually. TSA focuses on two primary security threats related to the air cargo transportation system: (1) introduction of an explosive device on a passenger aircraft, and (2) the hijacking of an all-cargo aircraft (which accounts for about 88 percent of all transported cargo) resulting in its use as a weapon of mass destruction. TSA received monies in FY 2010 to hire an additional 50 air cargo inspectors and bring on-line specific air cargo screening technology to meet the 100 percent screening mandate. In addition to domestic inspections, TSA has developed a program to ensure the security of inbound cargo from outside the U.S. In FY 2010, TSA will have ten International Cargo Transportation Security Inspectors deployed to four international field offices. These inspectors will examine cargo operations at last points of departure to the U.S. to establish a baseline by which compliance can be measured.

In addition to TSA's efforts within the aviation domain, protection of our Nation's surface modes of transportation remains a top priority. TSA, its government partners, industry owners and operators have remained steadfast in their efforts to exchange real-time information and focus on threat detection and preparedness measures to improve security and resilience of the transportation system.

In FY 2010 and FY 2011 TSA will continue the role of coordinator among all surface security stakeholders to implement a regulatory framework and administration policy to develop national security strategies, plans, and programs that identify innovative solutions and best practices. Through the employment of a cadre of inspectors and canine teams, TSA will assess

implementation and compliance, as well as provide outreach on security assets in the surface transportation system. These resources interact daily within the transportation network to enhance security measures and are available for surge operations during times of heightened security. These inspectors and canine teams are an integral part of TSA's Visible Intermodal Prevention and Response (VIPR) program.

In addition to the aforementioned aviation vetting and screening programs, TSA is also charged with a similar role in the surface and maritime transportation modes. TSA's Transportation Worker Identification Card (TWIC) program enhances security by providing a tamper-resistant biometric credential to maritime workers requiring unescorted access to secure areas of port facilities and vessels regulated under the Maritime Transportation Security Act of 2002 (MTSA, P.L. 107-295). As of December 9, 2009 TSA has enrolled over 1.4 million maritime workers. The program will ensure that the identity of each TWIC holder has been verified; that a satisfactory security background check has been completed on that identity; and that each credential issued is positively linked to the rightful holder through the use of biometric technology. TSA's Hazardous Materials Endorsement Threat Assessment Program (HTAP) is another key component of the DHS/TSA layered approach to transportation security by protecting against the threats posed by persons that may attempt to transport hazardous materials in commerce. To date, the HTAP has conducted over 1,350,000 FBI fingerprint-based criminal history record checks on applicable applications, and currently processes over 95 percent of applications in five days or less. The HTAP has a robust redress process, including appeals, waivers and Administrative Law Judge review. In FY 2009, the program processed threat assessments on 297,473 applicants, a continued increase from the program's inception that confirms the vital role of improving the safety and protection of passengers and freight traveling on our Nation's highways. TTAC's vetting efforts in all of the transportation modes will be enhanced by TTAC Infrastructure Modernization Program (TIM) currently underway. The TIM program supports TSA's mission by significantly improving the vetting management and adjudication platform currently used for conducting security threat assessments (STA) on various transportation populations. The TIM program's FY 2010 and FY2011 planned accomplishments include defining business processes and system improvements required to accommodate all and new applicant and population screening programs; continuing system development; and, performing tests and evaluations.

C. Resources Requested and Performance Impact:

The Transportation Security Administration's FY 2011 gross budget request of \$8.2 billion reflects a total gross increase of \$508.7 million and 4,561 FTE for transportation security initiatives. The requested funds support the implementation of new screening and security procedures for all flights, domestic and international; deploying enhanced screening technology at domestic airports; increasing Federal Air Marshals coverage; and expanding cooperation with our international partners.

The FY 2011 base funding will support full deployment of additional highly skilled workforce that includes Behavior Detection Officers, Aviation Direct Access Screening Program, Travel Document Checkers, and Visible Intermodal Prevention and Response teams. Current services will also provide

for acceleration of emergent technology and in-line systems and continued implementation of 9/11 Act critical initiatives that include Air Cargo and Security Regulations.

Major Program Increases:

Passenger Aviation Security.....\$769.0M (4,155 FTE)

TSA requests an increase of \$769.0 million and 4,155 FTE in Passenger Aviation Security.

Major initiatives include the following efforts:

- **Advanced Imaging Technology (AIT)** - \$214.7M and 10 positions (5 FTE) to procure and install 500 advanced imaging technology machines at airport checkpoints to detect dangerous materials, including non-metallic materials, a person may attempt to smuggle onto an aircraft under their clothing. This request, along with planned deployments for 2010, will provide AIT coverage at 75 percent of Category X airports and 60 percent of the total lanes at Category X through II.
- **Transportation Security Officers (TSO)** - \$218.9M and 5,355 positions (3,550 FTE) for new TSOs and screener managers, and associated support costs, to operate additional AITs at airport checkpoints. Passenger screening is a critical element of aviation security to detect and prevent individuals attempting to bring dangerous or deadly objects onto planes from boarding the aircraft.
- **TSO Mission Support** – \$95.7M and 255 positions (128 FTE) to fund the support and airport management costs associated with the 5,355 new TSOs and screener managers. This request includes funding for training, uniform purchases, checkpoint consumables, Federal Security Director staff, rent, recruitment, benefits, and increases in information technology costs.
- **Portable Explosive Trace Detection (ETD)** - \$60.0M to purchase approximately 800 portable ETD machines (\$39.0M) and associated checkpoint consumables (\$21.0M).
- **Whisper Communications** - \$6.0M to purchase radios for TSOs to use at the checkpoint with new AIT equipment.
- **Behavior Detection Officers (BDOs)** – \$20.2M and 350 BDOs (210 FTE) to further enhance TSA’s Screening Passengers by Observation Techniques program. The FY 2011 request seeks an additional 350 BDOs, for a total of 3,350, to enhance coverage at lanes and shifts at high risk Category X and I airports, as well as expand coverage to smaller airports.
- **Explosives Detection Systems (EDS) Purchase and Install** - \$82.5M to accelerate the purchase of explosives detections systems for baggage screening.
- **Canine Teams** - \$71.0M and 523 positions (262 FTE) to fund an additional 275 proprietary explosives detection canine teams, 112 teams at 28 Category X airports and 163 teams at 56 Category I airports.

International Aviation Security.....\$125.0M (37 FTE)

TSA requests \$125.0 million and 37 FTE for International Aviation Security to fund the following efforts:

- **Federal Air Marshal Service (FAMS)** - \$85.0M to for additional FAMS travel and training to increase international flight coverage in response to the threat posed by the attempted Northwest Flight 253 bombing. The FAMS primary mission is to detect, deter, and defeat terrorist or other criminal hostile acts targeting U.S. air carriers, airports, passengers, crew and other transportation modes within the Nation’s general transportation systems.
- **Strengthen International Sharing** - \$40.0M and 74 positions (37 FTE) to manage international programs at 15 existing offices around the globe. The 74 new positions, which include 34 Transportation Security Specialists, 10 International Industry Representatives, and 10 positions for Rapid Response Teams, will be strategically placed in high risk areas such as the Middle East and Africa.

Enhanced Information Sharing.....\$7.0M (16 FTE)

TSA requests \$7 million and 31 Field Intelligence Officers (16 FTE) to increase staffing at Category X, I, and II airports and provide technical enhancements in communications. With the increase in funding, TSA Field Intelligence Officers will have a presence at 100 percent of Category X airports and approximately 73 percent of Category I airports with Field Intelligence Officers.

D. Performance Highlights, Resources and Alignment to Strategic Goals

For each mission-oriented program, the performance goal, alignment to the Secretary’s Priorities, total dollars, full time equivalent (FTE), and Government Performance and Results Act (GPRA) performance plan measure(s) are shown below. Additional measures are also displayed, as appropriate, to provide a more thorough context of expected performance results.

Program: Aviation Security						
Performance Goal: Improve aviation security to reduce the probability of a successful terrorist or other criminal attack to the air transportation system.						
Secretary’s Priority: Preventing and Protecting Against Terrorism						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$4,722,436	\$5,367,844	\$5,275,615	\$5,990,913	\$5,464,040	\$5,809,894
FTE	45,476	47,259	48,897	49,666	49,282	53,608

Performance Plan Measures

Measure: Level of baggage security screening assessment results						
Description of Measure: This measure appraises the percent of the time Transportation Security Officers (TSOs) correctly detect threat items concealed in baggage using realistic and standardized assessment scenarios. This information is used to improve screening practices and procedures to reduce the probability of a successful terrorist or other criminal attack to the aviation transportation system. The actual results are classified and are not releasable to the public at this time for security reasons.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	SSI	SSI	Classified	Classified	Classified	Classified
Actual:	SSI	SSI	Classified	Classified	N/A	N/A

Measure: Level of passenger security screening assessment results						
Description of Measure: This measure appraises the percent of the time Transportation Security Officers (TSOs) correctly detect threat items concealed in baggage using realistic and standardized assessment scenarios. This information is used to improve screening practices and procedures to reduce the probability of a successful terrorist or other criminal attack to the aviation transportation system. The actual results are classified and are not releasable to the public at this time for security reasons.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	SSI	SSI	Classified	Classified	Classified	Classified
Actual:	SSI	SSI	Classified	Classified	N/A	N/A

Measure: Percent of air cargo screened on commercial passenger flights originating from the United States and territories						
Description of Measure: This measure captures the percent of air cargo screened on commercial passenger flights originating from the United States and territories. The air cargo screening strategy uses a multi - layered, risk - based approach to securing air cargo by permitting indirect air carriers, shippers, and other entities further up the supply chain to screen cargo closer to its point of origin through the Certified Cargo Screening Program and allow air carriers to accept pre - screened certified cargo. Screening methods approved in the Certified Cargo Screening Program include: physical search (Includes opening boxes, removing and opening all inner cartons), X - ray, explosives trace detection, explosives detection system, canine teams, and any other approved detection equipment.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	50%	100%	100%
Actual:	None	None	None	See Note	N/A	N/A

* Note: TSA achieved the 9/11 Act requirement of screening 50 percent of air cargo transported on domestic passenger aircrafts by February 3, 2009. 100 percent of cargo is screened on more than 95 percent of flights originating in the United States and 100 percent of all baggage is screened for explosives.

Measure: Percent of air carriers in compliance with leading security indicators						
Description of Measure: This measure identifies overall air carrier compliance with leading security indicators. A leading security indicator is a key indicator, that, when taken into account, may be predictive of the overall security posture of an air carrier. These critical indicators are derived from criteria based on factors like a single point of failure, operational vs. administrative, and human factor related. The indicators are guided by security rules, regulations, and standards. Identifying compliance with the key indicators assesses air carriers' vulnerabilities. Assessing air carriers vulnerabilities is part of an overall risk reduction process. Measuring compliance with standards is a strong indicator of system security.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	N/A	96%	96%	97%	98%	98%
Actual:	N/A	97.79%	96%	98%	N/A	N/A

Measure: Percent of airports in compliance with leading security indicators						
Description of Measure: This measure identifies overall airport compliance with leading security indicators. A leading security indicator is a key indicator, that, when taken into account, may be predictive of the overall security posture of an airport. (These critical indicators are derived from criteria based on factors like a single point of failure, operational vs. administrative, and human factor related). The indicators are guided by security rules, regulations, and standards. Identifying compliance with the key indicators assesses airport vulnerabilities. Assessing airport vulnerabilities is part of an overall risk reduction process. Measuring compliance with standards is a strong indicator of system security.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	98%	95%	96%	96%	97%
Actual:	95.68	95.55%	95%	95%	N/A	N/A

Additional Measures

Measure: Percentage of screeners scoring above the national standard level of Threat Image Projection (TIP) performance						
Description of Measure: The measure reflects the percentage of screeners performing above the standard. Transportation Security Officers (TSOs) receive ongoing training and performance assessments to ensure that their skills are being developed to address the variety of threats that may be presented. As threats change and evolve, the TIP program develops new images and training to address the expanded needs of the TSO workforce, allowing TSA to maintain a high level of screener performance that ensures aviation security. SSI: Sensitive Security Information						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	SSI	SSI	SSI	SSI	SSI	SSI
Actual:	SSI	SSI	SSI	SSI	N/A	N/A

Measure: Improve protection of aircraft cockpits through requalification certification FFDOs						
Description of Measure: Measures the total percentage of FFDOs who attended required bi-annual re-qualification firearm certification training. Note: Re-qualifications are measured per calendar quarter and only reported at the end of each quarter.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	90%	90%	93.5%	94%	94.5%	95%
Actual:	97.75%	93.2%	93.1%	95%	N/A	N/A

Measure: Level of the Customer Satisfaction Index (CSI - A) for Aviation Operations						
Description of Measure: The CSI - A is a composite index incorporating data on security confidence, passenger surveys, and compliments/complaint data on screener performance. TSA aspires to provide effective screening operations with minimum disruption to the traveling public. CSI - A is scaled where 0 is very dissatisfied, 25 is dissatisfied, 75 is satisfied, and 100 is very satisfied.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	81	82	83	83.5	84	84.5
Actual:	81	81	77	78.7	N/A	N/A

Measure: Percent of countries with direct flights to the U.S. who are provided aviation security						
Description of Measure: The measure reports the amount of interaction the United States has with countries providing Last - Point - of - Departure (LPD) service to the U.S. An LPD country is a country with at least one port providing direct traffic to a specific destination - usually a foreign airport with direct passenger and/or cargo flights to a U.S. destination airport. The U.S. interacts with countries providing LPD service with the goal to share aviation security policy and practices at either the national or airport level.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	100%	Baseline	100%	100%	100%	100%
Actual:	N/A	86%	100%	99%	N/A	N/A

Measure: Percent of countries/territories with no direct flights to the U.S. who are provided aviation security assistance						
Description of Measure: The measure reports the amount of interaction (output) the United States has with countries with no direct service to the US in the area of aviation security policy and practices.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	4%	Baseline	45%	50%	55%	60%
Actual:	N/A	21%	45%	38%	N/A	N/A

Measure: Percent reduction in the federal share of LEO costs provided by U.S. commercial airports						
Description of Measure: Law Enforcement: Annual Measure GOAL: Reduce the reliance on federal funds for law enforcement support at the screening checkpoints through Reimbursement Agreements (RAs) with airports while increasing the number of airports with RAs. RAs are contracts for a negotiated rate of reimbursement for each fiscal year, executed on October 1. FY 2007 is the final option year of the current RAs						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	89%	85%	85%	75%	68%	60%
Actual:	89%	85%	80%	80%	N/A	N/A

Measure: Level of public confidence in the ability of the flight crew to keep air travel secure and to defend the aircraft and passengers from individuals with hostile intentions (as measured on a scale of 1 - 5)						
Description of Measure: The annual Bureau of Transportation Statistics (BTS) Omnibus Survey is an annual household survey used to measure customer satisfaction and confidence of transportation systems. Participants are randomly selected by the Department of Transportation using a statistical model. The survey is administered to the American public, and response is voluntary. Selected participants who choose to provide feedback will provide insight into the public's confidence of transportation systems. The scores range from 1 to 5, with 5 representing total confidence. Confidence in the flight crew is an indication that the training program is improving aviation security by adding another layer of protection.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	3.17	3.19	3.20	3.21	3.24	3.25
Actual:	3.17	3.17	3.34	3.03	N/A	N/A

Measure: Percent of eligible flight crew members with Federal Flight Deck Officer (FFDO) certification						
Description of Measure: This measure pertains to the Federal Flight Deck Officer (FFDO) program, a Flight Crew Training program administered by the TSA/OLE - FAMS. The specific metric is the percentage of eligible flight crew members that have been trained and deputized as FFDOs, and who may therefore provide a final, deadly - force deterrent to an attempted hostile breach of the flight deck that could result in the military interdiction of a flight, and the loss of an aircraft, its passengers, and crew.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	10.5%	12.0%	13.5%	15%	16.5%
Actual:	Baseline = 9.0%	10.79%	12.7%	14.1%	N/A	N/A

Program: Federal Air Marshal Service						
Performance Goal: Improve the confidence in our Nation's civil aviation system through risk - based deployment of Federal Air Marshals (FAMS) to detect, deter, and defeat hostile acts targeting U.S. air carriers, airports, passengers, and crews.						
Secretary's Priority: Preventing and Protecting Against Terrorism						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$683,510	\$0	\$769,500	\$819,481	\$860,111	\$950,015
FTE	Classified	Classified	Classified	Classified	Classified	Classified

Performance Plan Measures

Measure: Percent level in meeting Federal Air Marshal Service (FAMS) coverage target for each individual category of identified risk						
Description of Measure: This measure reflects the performance levels of Office of Law Enforcement, Federal Air Marshal Service (OLE/FAMS) coverage of targeted critical flights based upon impact (geographical location), vulnerability (aircraft destructive potential), threats, and intelligence relative to the availability of resources. Coverage is provided by specially trained armed law enforcement officers referred to as Federal Air Marshals (FAMs). These FAMs are deployed to fly missions on commercial U.S. aircraft for both domestic and international flights that have been identified as Targeted Critical Flights under 10 individual risk categories that are found in the OLE/FAMS Concept of Operations. Coverage is provided using a risk - based management approach for mission planning.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	100%	100%	100%	100%	100%	100%
Actual:	101.7%	96.2%	98.1%	109.2%	N/A	N/A

Measure: Average annual rate of accuracy in Federal Air Marshals' firearms re - qualification.						
Description of Measure: Federal law enforcement officer candidates must graduate from the Federal Law Enforcement Training Center (FLETC) with a score of 210 out of a possible 300 on FLETC's Practical Pistol Course (PPC). To graduate from Phase II of the Federal Air Marshal Training Program (FAMTP - II), a FAM candidate must achieve a higher standard, which is quantified as 255 out of 300 (85 percent) on the firearms proficiency course of fire. To remain a FAM, an employee must demonstrate the same standard of excellence by scoring at least 255 out of 300 on recurring quarterly tests. Precision requirements drive a FAM's ultimate ability to defeat an attempted attack.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	Baseline	95%	95%	95%	95%
Actual:	None	95%	95.3%	95.34%	N/A	N/A

Additional Measures

Measure: Cost per flight per FAM						
Description of Measure: The measure reflects the full cost (FTE, Per Diem and Program Management Costs) of the FAM Service to the government per flight per FAM						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	SS	SS	SSI	SSI	SSI	SSI
Actual:	SS	SS	SS	SSI	N/A	N/A

Measure: Improve confidence in our Nation's civil aviation system through risk - based deployment of Federal Air Marshals to detect, deter, and defeat hostile acts targeting U.S. air carriers, airports, passengers, and crews						
Description of Measure: As required by the Aviation and Transportation Security Act (PL 107 - 71), the Transportation Security Administration's Office of Law Enforcement and Federal Air Marshal Service places Federal Air Marshals on high - risk flights. This measure assesses whether these efforts improve the confidence of the U.S. public in the ability of this professional staff to defend aircraft and passengers against hostile acts. Respondents chose from one of five options to describe their confidence "in the ability of the Federal Air Marshals to defend an aircraft and its passengers from individuals with hostile Intention:" 1) no confidence, 2) a small amount of confidence, 3) a moderate amount of confidence, 4) a great deal of confidence, or 5) total confidence). The percentage of responses to each option is then weighted to produce a score.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	Baseline	3.5	3.65	3.78
Actual:	None	None	3.33	3.45	N/A	N/A

Measure: Percentage of FAMs providing the targeted number of flying days per year						
Description of Measure: The measure is expressed as the percentage of mission deployed FAMs who were in mission status for within plus/minus ten percent of the expected annual number of mission days. FAMS best demonstrates cost efficiency by optimizing the allocation of its personnel - that is, improving the rate at which they serve in mission status at levels tied to management's focus on long - term and annual performance goals.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	N/A	88.5%	89%	89.5%
Actual:	None	None	None	88.1%	N/A	N/A

Program: Surface Transportation Security						
Performance Goal: Protect the surface transportation system while ensuring the freedom of movement for people and commerce.						
Secretary's Priority: Preventing and Protecting Against Terrorism						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$52,226	\$37,200	\$46,613	\$63,431	\$110,516	\$137,558
FTE	277	288	326	353	593	787

Performance Plan Measures

Measure: Percent of mass transit and passenger rail agencies that have effectively implemented industry agreed upon Security and Emergency Management Action items to improve security						
Description of Measure: This measure reflects the percent of the 100 largest mass transit, light and passenger rail, bus, and other commuter transportation agencies that have taken recommended steps to improve security. The program evaluates the 100 largest mass transit and passenger rail agencies based on passenger volume through the Baseline Assessment for Security Enhancement (BASE) program. The BASE program assesses whether comprehensive Security and Emergency Management Action Items that are critical to an effective security program, including security plans, training, exercises, public awareness, and other security areas, are in place. Transportation Security Inspectors conduct the assessments in partnership with the mass transit and passenger rail security chiefs and directors approximately every 18 - 24 months to measure progress in the enhancement of security. Results of the security assessments also ensure grant funding priorities align with identified needs for mass transit security enhancements.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	50%	40%	35%	40%
Actual:	None	None	23%	23%	N/A	N/A

Measure: Percent reduction in risk from toxic inhalation hazard bulk cargoes in rail transportation						
Description of Measure: The Toxic Inhalation Hazard (TIH) Risk Reduction Program strives to reduce the risk posed by TIH materials, the most toxic chemicals transported by rail in the U.S., including chlorine and anhydrous ammonia. Through a partnership with American and Canadian railroads, Transportation Security Administration (TSA) gathers railcar movement data, focusing on the time a loaded rail car is standing unattended in a DHS - designated High Threat Urban Area (HTUA). This period of time is referred to as "dwell time". The program uses a risk calculation comprised of four elements: 1) the amount of "dwell time" in hours; 2) the specific HTUA; 3) the Population Proximity Factor (PPF); and 4) whether the car is attended or unattended. The level of risk will be compared to the baseline risk level, which is calculated from the period prior to the adoption of TSA/Department of Transportation issued Security Action Items developed to enhance the security of TIH shipments.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	50%	55%	61%	67%
Actual:	None	None	56.3%	58.57%	N/A	N/A

Additional Measures

Measure: Number of high risk Pipeline corporate systems on which Pipeline Corporate Security Reviews will be conducted						
Description of Measure: TSA is assessing and elevating the security posture of the pipeline mode through the Pipeline Corporate Security Reviews (PCSRs). The focus of the PCSRs is on the high consequence (based on energy throughput) corporate pipelines, which carry approximately 84 percent of the nation's energy throughput. The objectives of an onsite security review are to develop first-hand knowledge of security planning and execution at critical pipeline systems, establish communication with key pipeline security personnel, and identify and share smart practices. TSA's Pipeline Division conducts PCSRs in partnership with the pipeline systems staff. As industry wide security gaps are identified through the PCSR process, the TSA pipeline security division develops programs to address gaps throughout the pipeline industry.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	25 (25%)	37 (37%)	53 (53%)	69 (69%)
Actual:	None	None	25 (25%)	40 (40%)	N/A	N/A

Measure: Number of rail inspections conducted per 1000 inspector hours						
Description of Measure: Compliance/Surface: This measure illustrates the efficiency of inspection activities by quantifying the number of inspections conducted per inspector within a certain time frame. It is important to note that surface transportation inspection processes and requirements are continually evolving and maturing. As a result, this may require adjustments to future targets.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	N/A	53.4	60	62	64	66
Actual:	N/A	53.4	91	57	N/A	N/A

Measure: Percent of highway infrastructure systems that have undergone a Corporate Security Review (CSR)						
Description of Measure: TSA assesses security posture of state DOTs (and the District of Columbia) through the Highway and Motor Carrier Corporate Security Review Program (CSR). The Highway and Motor Carrier Division CSRs are an "instructive" review that provide TSA with a general understanding of each state Department of Transportation's ability to protect its key physical and critical assets. During a CSR, teams of TSA modal experts evaluate and collect physical and operational preparedness information, critical assets, key point - of - contact lists, review emergency procedures and domain awareness training, and provide an opportunity to share smart practices. The on - site voluntary reviews serve to establish data against which to evaluate minimum security standards and identify coverage gaps within states to reduce risk.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	39 (76.5%)	43 (84.3%)	47 (92.2%)	51 (100%)	N/A
Actual:	None	39 (76.5%)	43 (84.3)	48 (94.1%)	N/A	N/A

Program: Transportation Security Support						
Performance Goal: Improve the efficiency and effectiveness of transportation security business and management services by providing comprehensive leadership, oversight, and support to all programs.						
Secretary's Priority: Preventing and Protecting Against Terrorism; Business Support						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$514,641	\$525,283	\$527,415	\$950,235	\$1,001,780	\$1,052,369
FTE	1,271	1,476	1,476	1,383	1,501	1,558

Performance Plan Measures

Measure: Percent of customers satisfied with the intelligence products provided						
Description of Measure: This measure shows the overall level of customer satisfaction with intelligence products produced and disseminated by the program.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	N/A	85%	85%	90%	80%	80%
Actual:	N/A	89.6%	80%	80%	N/A	N/A

Additional Measures

Measure: Percent decrease in worker's compensation claims						
Description of Measure: This measure tracks improvements that have been made in reducing the amount of money that has been paid in worker's compensation. Traumatic Injury Leave is authorized when an employee sustains a work - related traumatic injury and the injured workers physician certifies that the employee is unable to work or TSA fails to provide limited duty work during the first 45 days following the injury. The percent decrease represents salary compensation paid to employees for lost time associated with traumatic injuries.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	5%	5%	7%	7%
Actual:	None	None	39%	24%	N/A	N/A

Measure: Percent of customers utilizing the Transportation Security Intelligence Service Remote Access to Classified Enclaves (TRACE) intelligence sharing program						
Description of Measure: This measure shows the percentage of total deployed TRACE systems that record a connection. The connectivity is based on the site fully authenticating through the TRACE network and opening a product while connected to the website.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	50%	50%	90%	92%	94%	96%
Actual:	38%	22%	84%	87%	N/A	N/A

Measure: Percentage of systems certified based on Federal Information System Management Act (FISMA), as accepted by DHS and accredited as designated by CIO						
Description of Measure: This measure ensures that all IT systems are certified and able to provide quality support to the Nations transportation systems. A certified IT system undergoes a security accreditation, which is the official management decision given by a senior agency official to authorize operation of an information system and to explicitly accept the risk to agency operations, agency assets, or individuals based on the implementation of an agreed - upon set of security controls. This measure is reported based on FISMA year - end of July 31st as opposed to fiscal year - end of September 30th.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	100%	100%	100%	100%	100%	100%
Actual:	100%	100%	100%	100%	N/A	N/A

Measure: Reduce cost and schedule variance for information technology infrastructure projects						
Description of Measure: This efficiency allows both Government and contractor Program Managers (PM) to have visibility into technical, cost, and schedule planning, performance, and progress of the contract effort. TSA's target is to achieve 75% programs meeting cost and schedule goals by less than 10% variance.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	99.99%	99.99%	99.99%	99.99%	99.99%	99.99%
Actual:	99.99%	99.99%	99.99%	99.99%	N/A	N/A

Program: Transportation Threat Assessment and Credentialing						
Performance Goal: Reduce the threat to national security and transportation security by individuals engaged in various activities to harm the U.S. transportation systems.						
Secretary's Priority: Securing and Managing our Borders						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$65,224	\$74,670	\$185,482	\$166,718	\$219,619	\$214,944
FTE	83	172	172	201	252	268

Performance Plan Measures

Measure: Percent of individuals undergoing a Transportation Threat Assessment and Credentialing (TTAC) security threat assessment						
Description of Measure: This measure indicates the percent of Transportation Threat Assessment and Credentialing (TTAC) population receiving a Security Threat Assessment. Thorough vetting will decrease vulnerabilities of sensitive transportation systems by limiting access of potentially dangerous individuals who are identified by TTAC vetting and credentialing programs. The populations currently include international flight crews, aviation workers, hazardous material drivers, and non - U.S. citizens receiving flight instruction at Federal Aviation Administration certified flight schools in the U.S. and abroad. In the future, TTAC programs will also cover domestic airline passengers, surface, and maritime workers.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	Baseline	100%	100%	100%	100%	100%
Actual:	100%	100%	100%	100%	N/A	N/A

Additional Measures

Measure: Security Threat Assessment (STA) cost per vetted individual						
Description of Measure: This measure ensures that the cost of performing security threat assessments remains within acceptable levels.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	Baseline	\$15.00	\$14.50	\$14.00	\$13.75	\$13.50
Actual:	\$15.56	\$15.00	\$14.50	\$14.00	N/A	N/A

Measure: Ratio of false positives to total names processed						
Description of Measure: This measure assesses how well the program is restricting access to people who do (or do not) present a threat to the nation's transportation system.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:		Baseline	+/- .8%	+/- .6%	+/- .4%	+/- .2%
Actual:		.58%	.55%	0.497%	N/A	N/A

E. High Priority Performance Goals

High Priority Performance Goal: Improve security screening of transportation passengers, baggage, and employees while expediting the movement of the traveling public.

This High Priority Performance Goal focuses on two areas: Aviation Security and Surface Transportation Security. The Aviation Sector remains a top terrorist target. TSA must screen one hundred percent of all passengers, baggage, and regulated aviation employees while minimizing the impact to the traveling public. In addition, TSA is mandated to screen 100 percent of air cargo on domestic carriers by August 3, 2010, while providing a level of security commensurate to that of passenger baggage. The Transportation Security Administration is also mandated to protect the nation's surface modes through compliance, inspection, and deterrence activities. There is a very real ongoing threat to the non-aviation modes within the transportation sector including pipelines, highway and motor carrier, maritime, mass transit, rail, and postal and shipping sectors. Guided by the President's Executive Order to Strengthen Surface Transportation Security and other statutory provisions, DHS plays a pivotal role in the surface environment by working with service providers and regulatory agencies to identify security gaps, set security standards to mitigate these gaps, and ensure compliance.

High Priority Performance Goal Measures

FYHSP Program Name	Program Performance Goal	Performance Measure	Secretary's Priority
Aviation Security	Reduce the probability of a successful terrorist or other criminal attack to the air transportation system by improved aviation security.	Passenger security screening assessment results (classified measure)	Preventing and Protecting Against Terrorism

Aviation Security	Reduce the probability of a successful terrorist or other criminal attack to the air transportation system by improved aviation security.	Percent of air cargo screened on commercial passenger flights originating from the United States and territories	Preventing and Protecting Against Terrorism
Aviation Security	Reduce the probability of a successful terrorist or other criminal attack to the air transportation system by improved aviation security.	Baggage security screening assessment results (classified measure)	Preventing and Protecting Against Terrorism
Aviation Security	Reduce the probability of a successful terrorist or other criminal attack to the air transportation system by improved aviation security.	Maintain passenger wait times of less than twenty minutes	Preventing and Protecting Against Terrorism
Surface Transportation Security	To protect the surface transportation system while ensuring the freedom of movement for people and commerce.	Advanced Imaging Technology units to be purchased	Preventing and Protecting Against Terrorism
Surface Transportation Security	To protect the surface transportation system while ensuring the freedom of movement for people and commerce.	Reduced Size Electronic Detection System units to be purchased	Preventing and Protecting Against Terrorism
Surface Transportation Security	To protect the surface transportation system while ensuring the freedom of movement for people and commerce.	Bottle Liquid Scanners units to be purchased	Preventing and Protecting Against Terrorism

F. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Digest of FY 2011 Budget Estimates by Activity and FYHSP Program (dollars in thousands)						
FYHSP Program	FY 2009 Revised Enacted ¹		FY 2010 Enacted		FY 2011 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
AVIATION SECURITY	49,666	5,740,913	49,282	5,214,040	53,608	5,559,894
Screening Partnership Program [Privatized Screening]	---	151,272	---	149,643	---	142,678
Passenger & Baggage TSO PC&B [Passenger & Baggage]	45,643	2,716,014	44,930	2,758,575	48,338	2,997,664
Screening Training and Other	54	197,318	55	204,713	55	264,643
Checkpoint Support	40	561,149	40	128,739	59	360,026
EDS Procurement and installation	106	982,851	102	778,300	116	373,832
Screening Technology Maintenance & Utilities [EDS/ETD]	---	305,625	---	316,625	---	332,125
Operation Integration	---	21,481	---	21,481	---	---
Aviation Regulation and Other Enforcement	1,086	248,943	1,132	254,064	1,434	368,363
Airport Management, IT, and Support	2,064	401,666	2,285	453,924	2,851	577,315
FFDO and Flight Crew Training	29	25,025	29	25,127	29	25,694
Air Cargo	642	122,849	709	122,849	726	117,554
Airport Perimeter Security	---	4,000	---	---	---	---
General Aviation at DCA - Fee	---	120	---	---	---	---
Indirect Air Cargo - Fee	2	2,600	---	---	---	---
SURFACE TRANSPORTATION SECURITY	353	63,431	593	110,516	787	137,558
Staffing and operations	160	33,711	165	42,293	165	39,947
Rail Security Inspectors and Canines	193	29,720	428	68,223	622	97,611
TRANSPORTATION THREAT ASSESSMENT & CREDENTIALING	195	162,718	246	215,619	262	210,944
Secure Flight	86	82,211	108	84,363	108	84,637
Other Vetting/Screening Administration and Operations	65	33,807	98	87,636	108	89,087
Registered Traveler Program - offsetting fee	12	---	---	---	---	---
Transportation Worker Identification Credential (TWIC) - Offsetting Fee	15	31,700	21	9,000	21	9,200
HAZMAT - Offsetting Fee	17	15,000	17	15,000	17	12,000
General Aviation-Offsetting Fee	---	---	---	100	---	100
Indirect Air Cargo-Fee	---	---	2	2,600	2	1,400
Certified Cargo Screening Program	---	---	---	5,200	6	5,200
Large Aircraft Security Plan	---	---	---	1,600	---	1,200
Secure Identification Display Area Checks	---	---	---	10,000	---	8,000
Other Security Threat Assessments	---	---	---	100	---	100
Sensitive Security Information - Fee	---	---	---	20	---	20
TRANSPORTATION SECURITY SUPPORT	1,383	950,235	1,501	1,001,780	1,558	1,052,369
Intelligence	149	24,461	167	28,203	202	37,788
Headquarters Administration	922	234,870	963	248,929	985	271,399
Human Capital Services	177	218,105	222	226,338	222	262,747
Information Technology	135	472,799	149	498,310	149	480,435
FEDERAL AIR MARSHAL Service	---	819,481	---	860,111	---	950,015
Management and Administration	---	725,081	---	762,569	---	822,900
Travel and Training	---	94,400	---	97,542	---	127,115
Total Direct Appropriations and	51,597	7,736,778	51,622	7,402,066	56,215	7,910,780
MANDATORY FEES						
Aviation Security Capital Fund (ASCF)	---	250,000	---	250,000	---	250,000
Alien Flight School - Fee	6	4,000	6	4,000	6	4,000
Total Budget Authority	51,603	7,990,778	51,628	7,656,066	56,221	8,164,780

¹ FY09 Revised Enacted includes:

- (a) Dispersment of \$20M Implementation of 9/11 Act funding to Avn Reg (\$3.675M), Surface Staff & Ops (\$8.825M), Rail Security (\$5M), and Intel (\$2.5M);
- (b) Updated Fee Estimates; and
- (c) \$1B from ARRA funding (Checkpoint Support \$311.149M and EDS/ETD Procurement/Installation \$688.851M;

Department of Homeland Security

United States Coast Guard



Fiscal Year 2011

Congressional Justification

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security
U.S. Coast Guard**
Homeland and Non-Homeland Allocation by Strategic Goals
(Dollars in Thousands)

Budget Activity	2009 Actual				2010 Enacted				2011 Request										
	Homeland		Non-Homeland		Homeland		Non-Homeland		Homeland		Non-Homeland		Total						
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount					
Retired Pay	---	477,107	---	803,748	---	1,280,855	---	473,173	---	888,072	---	1,361,245	---	477,233	---	923,467	---	1,400,700	
- Marine Safety	---	---	---	255,541	---	255,541	---	---	---	269,795	---	269,795	---	---	---	274,211	---	274,211	
- Maritime Mobility	---	---	---	203,522	---	203,522	---	---	---	236,598	---	236,598	---	---	---	234,951	---	234,951	
- Protection of Natural Resources	---	---	---	152,717	---	152,717	---	---	---	176,547	---	176,547	---	---	---	188,999	---	188,999	
- Maritime Security	---	352,393	---	191,968	---	544,361	---	390,545	---	205,132	---	595,677	---	388,394	---	225,306	---	613,700	
- National Defense	---	124,714	---	---	---	124,714	---	82,628	---	---	---	82,628	---	88,839	---	---	---	88,839	
Bout Safety	---	---	7	145,587	7	145,587	---	---	---	8	128,889	8	128,889	---	---	8	119,000	8	119,000
- Marine Safety	---	---	7	145,587	7	145,587	---	---	---	8	128,889	8	128,889	---	---	8	119,000	8	119,000
Oil Spill Recovery	---	---	---	139,464	---	139,464	---	---	---	91,000	---	91,000	---	---	---	92,000	---	92,000	
- Protection of Natural Resources	---	---	---	139,464	---	139,464	---	---	---	91,000	---	91,000	---	---	---	92,000	---	92,000	
GIT Fund	---	686	---	1,263	---	1,949	---	30	---	50	---	80	---	28	---	52	---	80	
- Marine Safety	---	---	---	416	---	416	---	---	---	16	---	16	---	---	---	16	---	16	
- Maritime Mobility	---	---	---	368	---	368	---	---	---	15	---	15	---	---	---	15	---	15	
- Protection of Natural Resources	---	---	---	219	---	219	---	---	---	9	---	9	---	---	---	10	---	10	
- Maritime Security	---	554	---	260	---	814	---	24	---	10	---	34	---	24	---	11	---	35	
- National Defense	---	---	---	---	---	132	---	6	---	---	---	6	---	---	---	---	---	4	
Total Direct Appropriations and Budget Estimates	18,146	\$3,498,991	31,255	\$6,314,175	49,401	\$9,813,166	19,258	\$3,799,848	31,856	\$6,618,618	51,114	\$10,418,466	18,223	\$3,737,768	31,621	\$6,595,010	49,944	\$10,332,778	
Fee Accounts	---	---	---	19,307	---	19,307	---	---	---	19,444	---	19,444	---	---	---	19,582	---	19,582	
Marine Safety Fees	---	---	---	19,307	---	19,307	---	---	---	19,444	---	19,444	---	---	---	19,582	---	19,582	

Notes:

- 1) Homeland Security activities include the following programs: Migrant Interdiction, Ports, Waterways and Coastal Security and Defense Readiness.
- 2) Non-Homeland activities include the following programs: Search and Rescue, Marine Safety, Aids to Navigation, Ice Operations, Marine Environmental Protection, Living Marine Resources, Drug Interdiction and Other Law Enforcement.
- 3) Funds account for all scorekeeping adjustments
- 4) For comparability purposes, FY 2009 Operating Expenses (OE) includes \$251,503,000 transferred from DoD in support of Overseas Contingency Operations (OCO) and HEC sustanment; FY 2010 Enacted OE includes \$241,503,000 and 872 FTE appropriated to the Coast Guard for OCO and \$54,000 and 247 FTE transferred from NSF for Polar Icebreaker operations; FY 2011 Request includes requested \$254,461,000 for OCO via DoD transfer.
- 5) FY 2009 Actual includes American Recovery and Reinvestment Act (ARRA) funding as follows: \$13,179,000 in Acquisition, Construction, and Improvements, and \$142,000,000 in Alteration of Bridges.

iii. Status of Congressionally Requested Studies, Reports, and Evaluation

Department of Homeland Security
U. S. Coast Guard

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009	Prior to obligation of \$350M.	Senate bill, Senate mark; House bill, House mark; Conf. bill, explanatory statement	Deepwater Expenditure Plan	Projected delivery on Feb 2, 2010
2009	In conjunction w/ President's Budget	Senate bill; House bill; Conf. bill	Deepwater Implementation Plan Review	Projected delivery on Feb 2, 2010
2010	11-Nov-09	FY10 DHS Approps	Counter narcotics Enforcement Funding	Projected to deliver on Jan 31, 2010
2010	1-Dec-09	FY10 DHS Approps	Unmanned Aerial Systems --- possibly will become briefing requirement	Projected to deliver on Jan 20, 2010
2010	27-Dec-09	FY10 DHS Approps	Overseas Contingency Operations (Initial)	Projected to deliver on Jan 31, 2010
2010	Feb 15, May 15, Aug 15, Nov 15	FY10 DHS Approps	(Quarterly) Overseas Contingency Operations	Projected delivery on required dates
2010	Jan 15, April 15, Jul 15, Oct 15	FY10 DHS Approps House	(Quarterly) Abstract of Operations Report (QAOP)	Projected delivery on required dates
2010	Jan 15, April 15, Jul 15, Oct 15	FY10 DHS Approps House	(Quarterly) Acquisition Report (QARC)	Projected delivery on required dates
2010	26-Jan-10	FY10 DHS Approps House	RDT&E, including Freshwater Ballast Treatment	Projected delivery on required date
2010	26-Jan-10	FY10 DHS Approps House	Interagency Ops / Command 21 Expenditure Plan	Projected delivery on required date
2010	30 days after certification of termination	FY10 DHS Approps House	LORAN-C Termination Plan	Projected delivery on required dates
2010	In conjunction w/ President's Budget	FY10 DHS Approps House	(Annual) 2010 Deepwater Implementation Plan Review	Projected delivery on required date

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2010	28-Apr-10	FY10 DHS Approps House	Protection of LNG Tankers and Facilities	Projected delivery on required date
2010	28-Apr-10	FY10 DHS Approps House	Financial Strategy for Transformation & Audit Readiness (FSTAR)	Projected delivery on required date
2010	29-Apr-10	FY10 DHS Approps House	Impact of LNG Terminal on Fall River, MA	Projected delivery on required date
2010	In conjunction w/ President's Budget	FY10 DHS Approps House	Comprehensive Review of the Revised Deepwater Implementation Plan	Projected delivery on required date

Department of Homeland Security
U. S. Coast Guard
Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)

Budget Activity	Last Year of	Authorized	Appropriation in Last	FY 2011
	Authorization	Level	Year of Authorization	Request
	Fiscal Year	Amount	Amount	Amount
Operating Expenses	FY 2006	5,633,900	5,492,331	6,650,950
Acquisition, Construction, and Improvements	FY 2006	1,903,821	1,141,800	1,381,228
Research, Development, Test, and Evaluation	FY 2006	24,000	17,750	20,034
Retired Pay	FY 2006	1,014,080	1,014,080	1,400,700
Alteration of Bridges	FY 2006	38,400	15,000	0
Environmental Compliance and Restoration	FY 2006	12,000	12,000	13,329
Reserve Training	FY 2006	119,000	119,000	135,675
Boat Safety	n/a	n/a	n/a	119,000
Oil Spill Recovery	n/a	n/a	n/a	92,000
Gift Fund	n/a	n/a	n/a	80
Health Care Fund Contribution	n/a	n/a	n/a	265,321
Total Direct Authorization/Appropriation		8,745,201	7,811,961	10,078,317
Fee Accounts				

Department of Homeland Security

United States Coast Guard

Operating Expenses



Fiscal Year 2011

Congressional Justification

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U. S. Coast Guard

Operating Expenses

I. Appropriation Overview

A. Mission Statement for Operating Expenses:

The OE request supports all 11 statutorily mandated Coast Guard mission-programs, and in turn, these mission programs directly support the Coast Guard's role as the Nation's principal Federal agency providing maritime safety, security, and stewardship, and supporting the Department of Homeland Security's (DHS) strategic goals and objectives.

B. Budget Activities:

Operating Expenses appropriation funds the annualization of prior-year, part-year funding, pay and non-pay cost of living increases, and operating and maintenance funding for prior-year Administration and Congressional line items.

C. Budget Request Summary:

The Coast Guard requests \$6.651 billion and 48,490 FTE in FY 2011. Total adjustments-to-base are \$111.342 million and 134 FTE. In particular, new funding will support the mandatory pay increase (1.4% military and 1.4% civilian); GSA rent and security charge increases; increased costs for government services; and the operation, maintenance, and crewing of replacement assets.

Additionally, total funding continues support for operation and maintenance costs associated with programs such as shore facilities and Aids-to-Navigation (ATON), Response Boat-Medium, Rescue 21, Nationwide Automatic Identification System (NAIS), Defense Messaging System, and the Rescue Swimmer Training Facility.

Management and technology efficiencies include Headquarters management and Logistics Transformation product line efficiencies; DHS balanced workforce strategy; consolidation of Maritime Intelligence Fusion Centers; mission support personnel reductions; and, decommissioning of the National Strike Force Coordination Center.

Program decreases totaling \$24.280 million and 235 FTE are identified to allow for the re-allocation of resources to critical recapitalization projects. Decreases include rotary wing and deployable force capacity, and Coast Guard Investigative Service (CGIS).

Of the total 47,928 positions, 48,490 FTE, and \$6.651 billion requested in this budget, a decrease of 773 positions, 101 FTE, and an increase of \$87.062 million is reflected in this account.

Base adjustment increases include:

- Annualizations of prior-year funding – \$44.155 million
- FY 2011 pay increase and annualization of FY 2010 pay raise for both military and civilian members – \$57.190 million

- DoD parity: military pay and allowances, health care, and Permanent Change of Station (PCS) – \$86.187 million
- Operational Adjustment Increases (includes GSA rent and security charges, Government services) – \$11.359 million
- Operating and Maintenance funds for new assets, including follow-on costs related to Shore Facilities and ATON, Response Boat-Medium, Rescue 21, Nationwide Automatic Identification System, Defense Messaging System, Rescue Swimmer Training Facility, and Surface and Air Asset Follow-on – \$79.983 million

Base Re-Allocations (non-Add) include:

- Military FTP and FTE Transfer to Civilian – [\$9.990 million]
- PPA Funding Technical Transfers – [\$7.610 million]

Base adjustment decreases include:

- Termination of One-Time Costs – (\$63.727 million)
- Prior Year Management Annualizations – (\$24.252 million)
- Management and Technology Efficiencies including logistics transformation product line efficiencies, Headquarters management efficiencies, Manned Covert Surveillance Aircraft follow-on, DHS Balanced Workforce Strategy, consolidation of Maritime Intelligence Fusion Centers (MIFCs), decommissioning of National Strike Force Coordination Center, and Mission Support Personnel – (\$40.904 million)
- Asset Decommissionings including four HU-25 Aircraft, four High Endurance Cutters (HEC) and one Medium Endurance Cutter – (\$38.649 million)

Program change decreases include:

- Rotary Wing Capacity – \$5.503 million
- Deployable Force Capacity – \$18.202 million
- CG Investigative Service (CGIS) – \$0.575 million

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses**

Summary of FY 2011 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Total Changes		Increase (+) or Decrease (-) For FY 2011		Adjustments-to-base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Military Pay and Allowances	41,499	\$ 3,172,244	41,811	\$ 3,253,130	41,326	\$ 3,357,762	(485)	\$ 104,632	(233)	\$ (13,535)	(252)	\$ 118,167
II. Civilian Pay and Benefits	6,564	\$ 644,614	6,780	\$ 700,646	7,164	\$ 757,255	384	\$ 56,609	(2)	\$ (41)	386	\$ 56,650
III. Training and Recruiting	-	\$ 200,783	-	\$ 206,840	-	\$ 203,869	-	\$ (2,971)	-	\$ (444)	-	\$ (2,527)
IV. Operating Funds and Unit Level Maintenance	-	\$ 1,275,467	-	\$ 1,154,720	-	\$ 1,106,271	-	\$ (48,449)	-	\$ (7,774)	-	\$ (40,675)
V. Centrally Managed Accounts	-	\$ 277,337	-	\$ 334,766	-	\$ 345,831	-	\$ 11,065	-	\$ (541)	-	\$ 11,606
VI. Depot Level Maintenance	-	\$ 858,273	-	\$ 913,786	-	\$ 879,962	-	\$ (33,824)	-	\$ (1,945)	-	\$ (31,879)
Subtotal, Enacted Appropriations and Budget Estimates	48,063	\$ 6,428,718	48,591	\$ 6,563,888	48,490	\$ 6,650,950	(101)	\$ 87,062	(235)	\$ (24,280)	134	\$ 111,342
Adjustments for Other Funding Sources:												
OSL/TF Contribution		[\$24,500]		[\$24,500]		[\$24,500]						
DoD Transfer (P.L. 110-252)	[844]	[\$252,357]										
Transfer from National Science Foundation (NSF) (P.L. 111-117)			247	\$ 54,000	-	\$ -	(247)	\$ (54,000)	-	\$ -	(247)	\$ (54,000)
Overseas Contingency Operations Funding (P.L. 111-83)			872	\$ 241,503	-	\$ -	(872)	\$ (241,503)	-	\$ -	(872)	\$ (241,503)
Proposed DoD Transfer					[872]	[\$254,461]						
Net, Enacted Appropriations & Budget Estimates	48,063	\$ 6,428,718	49,710	\$ 6,859,391	48,490	\$ 6,650,950	(1,220)	\$ (208,441)	(235)	\$ (24,280)	(985)	\$ (184,161)

III. Current Services Program Description by PPA

Department of Homeland Security
U. S. Coast Guard
Operating Expenses
Program Performance Justification
(Dollars in thousands)

PPA I: MILITARY PAY AND ALLOWANCES

	Perm Pos	FTE ¹	Amount
2009 Actual	41,342	41,499	3,172,244
2010 Enacted	41,450	41,811	3,253,130
2011 Adjustments-to-Base	(647)	(252)	118,167
2011 Current Services	40,803	41,559	3,371,297
2011 Program Change	(465)	(233)	(13,535)
2011 Request	40,338	41,326	3,357,762
Total Change 2010-2011	(1,112)	(485)	104,632

The Coast Guard requests \$3.358 billion for this activity, an increase of \$104.632 million above the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

Requests funding for expenses related to compensation and benefits for active duty military personnel. This category includes pay, allowances, employer's share of FICA, Social Security credits, and other expenses associated with compensating military personnel. Costs related to compensation are calculated by using the Coast Guard's Standard Personnel Cost (SPC) tables. These tables are updated annually and provide a detailed calculation for each billet, broken down by rank/rate, location – in the United States (INCONUS) or out of the country (OCONUS – which includes AK and HI), medical costs and permanent change of station (PCS) expenses. Calculations for medical cost estimates are the same for each billet. Calculations for PCS moves and base pay are based upon rank and location of billet. Pay estimates account for OMB published pay inflation factors for the fiscal year in question.

Significant accomplishments in FY 2009 included:

- Responded to over 23,000 Search and Rescue cases and saved over 4,700 lives.
- Interdicted nearly 3,700 undocumented migrants attempting to illegally enter the United States.
- Removed 160 metric tons of cocaine and 71,234 pounds of marijuana bound for the U.S. via the Transit Zone.
- Completed over 14,000 inspections of U.S. flagged certificated vessels.
- Conducted nearly 11,000 Port State Control safety and environmental exams on foreign vessels entering U.S. ports.

¹ The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

- Completed over 25,000 container and 17,000 facility inspections.
- The first National Security Cutter (NSC), USCGC BERTHOLF, disrupted a multi-vessel drug transfer during its first operational patrol in the Eastern Pacific.
- Established five National Centers of Expertise to improve marine safety performance and industry dialogue regarding vintage vessels, towing vessels, liquefied gas vessels, outer continental shelf, and casualty investigations.
- Executed inaugural Operation Dry Water boating safety and BUI enforcement campaign in forty-nine states and U.S. territories.
- Patrol Forces Southwest Asia (PATFORSWA) provided continued support of National Security interests in the Arabian Gulf.
- Inspected over 48,000 Transportation Worker Identification Credentials (TWICs) in port facilities throughout the U.S.

FY 2010 planned accomplishments include:

- Increase Marine Safety capability and capacity.
- Improve airborne use of force capability.
- Continued operation of Biometrics at Sea initiative.
- Sustain Seahawk Charleston Interagency Operations Center.
- Improve financial management oversight.
- Support Overseas Contingency Operations (OCO).
- Support scientific research and Coast Guard operations in the Arctic Region

In FY 2011 active duty military personnel will ensure the service remains agile, adaptable, and ready to serve the Nation's maritime interests. The Service was founded as a military, multi-mission, maritime service and continues to be ready, aware, and responsive across all of the Coast Guard's 11 mission-programs.

As one of the Nation's five Armed Services, dedicated Coast Guard personnel conduct missions that protect the public, the environment, and U.S. economic interests – in the Nation's ports and waterways, along the coast, on international waters and in any maritime region required to support homeland security. The unique, multi-mission character of the Coast Guard requires personnel to serve as sailors, emergency responders, humanitarians, regulators, law enforcement personnel, stewards of the environment, and guardians of the coast – military, multi-mission, and maritime. Coast Guard forces are flexible, rapidly deployable, and able to respond to crises with a full range of capabilities. Coast Guard forces capitalize upon their multi-mission synergies to prevent maritime incidents, protect the U.S. Maritime Domain, and respond to and recover from incidents that may occur.

Requested new funding will support the anticipated FY 2011 pay raise and the basic allowance for housing increase for all military service members, while annualizing military average monthly end strength introduced in FY 2010. Additionally, the funding will support military personnel to operate and maintain newly acquired assets (e.g., National Security Cutter, Fast Response Cutter, Maritime Patrol Aircraft, etc.).

This FY 2011 request reduces the size of the military workforce by 485 FTE (1,112 positions) primarily associated with decommissioning of legacy assets and realignment of forces.

PPA II: CIVILIAN PAY AND BENEFITS

	Perm Pos	FTE	Amount
2009 Actual	7,167	6,564	644,614
2010 Enacted	7,251	6,780	700,646
2011 Adjustments-to-Base	342	386	56,650
2011 Current Services	7,593	7,166	757,296
2011 Program Change	(3)	(2)	(41)
2011 Request	7,590	7,164	757,255
Total Change 2010-2011	339	384	56,609

The Coast Guard requests \$757.255 million for this activity, an increase of \$56.609 million above the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

Requests funding for expenses related to compensation and entitlements for federal civilian employees. The workforce is composed of General Schedule (GS) personnel, Administrative Law Judges (AL), Senior Executive Service (SES) personnel, personnel whose salaries are Administratively Determined (AD) (e.g., Coast Guard Academy civilian faculty members), Wage Grade (WG) positions employed in industrial operations, and "Non-Ceiling" (NC) employees (e.g., cooperative education students, student aids, summer interns, and federal junior fellows). Costs related to compensation are calculated using the Coast Guard's Standard Personnel Cost (SPC) tables. These annually updated tables provide a detailed calculation for each billet, broken down by pay grade and location – in the United States (INCONUS) or out of the country (OCONUS – which includes AK and HI). Calculations for base pay are based upon position, location of position, and OMB economic assumptions for the fiscal year in question.

Significant accomplishments in FY 2009 included:

- Responded to over 23,000 Search and Rescue cases and saved over 4,700 lives.
- Interdicted nearly 3,700 undocumented migrants attempting to illegally enter the United States.
- Removed 160 metric tons of cocaine and 71,234 pounds of marijuana bound for the U.S. via the Transit Zone.
- Completed over 14,000 inspections of U.S. flagged certificated vessels.
- Conducted nearly 11,000 Port State Control safety and environmental exams on foreign vessels entering U.S. ports.
- Completed over 25,000 container and 17,000 facility inspections.
- The first National Security Cutter (NSC), USCGC BERTHOLF, disrupted a multi-vessel drug transfer during its first operational patrol in the Eastern Pacific.
- Established five National Centers of Expertise to improve marine safety performance and industry dialogue regarding vintage vessels, towing vessels, liquefied gas vessels, outer continental shelf, and casualty investigations.
- Executed inaugural Operation Dry Water boating safety and BUI enforcement campaign in forty-nine states and U.S. territories.
- Patrol Forces Southwest Asia (PATFORSWA) provided continued support of National Security interests in the Arabian Gulf.

- Inspected over 48,000 Transportation Worker Identification Credentials (TWICs) in port facilities throughout the U.S.

The civilian personnel are an integral part of the Coast Guard and its 11 mission-programs. The Coast Guard continues to complement its military workforce by recruiting diverse, well-educated, and energetic civilians needed to meet current and future demands.

FY 2010 planned accomplishments include:

- Increase Marine Safety capability and capacity.
- Continued operation of Biometrics at Sea initiative.
- Sustain Seahawk Charleston Interagency Operations Center.
- Improve financial management oversight.
- Support Overseas Contingency Operations (OCO).
- Support scientific research and Coast Guard operations in the Arctic Region

In FY 2011, requested funding will provide dedicated civilian personnel who contribute daily to the Coast Guard's 11 mission-programs. Civilian personnel stand side-by-side with military personnel to fulfill the roles of maritime first responders and help maintain mission effectiveness, prepare for emergencies and contingencies, and ensure Maritime Domain Awareness. These dedicated personnel support and conduct the missions that protect the public, the environment, and U.S. economic interests – in the Nation's ports and waterways, along the coast, on international waters, and in any maritime region required to support national security.

Funding requested will support the anticipated FY 2011 pay raise for all civilian personnel and annualize civilian FTE introduced in FY 2010.

The FY 2011 request increases the size of the civilian workforce by 384 FTE (339 positions) primarily associated with the DHS Balanced Workforce Strategy and new asset follow-on.

PPA III: TRAINING AND RECRUITING

	Perm Pos	FTE	Amount
2009 Actual	200,783
2010 Enacted	206,840
2011 Adjustments-to-Base	(2,527)
2011 Current Services	204,313
2011 Program Change	(444)
2011 Request	203,869
Total Change 2010-2011	(2,971)

The Coast Guard requests \$203.869 million for this activity, a decrease of \$2.971 million below the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The training and recruiting PPA provides funding for the Coast Guard’s professional training and education programs, as well as operation and maintenance of the seven major Coast Guard training centers and the Coast Guard Academy and Leadership Development Center.

Significant accomplishments in FY 2009 included:

- Accessed 3,169 recruits through recruit training; graduated 3,127 enlisted apprentices from “A” schools; and commissioned 496 officers from the Coast Guard Academy, Officer Candidate School, and Direct Commission Program.
- Trained 2,006 members in advanced maritime law enforcement, 979 members in counter terrorism activities, 1,267 members in leadership skills, and provided 65,749 advanced Coast Guard classroom training courses (i.e., the number of individual seats available in Coast Guard “C” school courses).
- Graduated 218 members from post-graduate schools meeting advanced training and knowledge requirements.

FY 2010 planned accomplishments include:

- Accessing 3,575 recruits through recruit training; graduating 2,897 enlisted apprentices from our “A” schools; and commissioning 355 officers from the Coast Guard Academy, Officer Candidate School and Direct Commission Program.
- Training 2,530 members in advanced maritime law enforcement, 1,302 members in counter terrorism activities, 2,745 members in leadership skills, and providing 69,341 advanced Coast Guard classroom training courses.
- Graduating 205 members from post-graduate schools to meet advanced training and knowledge requirements.

The FY 2011 request provides funding for all Coast Guard recruiting operations, given projected attrition and growth, to ensure sufficient numbers of qualified individuals for the military workforce. Coast Guard recruiting is a national endeavor. As such, recruiters cover broad

geographic areas with diverse socio-economic demographics to compete for the best qualified candidates.

Additionally, this request includes funding for tuition, travel, and per diem for formal training and education performed as temporary additional duty (TAD) by military service members and civilian personnel. It also ensures the training infrastructure is adequately resourced to provide Coast Guard personnel with the tools and competencies necessary for assigned missions. Training is provided by the Coast Guard, commercial providers, DoD, and other agencies. This training and education is usually conducted by dedicated resident staffs in classrooms, but may also include exportable training, correspondence courses, and/or computer-based training.

From entry-level personnel through senior leadership, the Coast Guard focuses its training resources to embed those competencies that will maximize operational capabilities. The FY 2011 budget provides funding for increased training requirements related to new platforms, such as the National Security Cutter (NSC) and the new Rescue Swimmer Training Facility (RSTF) that includes a Modular Egress Training Simulator (METS).

PPA IV: OPERATING FUNDS AND UNIT LEVEL MAINTENANCE

	Perm Pos	FTE	Amount
2009 Actual	1,275,467
2010 Enacted	1,154,720
2011 Adjustments-to-Base	(40,675)
2011 Current Services	1,114,045
2011 Program Change	(7,774)
2011 Request	1,106,271
Total Change 2010-2011	(48,449)

The Coast Guard requests \$1.106 billion for this activity, a decrease of \$48.449 million below the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

Requests funding for units, facilities, and activities that are under the direct operational and administrative control of the Coast Guard’s Headquarters, Atlantic Area or Pacific Area Commanders. These include Base Support Units (BSUs), High and Medium Endurance Cutters (WHECs/WMECs), Communication Stations, Maritime Safety and Security Teams (MSSTs), support commands, and Area Offices as applicable, for supplies, materials, and services that allow the Coast Guard to sustain an operations tempo with an immediate response capability for Coast Guard missions. Maintenance of cutter hulls, mechanical systems, electrical equipment, and small boats; procurement of supplies and materials utilized for unit “housekeeping” and administration, spare parts, fuel, and energy; funding of personnel support programs; and other materials consumed all contribute directly to mission effectiveness.

Significant accomplishments in FY 2009 included:

- Responded to over 23,000 Search and Rescue cases and saved over 4,700 lives.
- Interdicted nearly 3,700 undocumented migrants attempting to illegally enter the U.S.
- Removed 160 metric tons of cocaine and 71,234 pounds of marijuana bound for the U.S. via the Transit Zone.
- Completed over 14,000 inspections of U.S. flagged certificated vessels.
- Conducted nearly 11,000 Port State Control safety and environmental exams on foreign vessels entering U.S. ports.
- Completed over 25,000 container and 17,000 facility inspections.
- The first National Security Cutter (NSC), USCGC BERTHOLF, disrupted a multi-vessel drug transfer during its first operational patrol in the Eastern Pacific.
- Established five National Centers of Expertise to improve marine safety performance and industry dialogue regarding vintage vessels, towing vessels, liquefied gas vessels, outer continental shelf, and casualty investigations.
- Executed inaugural Operation Dry Water boating safety and BUI enforcement campaign in forty-nine states and U.S. territories.
- Patrol Forces Southwest Asia (PATFORSWA) provided continued support of National Security interests in the Arabian Gulf.

- Inspected over 48,000 Transportation Worker Identification Credentials (TWICs) in port facilities throughout the U.S.

FY 2010 planned accomplishments include:

- Achieve Initial Operational Capability of the Response Boat Medium (RB-M).
- Increase Marine Safety capability and capacity.
- Improve airborne use of force capability.
- Continue operation of Biometrics at Sea initiative.
- Sustain Seahawk Charleston Interagency Operations Center.
- Improve financial management oversight.
- Conduct Overseas Contingency Operations (OCO).
- Expand the Rescue 21 National Distress Response System.
- Support scientific research and Coast Guard operations in the Arctic Region.

The FY 2011 request supports the annualization of new operations introduced in FY 2010, as well as follow-on funding to operate and maintain Shore Facilities and Aids to Navigation (ATON), Response Boat-Mediums (RB-M), new Rescue 21 equipment, and multiple surface and air assets including the third National Security Cutter, Fast Response Cutters, and HC-144A Maritime Patrol Aircraft (MPA).

PPA V: CENTRALLY MANAGED ACCOUNTS

	Perm Pos	FTE	Amount
2009 Actual	277,337
2010 Enacted	334,766
2011 Adjustments-to-Base	11,606
2011 Current Services	346,372
2011 Program Change	(541)
2011 Request	345,831
Total Change 2010-2011	11,065

The Coast Guard requests \$345.831 million for this activity, an increase of \$11.065 million above the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

Requested funding represents centrally managed accounts which provide service to the entire Coast Guard. Larger central accounts include: the Federal Telephone System (FTS), Standard Workstation recapitalization, Coast Guard Data Network (CGDN), postal expenses, satellite communications, General Services Administration (GSA) rent, ammunition replenishment, and the DHS Working Capital Fund.

Significant accomplishments in FY 2009 included:

- Enhancement and sustainment of the standard computer infrastructure including new technology to support the more secure VISTA operating system and initiation of the Federal Desktop Core Configurations for computer security.
- Increased information sharing through implementation of enhanced web portal and social network capabilities (e.g., CG Portal).

FY 2010 planned accomplishments include:

- Continue expansion of CG Portal capabilities in conjunction with secure Common Access Card (CAC) authentication to expand access to more Coast Guard communities including the Reserves.

The FY 2011 request funds:

- Increased satellite communications airtime costs and increased postal expenses.
- Lease renewal at various Coast Guard units.

PPA VI: INTERMEDIATE AND DEPOT LEVEL MAINTENANCE

	Perm Pos	FTE	Amount
2009 Actual	858,273
2010 Enacted	913,786
2011 Adjustments-to-Base	(31,879)
2011 Current Services	881,907
2011 Program Change	(1,945)
2011 Request	879,962
Total Change 2010-2011	(33,824)

The Coast Guard requests \$879.962 million for this activity, a decrease of \$33.824 million below the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

This request provides service-wide funding for the Coast Guard’s base level operating expense (OE) funded maintenance for the service’s shore facilities, vessels, and aircraft. The Coast Guard maintains its aircraft, vessels, and shore infrastructure using in-house maintenance and repair infrastructure in conjunction with contracted depot-level maintenance activities. A mature project planning and execution program exists within the Coast Guard to provide routine unit-level and depot-level maintenance. Where expertise or infrastructure does not exist organically within the Service, the Coast Guard uses contracted resources to provide the requisite maintenance support.

The Coast Guard’s maintenance planning process involves every level of the organization including: (1) field level input provided in casualty, mishap, and annual unit engineering reports; (2) engineering/support provider input in the form of regional maintenance data/trend analysis, observations of experienced support/engineering personnel, and prioritization of issues/needs; and (3) Coast Guard Headquarters involvement in the collation of CG-wide data/trend analysis, input from the Atlantic and Pacific Area Commanders and their support providers, and development of corrective strategies.

FY 2009 accomplishments included:

- Program Depot Maintenance for: HC-130H (6); HH-60J (6); HH-65C (20); HU-25 (4).
- Completed the following dry-docks: WYTL 65 (3); WPB 87 (16); WPB 110 (8); WLR/WLIC (7); WTGB 140 (3); WLM 175 (3); WLB 225 (4); WMEC 210/270 (5); and WHEC 378 (5).

FY 2010 planned accomplishments include:

- Program Depot Level maintenance for: HC-130H/J (6); HH-60J (8); HH-65C(19); HU-25 (4), and HC-144A (1).
- Planned 2010 dry-docks: WYTL 65 (11); WPB 87 (71); WPB 110 (40); WLR/WLIC (15); WTGB 140 (6); WLM 175 (5); WLB 225 (5); WMEC 210/270 (13); and WHEC 378 (5).
- Continue to focus efforts towards reducing the shore facility deferred maintenance backlog to reduce failures and avoid increasing out-year costs.

The FY 2011 request funds:

Aircraft. Includes service-wide funding to support the maintenance and repair of Coast Guard aircraft not appropriated in the Coast Guard Acquisition, Construction, and Improvements (AC&I) appropriation. This category includes: materials, services, and supplies necessary for depot-level repair, maintenance, modification, and overhaul of aircraft and aircraft equipment, including associated avionics; transportation of aircraft and aeronautical materials and equipment; and procurement and overhaul of aircraft ground handling and support equipment. Request also includes funding for general expenses related to inventory and engineering design, alteration and modification services in support of Coast Guard aircraft.

This funding request supports depot-level aircraft repair. Coast Guard rotary wing aircraft are continuously rotated out of operational service to allow for programmed depot maintenance (PDM) at the Aviation Logistics Center (ALC) in Elizabeth City, NC. This funding also provides for contractor support to conduct PDM on the service's HC-130Hs. All PDM is based upon established service standards. The purpose of the aircraft PDM program is to (1) provide periodic inspection of areas of an aircraft which are not accessible without extensive disassembly, (2) perform heavy maintenance which is beyond the capability of operating units, and (3) incorporate changes and modifications which are too extensive to perform at the operating unit level.

Vessels. Includes service-wide funding to support the maintenance and repair of Coast Guard vessels not appropriated in the Coast Guard AC&I appropriation. In particular, funding requested will support the procurement, installation, replacement and support of standard hull, mechanical, electrical, and electronic systems. Request also includes funding for general expenses related to inventory and engineering design, alteration and modification services in support of Coast Guard vessels.

Coast Guard vessels are regularly scheduled for programmed depot maintenance based upon established class maintenance plans (CMP). In addition to ship repair work provided by the Coast Guard Yard in Curtis Bay, MD, the Coast Guard routinely uses ship repair facilities/contractors to complete depot level maintenance via competitive contracts. The Coast Guard manages vessel base OE legacy asset maintenance funding using Standard Support Levels (SSLs) established for each vessel class of asset at the time of asset acquisition and adjusted annually for inflation. Actual expenditures vary from the SSL as the Coast Guard's maintenance managers shift resources to deal with their most immediate fleet maintenance challenges, often using funds from another vessel's SSL or outside sources to ensure availability of the most critical Coast Guard assets.

Shore Infrastructure. Includes service-wide funding for depot-level, nonrecurring facility maintenance to ensure the safety and integrity of the shore infrastructure, maximize facility economic life, and avoid large recapitalization expenses. This request includes funding for repairs, rebuilding, renovation, alterations, improvement, and other services provided by the Coast Guard's Civil Engineering program not appropriated in the Coast Guard's AC&I appropriation. This category includes support of: Coast Guard-owned land; buildings (e.g., replacement of roofs and mechanical systems); and structures (e.g., repairs to waterfront, communications and navigation system towers, roads and runways). It also includes: support for fixed Aids to Navigation (AtoN) structures (ashore and offshore) and major non-consumable equipment used to support the shore plant (e.g., emergency generators, fuel systems, and pressure vessels). This shore OE funding also supports the Coast Guard's Unaccompanied Personnel Housing (i.e. barracks), family housing, clinics, and morale/well-being and recreational facilities.

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
Program Performance Justification
(Dollars in thousands)**

Increases **\$278,874**

A. Annualization of Prior Year Funding**\$44,155**

PPA Breakdown - Annualization of Prior Year Funding		Total (\$000)
PPA I: Military Personnel (241 FTE)		
	Military Pay and Allowances	18,511
	Military Health Care	1,954
PPA II: Civilian Personnel (78 FTE)		
	Civilian Pay and Allowances	9,180
PPA III: Training and Recruiting		
	Training and Education	1,017
	Recruiting and Training Centers	461
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	88
	1st District	6
	5th District	6
	7th District	558
	8th District	127
	9th District	23
	11th District	11
	13th District	6
	14th District	2
	17th District	2
	Headquarters Directorates	5,768
	Headquarters Units	627
	Other Activities	42
PPA V: Centrally Managed Accounts		
	Central Accounts	1,498
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	3,564
	Electronics Maintenance	462
	Civil/Ocean Engineering and Shore Facility Maintenance	223
	Vessel Maintenance	19
		44,155

Certain projects and programs for which resources were first provided in FY 2010 were funded for only part of the year. Additional funding and Full-Time Equivalents (FTE) are required to provide full year resources.

FY 2010 Line Items	FTE (Mil)	FTE (Civ)	FY 2010 Funding (\$000)
Response Boat - Medium (RB-M) Maintenance Follow-On	3	0	472
Rescue 21 Follow-On	3	6	4,894
Nationwide Automatic Identification System (NAIS) Follow-On	0	1	740
Sector Air Station Corpus Christi Facility Follow-On	13	0	1,079
Surface and Air Asset Follow-On	156	21	22,383
Financial Management Oversight	11	31	5,268
Marine Safety Program	22	15	5,051
Armed Helicopters Enhancement	8	0	548
Biometrics at Sea	1	1	540
Seahawk Charleston Interagency Operations Center Sustainment	0	0	410
Counternarcotics Enforcement	21	3	2,351
Watchstanders	3	0	419
Total	241	78	44,155

B. Mandatory Personnel Entitlements

1. Annualization of FY 2010 Pay Raise\$20,552

PPA Breakdown - Annualization of FY 2010 Pay Raise		Total (\$000)
PPA I: Military Personnel		
	Military Pay and Allowances	16,873
	Permanent Change of Station	134
PPA II: Civilian Personnel		
	Civilian Pay and Allowances	3,545
		20,552

Request one quarter funding to annualize the FY 2010 military (3.4%) and civilian (2.0%) pay raise.

2. FY 2011 Pay Increase\$36,638

PPA Breakdown - FY 2011 Pay Increase		Total (\$000)
PPA I: Military Personnel		
	Military Pay and Allowances	21,072
	Permanent Change of Station	194
PPA II: Civilian Personnel		
	Civilian Pay and Allowances	15,372
		36,638

Request funds the FY 2011 military and civilian (1.4%) pay raise.

3. Military Allowances\$86,187

PPA Breakdown - Military Allowances		Total (\$000)
PPA I: Military Personnel		
	Military Pay and Allowances (Basic Allowance for Housing)	40,212
	Military Health Care	44,000
	Permanent Change of Station	1,975
		86,187

Provides funding to maintain current services and ensures parity of military pay, allowances, and health care with the Department of Defense (DoD). This request includes funding for Basic Allowance for Housing (BAH) changes, which are scheduled to take effect on January 1, 2011, childcare benefits for Coast Guard members, and Permanent Change of Station (PCS) costs above non-pay inflation. Also, military health care costs are forecasted using actuarial projections and include funding for Coast Guard clinics, TRICARE, pharmaceuticals, use of DoD military treatment facilities and Public Health Service physicians serving at Coast Guard medical facilities.

C. Non-pay Operational Adjustments

1. GSA Rent and Security Charges Increase.....\$6,656

PPA Breakdown - GSA Rent and Security Charges Increase		Total (\$000)
PPA V: Centrally Managed Accounts		
	Central Accounts	6,656
		6,656

This request funds additional General Services Administration (GSA) lease space requirements. The GSA Rent account is a demand account that reflects costs resulting from occupancy agreements established between the Coast Guard and GSA to meet specific operational and shore facility requirements. The GSA Rent account is a "bill" that must be paid. Facility space requirements include administrative office space and other unique space such as waterfront facilities and hangar space.

The GSA Security Charges increase reflects costs from current and new occupancy agreements established with GSA to meet specific shore facility security requirements. In addition to office and other unique space requirements, the security charges associated with GSA facilities provide 24 x 7 manned security, which is payable to the Federal Protective Service. This increase is based on projection of a \$.75/sqft generalized security cost and a yearly escalation effect of 2.5% on building specific security charges.

2. Government Services Increase.....\$4,703

PPA Breakdown - Government Services Increase		Total (\$000)
PPA V: Centrally Managed Accounts		
	Central Accounts	4,703
		4,703

Provides funding for three essential communication services: satellite communications, Defense Information System Network (DISN), and postal. \$782K is requested to support increasing fees paid to Defense Information Systems Agency (DISA) and DoD for commercial satellite services, including Inmarsat-B and iridium. Inmarsat-B is essential for underway connectivity on cutters over 179-foot, while iridium is a critical communication system on all cutters. \$3.75 million is required to fund DISN service fees, including secure networks required for DOD communications. Funding is also requested for anticipated postal increases.

D. Operating and Maintenance Funds for New Assets

1. Shore Facility and Aids to Navigation (ATON) Follow-On.....\$4,275

PPA Breakdown - Shore Facility and Aids to Navigation (ATON) Follow-On		Total (\$000)
PPA III: Training and Recruiting		
	Recruiting and Training Centers	180
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	400
	5th District	156
	7th District	200
	11th District	317
	Headquarters Directorates	443
PPA V: Centrally Managed Accounts		
	Central Accounts	32
PPA VI: Depot Level Maintenance		
	Electronics Maintenance	17
	Civil/Ocean Engineering and Shore Facility Maintenance	2,530
		4,275

This request funds the operation and maintenance of Acquisition, Construction and Improvement (AC&I) shore facility projects completed prior to FY 2011. Funding is required for daily operating costs for energy, utility services, grounds maintenance, routine repairs, and housekeeping. Funding also supports major non-recurring maintenance and repairs (i.e., system component renewals, preventive maintenance, emergency response repairs, scheduled inspections, etc.) anticipated throughout the life of the facility.

This funding provides resources required to maintain and operate the new assets/improvements acquired through the execution of the following AC&I mission essential projects. Shore facility follow-on costs are calculated using established professional civil engineering standards. Facilities Include:

- Sector San Francisco: Command Center Facility
- Integrated Support Command (ISC) Miami: Fast Response Cutter Support Facility
- Station Marathon: Family Housing
- Aviation Training Center Mobile: MPA Flight Training Systems Facility
- Sector Delaware Bay: Consolidate/Expand Station/ATON/WPB Facilities
- Training Center Yorktown: Water Distribution System

This request also provides follow-on funding to operate and maintain the Aids to Navigation (ATON) acquired within the Coast Guard's FY 2010 AC&I appropriation. These costs include the operation and maintenance of the ATON's day/night/sound/electronic signal, power system, and support structure.

2. Response Boat - Medium (RB-M) Maintenance Follow-On\$2,043

PPA Breakdown - Response Boat - Medium (RB-M) Maintenance Follow-On		Total (\$000)
PPA I: Military Personnel (9 FTP, 5 FTE)		
	Military Pay and Allowances	284
	Military Health Care	39
	Permanent Change of Station	98
PPA III: Training and Recruiting		
	Training and Education	200
	Recruiting and Training Centers	10
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	114
	Pacific Area	114
	5th District	3
	7th District	1
	8th District	3
	11th District	1
	14th District	1
	Headquarters Directorates	430
PPA V: Centrally Managed Accounts		
	Central Accounts	180
PPA VI: Depot Level Maintenance		
	Electronics Maintenance	428
	Civil/Ocean Engineering and Shore Facility Maintenance	90
	Vessel Maintenance	47
		2,043

Provides funding for FY 2011 maintenance and energy costs associated with delivery of 18 RB-Ms (total of 58 hulls). This request also includes electrical support personnel and associated Personal Protective Equipment funding to support the platform's increased electronics capability and safe operation.

The RB-M project provides a standard platform to replace the aging 41-foot Utility Boat (UTB) fleet, which has reached the end of its useful service life. The RB-M also replaces other medium-sized Non-Standard Boats located at multi-mission shore stations. Continued introduction of this new platform to the fleet will significantly increase operational capability and improve crew safety.

The RB-M's speed, range, communications systems, electronics, and sensor capabilities represent marked improvements over the UTB it replaces. As a much more capable platform, additional funding is required to fully leverage these enhanced capabilities across multiple missions.

3. Rescue 21 Follow-On\$7,062

PPA Breakdown - Rescue 21 Follow-On		Total (\$000)
PPA I: Military Personnel (2 FTP, 1 FTE)		
	Military Pay and Allowances	82
	Military Health Care	9
	Permanent Change of Station	22
PPA III: Training and Recruiting		
	Training and Education	7
PPA IV: Operating Funds and Unit Level Maintenance		
	Headquarters Directorates	6,639
	Headquarters Units	3
PPA V: Centrally Managed Accounts		
	Central Accounts	10
PPA VI: Depot Level Maintenance		
	Civil/Ocean Engineering and Shore Facility Maintenance	290
		7,062

This follow-on funding is for Rescue 21, the Coast Guard's primary system for performing the functional tasks of command, control, and communications in the inland and coastal zones for Coast Guard operations including search and rescue and homeland security missions. Rescue 21 will meet both the safety requirements needed for the expanding Marine Transportation System (MTS), as well as International Convention for the Safety of Life at Sea (SOLAS) standards. Rescue 21 also provides modernized command and control capabilities and improved MDA, both critical to the performance of Coast Guard missions.

The Rescue 21 system reached Initial Operating Capability (IOC) in December 2005. At the conclusion of FY 2009, Rescue 21 is operational along 28,000 nautical miles of coastline with six more locations to be added in FY 2010. Additional work in FY 2011 will bring total coastline coverage to nearly 40,000 nautical miles.

This follow-on funding supports five distinct cost categories that sustain Rescue 21: Equipment operation and maintenance, Circuit Connectivity, Property & Power, Training, and Technology Refresh. This funding level is required to maintain scheduled implementation of this critical search and rescue system.

4. Nationwide Automatic Identification System (NAIS) Follow-On\$763

PPA Breakdown - Nationwide Automatic Identification System (NAIS) Follow-On		Total (\$000)
PPA I: Military Personnel (9 FTP, 5 FTE)		
	Military Pay and Allowances	295
	Military Health Care	39
	Permanent Change of Station	102
PPA II: Civilian Personnel (3 FTP, 2 FTE)		
	Civilian Pay and Allowances	190
PPA III: Training and Recruiting		
	Training and Education	51
	Recruiting and Training Centers	11
PPA IV: Operating Funds and Unit Level Maintenance		
	5th District	2
	Headquarters Directorates	10
	Headquarters Units	18
PPA V: Centrally Managed Accounts		
	Central Accounts	45
		763

This request provides funding for the operations and maintenance of Nationwide Automatic Identification System (NAIS) deployed by FY 2011. Personnel requested include IT security analysts to protect the system from cyber threats, watchstanders to monitor performance, initiate casualty control, and upgrade software, as well as training instructors and program and policy management coordinators. Funds also support operation and maintenance costs including network management, data storage, and program management. Specifically, maritime domain awareness in Command Centers will decline without proper O&M due to the eventual erosion of system availability and increasing vulnerability to spoofing, jamming, and radio frequency overload.

The Maritime Transportation Security Act of 2002 (46 USC 70013) directed DHS to implement a persistent maritime surveillance system to collect, integrate, and analyze information concerning certain vessels operating within, or bound for waters subject to the jurisdiction of the United States. NAIS is essential to fulfilling this legislative mandate and serves as a centerpiece of the Coast Guard and DHS's effort to build MDA. This initiative also contributes to the successful execution of the National Strategy for Maritime Security, Homeland Security Presidential Directive (HSPD-13), and provides critical navigation safety and collision avoidance capability in accordance with the International Convention for the Safety of Life at Sea (SOLAS).

5. Defense Messaging System (DMS) Follow-On\$1,458

PPA Breakdown - Defense Messaging System (DMS) Follow-On		Total (\$000)
PPA I: Military Personnel (1 FTP, 1 FTE)		
	Military Pay and Allowances	106
	Military Health Care	9
	Permanent Change of Station	15
PPA II: Civilian Personnel (2 FTP, 2 FTE)		
	Civilian Pay and Allowances	208
PPA III: Training and Recruiting		
	Training and Education	6
PPA IV: Operating Funds and Unit Level Maintenance		
	Headquarters Directorates	436
	Headquarters Units	50
PPA V: Centrally Managed Accounts		
	Central Accounts	20
PPA VI: Depot Level Maintenance		
	Electronics Maintenance	608
		1,458

Provides funding for operation, maintenance, and recapitalization of the Defense Messaging System (DMS) servers and associated infrastructure to support web-based DMS to all Coast Guard military messaging users and 24 x 7 Local Control Center operations. DMS allows secure record messaging for interoperability with DoD, other government agencies, and Allied military forces.

6. Rescue Swimmer Training Facility Follow-On.....\$1,883

PPA Breakdown - Rescue Swimmer Training Facility (RSTF) Follow-On		Total (\$000)
PPA I: Military Personnel (9 FTP, 5 FTE)		
	Military Pay and Allowances	311
	Military Health Care	39
	Permanent Change of Station	107
PPA II: Civilian Personnel (3 FTP, 2 FTE)		
	Civilian Pay and Allowances	129
PPA III: Training and Recruiting		
	Training and Education	1,176
	Recruiting and Training Centers	38
PPA IV: Operating Funds and Unit Level Maintenance		
	Headquarters Directorates	29
	Headquarters Units	7
PPA V: Centrally Managed Accounts		
	Central Accounts	47
		1,883

Provides funding for necessary personnel to operate the AC&I funded Rescue Swimmer Training Facility (RSTF) and its Modular Egress Training Simulator (METS), or dunker, as well as recurring training costs. The RSTF will directly support Aviation Survival Technician (Rescue Swimmer) training and qualification standards, as well as egress certification/recertification for aircraft pilots and crew. Additionally, this request provides funding to fulfill the new Coast Guard Boat Forces requirement for egress certification of all enclosed cabin small boat crews.

7. Surface and Air Asset Follow-On.....\$62,499

PPA Breakdown - Surface and Air Asset Follow-On		Total (\$000)
PPA I: Military Personnel (278 FTP, 142 FTE)		
	Military Pay and Allowances	10,125
	Military Health Care	1,304
	Permanent Change of Station	3,275
PPA II: Civilian Personnel (58 FTP, 31 FTE)		
	Civilian Pay and Allowances	2,969
PPA III: Training and Recruiting		
	Training and Education	4,827
	Recruiting and Training Centers	1,506
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	709
	Pacific Area	3,414
	7th District	2,624
	8th District	168
	Headquarters Directorates	9,232
	Headquarters Units	391
	Other Activities	16
PPA V: Centrally Managed Accounts		
	Central Accounts	4,836
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	4,455
	Electronics Maintenance	5,203
	Vessel Maintenance	7,445
		62,499

WMSL 752 Follow-on: Provides unit operations and maintenance funding for the third National Security Cutter (NSC) scheduled for delivery in 4th quarter FY 2011.

WMSL Logistics Support: Provides support and maintenance personnel funding necessary for three NSCs located in Alameda, CA.

Training System Personnel: Provides follow-on funding for permanent personnel at Training Center Petaluma to meet National Security Cutter (NSC) training requirements. These personnel will operate/maintain the C4ISR schoolhouse and technical simulation systems, develop curricula, and perform human performance/training analysis to ensure training objectives are met.

FRC Crews 7 and 8 (Miami): Provides personnel to operate and maintain the seventh and eighth Fast Response Cutters (FRC) scheduled for delivery in early 2012. Advance arrival of the crews is critical to ensure appropriate training and crew readiness prior to delivery of the cutter.

FRC O&M for 1 through 5 follow-on (Miami): Provides O&M funding for the first five FRCs scheduled for delivery in FY 2011 and homeported in Miami, FL. The FRC will be larger and more capable than the 110-foot patrol boat with advanced electronics and enhanced capabilities. This platform sustains the Coast Guard's high-speed, blue-water patrol capability for prosecuting Coast Guard missions. The FRC will also provide improved interoperability, C4ISR, common operating picture (COP), and sensors to enhance surveillance and identification.

FRC Shoreside Support: Provides initial FRC shore-side maintenance personnel to support six FRCs in Miami and six FRCs in Key West scheduled for delivery beginning in FY 2011.

HC-144A Aircraft and Simulator Follow-on: Provides funding for aircrew training, depot level maintenance, and support as new aircraft become operational. Also included in this funding is personnel and operating and maintenance for HC-144A aircraft #12, and personnel for aircraft #13. This funding also provides personnel and operating and maintenance for the HC-144A aircraft Operational Flight Training System (Simulator) at ATC Mobile, AL.

Transition Aviation Training Center Mobile and Air Station Miami: Provides necessary funding to support a change in aircraft type, allowance, and programmed utilization rates at Aviation Training Center Mobile and Air Station Miami (ATC Mobile will transition from four HU-25 aircraft to four HC-144A aircraft in FY 2009-2014 and A/S Miami will transition from six HU-25 aircraft to seven HC-144A aircraft in FY 2010-2015). This funding also provides resources necessary to forward deploy aircraft for maritime surveillance missions as envisioned in the HC-144A Concept of Operations (CONOP).

Armed Helicopters for Homeland Security Follow-on: Provides recurring funds to maintain Airborne Use of Force (AUF) Kit "A" equipment for (22) HH-65C helicopters. A Kit "A" helicopter fleet allows an on-site upgrade to an AUF-capable posture when equipped with an AUF crew and Kit "B" equipment install. Combined with prior year appropriations, this initiative will complete the Coast Guard's Armed Helicopter for Homeland Security project. The Service will outfit all HH-60J and HH-65C helicopters with Kit "A's." In addition, the Coast Guard will have (46) helicopters that will be AUF configured (i.e. Kit "A" + Kit "B" = weapons, gun mounts, personnel protective equipment, and armory support) and assigned to units which support strategic ports.

C4ISR Follow-on: Provides funding to maintain new high speed Ku-band satellite communications systems installed on major cutters prior to FY 2011. This request will allow major cutters to transmit and receive secure information via SIPRNet and Coast Guard Data Network, enabling the Coast Guard to fully leverage deployed capability and strengthening critical command and control capability for homeland security and defense operations.

E. Base Re-Allocations (Non-Add)

1. Transfer Military FTP and FTE to Civilian.....[\$9,990]

PPA Breakdown - Transfer Military FTP and FTE to Civilian		Total (\$000)
PPA I: Military Personnel (-103 FTP, -103 FTE)		
	Military Pay and Allowances	(8,443)
	Military Health Care	(883)
	Permanent Change of Station	(527)
PPA II: Civilian Personnel (103 FTP, 103 FTE)		
	Civilian Pay and Allowances	9,990
PPA III: Training and Recruiting		
	Training and Education	(137)
		0

Transfers 103 military FTP/FTE to civilian FTP/FTE. This request is based upon the conversion of military positions to civilian positions. These conversions are in accordance with GAO guidance to change military positions funded in PPA I (Military Pay and Allowances) with inherently civilian job functions to civilian positions funded in PPA II (Civilian Pay and Allowances).

2. PPA Funding Technical Transfers (\$7.610 million base re-allocation)[\$7,610]

PPA Breakdown - PPA Funding Technical Transfers (\$7.610 million base re-allocation)		Total (\$000)
PPA I: Military Personnel		
	Permanent Change of Station	10
PPA II: Civilian Personnel		
	Civilian Pay and Allowances	(819)
PPA III: Training and Recruiting		
	Training and Education	60
	Recruiting and Training Centers	(380)
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	(52)
	Pacific Area	(22)
	1st District	815
	5th District	(10)
	8th District	(41)
	11th District	(6)
	14th District	(15)
	Headquarters Directorates	(4,265)
PPA V: Centrally Managed Accounts		
	Central Accounts	1,668
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	1,875
	Electronics Maintenance	3,182
	Civil/Ocean Engineering and Shore Facility Maintenance	(2,000)
		0

This request implements recurring technical base adjustments to reallocate funding to the appropriate PPA for compliance with Coast Guard financial policy. All requested adjustments retain the original intent and purpose of the funding appropriated; however, the PPA to properly execute these items is different than originally appropriated.

Requested adjustments include reallocation of funding to the Centrally Managed Accounts PPA (PPA5) for service wide support contracts from the Operating Funds and Unit Level Maintenance PPA (PPA4) and the Training and Recruiting PPA (PPA3). This request also includes transferring and centralizing SAROPS and NAV system maintenance funds to Depot Level Maintenance PPA (PPA6) from PPA3 to more appropriately characterize the purpose of these base funds.

This request also includes reallocation of funding from Civilian Personnel PPA (PPA2) to Operating Funds and Unit Level Maintenance PPA (PPA4) to account for unit level savings generated by civilian position adjustments.

All of the requested transfers are consistent with Coast Guard financial management policy and retain the intent/purpose or the appropriated funding.

Decreases

(\$167,532)

A. Termination of One Time Costs (\$63,727)

PPA Breakdown - Termination of One-Time Costs		Total (\$000)
PPA I: Military Personnel		
	Permanent Change of Station	(2,797)
PPA III: Training and Recruiting		
	Training and Education	(4,634)
	Recruiting and Training Centers	(1,500)
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	(869)
	Pacific Area	(2)
	7th District	(148)
	8th District	(800)
	Headquarters Directorates	(1,356)
	Headquarters Units	(160)
PPA V: Centrally Managed Accounts		
	Central Accounts	(5,990)
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	(35,250)
	Electronics Maintenance	(111)
	Civil/Ocean Engineering and Shore Facility Maintenance	(110)
	Vessel Maintenance	(10,000)
		(63,727)

This line item reflects FY 2011 savings associated with the termination of one-time costs for program start-up and exit transactions funded in FY 2010.

FY 2010 Line Items	Non-Recurring Amount (\$000)
Depot Level (4X) and Emergency Maintenance	(45,000)
Response Boat - Medium (RB-M) Maintenance Follow-On	(84)
Rescue 21 Follow-On	(129)
Nationwide Automatic Identification System (NAIS) Follow-On	(6)
Sector Air Station Corpus Christi Facility Follow-On	(1,151)
Surface and Air Asset Follow-On	(10,609)
Decommission Three HU-25 Aircraft	(599)
Decommission One HC-130H Aircraft	(186)
Financial Management Oversight	(423)
Marine Safety Program	(802)
Armed Helicopters Enhancement	(225)
Biometrics at Sea	(25)
Seahawk Charleston Interagency Operations Center Sustainment	(11)
Counternarcotics Enforcement	(822)
Watchstanders	(55)
Operations Systems Center Expansion	(3,600)
Total	(63,727)

B. Prior Year Management Annualizations (\$24,252)

PPA Breakdown - Prior Year Management Annualizations		Total (\$000)
PPA I: Military Personnel (-170 FTE)		
	Military Pay and Allowances	(8,765)
	Military Health Care	(1,114)
	Permanent Change of Station	(948)
PPA II: Civilian Personnel (-7 FTE)		
	Civilian Pay and Allowances	(497)
PPA III: Training and Recruiting		
	Training and Education	(484)
	Recruiting and Training Centers	(215)
PPA IV: Operating Funds and Unit Level Maintenance		
	1st District	(69)
	5th District	(19)
	7th District	(394)
	8th District	(130)
	9th District	(33)
	11th District	(61)
	13th District	(120)
	17th District	(460)
	Headquarters Directorates	(3,770)
	Headquarters Units	(513)
	Other Activities	(25)
PPA V: Centrally Managed Accounts		
	Central Accounts	(225)
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	(4,760)
	Electronics Maintenance	(647)
	Civil/Ocean Engineering and Shore Facility Maintenance	(1,003)
		(24,252)

This line item annualizes FY 2010 part-year reductions from various asset decommissionings.

FY 2010 Line Items	FTE (Mil)	FTE (Civ)	Recurring Amount Annualized (\$000)
Decommission Three HU-25 Aircraft	(39)	0	(8,971)
Decommission One HC-130H Aircraft	(14)	0	(3,281)
LORAN-C Termination	(117)	(7)	(12,000)
Total	(170)	(7)	(24,252)

C. Management and Technology Efficiencies

1. Logistics Transformation Product Line Efficiencies (\$2,301)

PPA Breakdown - Logistics Transformation Product Line Efficiencies		Total (\$000)
PPA IV: Operating Funds and Unit Level Maintenance		
	1st District	(167)
	5th District	(167)
	7th District	(167)
	8th District	(167)
	9th District	(167)
	11th District	(167)
	13th District	(167)
	14th District	(167)
	17th District	(167)
	Headquarters Units	(798)
		(2,301)

This initiative captures efficiencies resulting from Coast Guard logistics transformation efforts. Efficiencies are achieved through centralization and management of Coast Guard standard boats under a single Product Line Manager, consolidation of multiple part numbers to reduce total inventory, pursuit of procurement economies, and monitoring of demand. This initiative also achieves savings by increasing the periodic servicing interval on Defender Class Boat (RB-S) engines. An independent study determined the frequency of routine engine maintenance could be increased from the manufacturer’s recommended interval, without adversely affecting engine performance. Moving all asset support to a product line model is critical to managing life-cycle costs and improving configuration control and operational readiness. This initiative will improve the efficiency and effectiveness of Coast Guard maintenance operations.

2. Headquarters Management Efficiencies..... (\$16,654)

PPA Breakdown - Headquarters Management Efficiencies		Total (\$000)
PPA IV: Operating Funds and Unit Level Maintenance		
	Headquarters Directorates	(13,469)
	Headquarters Units	(3,185)
		(16,654)

This management efficiency leverages efficiencies across Headquarters and Headquarter Units to generate savings for reinvestment in higher priority needs such as current operations and recapitalization.

3. Manned Covert Surveillance Aircraft Follow-On (\$3,201)

PPA Breakdown - Manned Covert Surveillance Aircraft Follow-On		Total (\$000)
PPA I: Military Personnel (-12 FTP, -12 FTE)		
	Military Pay and Allowances	(1,047)
	Military Health Care	(103)
	Permanent Change of Station	93
PPA III: Training and Recruiting		
	Training and Education	(1,173)
	Recruiting and Training Centers	(35)
PPA IV: Operating Funds and Unit Level Maintenance		
	7th District	(131)
	Headquarters Directorates	(97)
	Other Activities	(2)
PPA V: Centrally Managed Accounts		
	Central Accounts	(35)
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	(671)
		(3,201)

The Coast Guard proposes termination of operating and maintenance (O&M) funding for the Manned Covert Surveillance Aircraft (MCSA) because delivery of the aircraft has been delayed until at least FY 2012. O&M funding will likely be requested in a future budget consistent with the aircraft's final delivery schedule.

4. DHS Balanced Workforce Strategy (\$14,500)

PPA Breakdown - DHS Balanced Workforce Strategy		Total (\$000)
PPA I: Military Personnel (115 FTP, 115 FTE)		
	Military Pay and Allowances	7,885
	Military Health Care	884
	Permanent Change of Station	355
PPA II: Civilian Personnel (185 FTP, 185 FTE)		
	Civilian Pay and Allowances	17,237
PPA III: Training and Recruiting		
	Training and Education	(1,201)
PPA IV: Operating Funds and Unit Level Maintenance		
	Headquarters Directorates	(40,124)
PPA V: Centrally Managed Accounts		
	Central Accounts	464
		(14,500)

Consistent with the DHS Balanced Workforce Strategy, the Coast Guard is committed to building a strategic human capital planning capability that is supported by a structured total workforce approach;

one that seeks efficiencies, cost-effective performance improvements and a more appropriate balance of in-house and contract resources. The Coast Guard proposes insourcing professional services contracts to government service using 300 new full time positions. This initiative will save approximately \$14.5M in operating expenses, increase the organization’s organic capacity to perform professional services, and enhance government performance.

5. Consolidate Maritime Intelligence Fusion Centers (MIFCs)..... (\$502)

PPA Breakdown - Consolidate Maritime Intelligence Fusion Centers (MIFCs)		Total (\$000)
PPA I: Military Personnel (-11 FTP, -6 FTE)		
	Military Pay and Allowances	(429)
	Military Health Care	(47)
	Permanent Change of Station	82
PPA II: Civilian Personnel (-1 FTP, -1 FTE)		
	Civilian Pay and Allowances	(39)
PPA III: Training and Recruiting		
	Training and Education	(10)
	Recruiting and Training Centers	(8)
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	(18)
PPA V: Centrally Managed Accounts		
	Central Accounts	(33)
		(502)

This initiative combines the Coast Guard’s two Maritime Intelligence Fusion Centers (MIFCs) Atlantic (LANT) and Pacific (PAC) into a single geographically-dispersed command, eliminating 12 full-time positions. Currently, MIFC LANT and PAC provide intelligence analysis and production capabilities to operational and tactical commanders for all Coast Guard statutory missions. Consolidation makes efficient use of intelligence support, law enforcement technical collection (LETC) linguist capability, security and administration oversight, and information sharing with foreign partners from MIFC LANT and PAC regions.

6. Decommission National Strike Force Coordination Center (\$309)

PPA Breakdown - Decommission National Strike Force Coordination Center		Total (\$000)
PPA I: Military Personnel (-5 FTP, -3 FTE)		
	Military Pay and Allowances	(271)
	Military Health Care	(21)
	Permanent Change of Station	160
PPA II: Civilian Personnel (-4 FTP, -2 FTE)		
	Civilian Pay and Allowances	(191)
PPA III: Training and Recruiting		
	Training and Education	(6)
	Recruiting and Training Centers	(2)
PPA IV: Operating Funds and Unit Level Maintenance		
	Headquarters Directorates	50
	Headquarters Units	86
PPA V: Centrally Managed Accounts		
	Central Accounts	(114)
		(309)

This initiative decommissions the Coast Guard’s National Strike Force Coordination Center (NSFCC) in Elizabeth City, NC. Decommissioning the NSFCC provides the opportunity to align functional responsibilities within the Deployable Operations Group and the Coast Guard’s Office of Incident Management and Preparedness. Eliminating redundant fiscal, logistics and administrative support already provided through the Deployable Operations Group will generate efficiencies. Specifically, nine positions will be eliminated and the remaining 17 relocated. Four positions currently assigned to the Public Information Assist Team will remain but be reassigned to the Atlantic Strike Team in Fort Dix, NJ. The remaining thirteen positions will relocate to Washington, DC to support program management functions from the Headquarters level and through the Deployable Operations Group.

7. Mission Support Personnel (\$3,437)

PPA Breakdown - Mission Support Personnel		Total (\$000)
PPA I: Military Personnel (-27 FTP, -15 FTE)		
	Military Pay and Allowances	(1,062)
	Military Health Care	(129)
	Permanent Change of Station	185
PPA II: Civilian Personnel (-7 FTP, -7 FTE)		
	Civilian Pay and Allowances	(624)
PPA III: Training and Recruiting		
	Training and Education	(469)
	Recruiting and Training Centers	(253)
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	(6)
	Pacific Area	(10)
	1st District	(4)
	5th District	(1)
	7th District	(3)
	11th District	(1)
	Headquarters Directorates	(592)
	Headquarters Units	(18)
	Other Activities	(1)
PPA V: Centrally Managed Accounts		
	Central Accounts	(449)
		(3,437)

This reduction represents a proportional draw down of Coast Guard enterprise-wide mission support personnel consistent with operational decreases planned in FY 2011.

D. Asset Decommissionings

1. Four HU-25 Aircraft.....(\$7,688)

PPA Breakdown - Four HU-25 Aircraft		Total (\$000)
PPA I: Military Personnel (-62 FTP, -32 FTE)		
	Military Pay and Allowances	(2,243)
	Military Health Care	(265)
	Permanent Change of Station	413
PPA III: Training and Recruiting		
	Training and Education	(264)
	Recruiting and Training Centers	(37)
PPA IV: Operating Funds and Unit Level Maintenance		
	1st District	(64)
	7th District	(219)
	Headquarters Directorates	(1,331)
	Other Activities	(5)
PPA V: Centrally Managed Accounts		
	Central Accounts	(57)
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	(3,616)
		(7,688)

In FY 2011, the Coast Guard will retire four HU-25 fixed-wing aircraft. Three aircraft will be immediately replaced by new HC-144A aircraft. The fourth HU-25 will be retired from service at Coast Guard Air Station Cape Cod, reducing aircraft allowance at this station from four to three until a replacement arrives. Three aircraft provide the minimum manning required to maintain 24 x 7 Search and Rescue capability.

2. Four High Endurance Cutters (HEC).....(\$28,167)

PPA Breakdown - Four High Endurance Cutters (HEC)		Total (\$000)
PPA I: Military Personnel (-764 FTP, -383 FTE)		
	Military Pay and Allowances	(22,844)
	Military Health Care	(3,276)
	Permanent Change of Station	4,527
PPA III: Training and Recruiting		
	Training and Education	(642)
	Recruiting and Training Centers	(499)
PPA IV: Operating Funds and Unit Level Maintenance		
	Pacific Area	(2,208)
	Headquarters Directorates	2,028
	Headquarters Units	(4)
	Other Activities	(51)
PPA V: Centrally Managed Accounts		
	Central Accounts	(1,450)
PPA VI: Depot Level Maintenance		
	Electronics Maintenance	(448)
	Vessel Maintenance	(3,300)
		(28,167)

In FY 2011, the Coast Guard will decommission four High Endurance Cutters (HEC). The average age of the HEC fleet is 42 years. A disproportionate share of the depot level maintenance budget is being used to sustain these aging assets. With two NSCs anticipated to be operational by 2011, the Coast Guard is positioned to begin decommissioning these legacy assets.

3. Medium Endurance Cutter (MEC).....(\$2,794)

PPA Breakdown - Medium Endurance Cutter (MEC)		Total (\$000)
PPA I: Military Personnel (-86 FTP, -43 FTE)		
	Military Pay and Allowances	(2,609)
	Military Health Care	(369)
	Permanent Change of Station	579
PPA III: Training and Recruiting		
	Training and Education	(73)
	Recruiting and Training Centers	(55)
PPA IV: Operating Funds and Unit Level Maintenance		
	Pacific Area	(221)
	Headquarters Directorates	560
	Other Activities	(5)
PPA V: Centrally Managed Accounts		
	Central Accounts	(200)
PPA VI: Depot Level Maintenance		
	Electronics Maintenance	(36)
	Vessel Maintenance	(365)
		(2,794)

In FY 2011, the Coast Guard will decommission the Medium Endurance Cutter ACUSHNET. ACUSHNET is well past its useful service life and has unique systems that are costly and difficult to sustain.

IV. Program Justification of Changes

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
Justification of Program Changes
(Dollars in thousands)**

Program Decreases **(\$24,280)**

A. Rotary Wing Capacity **(\$5,503)**

PPA Breakdown - Rotary Wing Capacity		Total (\$000)
PPA I: Military Personnel (-68 FTP, -34 FTE)		
	Military Pay and Allowances	(2,490)
	Military Health Care	(292)
	Permanent Change of Station	743
PPA III: Training and Recruiting		
	Training and Education	(119)
	Recruiting and Training Centers	(38)
PPA IV: Operating Funds and Unit Level Maintenance		
	5th District	(47)
	7th District	(88)
	9th District	(294)
	Headquarters Directorates	(903)
	Other Activities	(5)
PPA V: Centrally Managed Accounts		
	Central Accounts	(105)
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	(1,865)
		(5,503)

The budget request improves the efficacy of domestic air operations by realigning rotary wing capacity to provide four medium-range H-60 helicopters to the Great Lakes region. To facilitate this delivery of enhanced multi-mission capability, two H-60 helicopters from Operations Bahamas Turks & Caicos (OPBAT) and two H-60s from Maritime Security Response Team (MSRT) in Chesapeake, VA will be permanently relocated to Coast Guard Air Station (CGAS) Traverse City, MI. Upon arrival of the four H-60s, five H-65 helicopters presently stationed at CGAS Traverse City will be removed from active service.

The Great Lakes region is characterized by extreme weather conditions including heavy icing throughout the year. The H-65 lacks de-icing capabilities and is poorly suited for heavy weather missions. The H-60 brings “all weather” capabilities to the region as well as nearly twice the range and endurance of the H-65. The proposal also seeks to discontinue two seasonal Coast Guard Air Facilities at Muskegon, MI and Waukegan, IL due to limited demand for services and improved endurance from the H-60.

B. Deployable Force Capacity..... (\$18,202)

PPA Breakdown - Deployable Force Capacity		Total (\$000)
PPA I: Military Personnel (-395 FTP, -198 FTE)		
	Military Pay and Allowances	(13,172)
	Military Health Care	(1,711)
	Permanent Change of Station	3,453
PPA II: Civilian Personnel (4 FTP, 2 FTE)		
	Civilian Pay and Allowances	355
PPA III: Training and Recruiting		
	Training and Education	(35)
	Recruiting and Training Centers	(247)
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	(12)
	Pacific Area	(17)
	1st District	(11)
	14th District	(11)
	Headquarters Directorates	(1,225)
	Headquarters Units	(5,048)
	Other Activities	(24)
PPA V: Centrally Managed Accounts		
	Central Accounts	(417)
PPA VI: Depot Level Maintenance		
	Electronics Maintenance	(104)
	Civil/Ocean Engineering and Shore Facility Maintenance	45
	Vessel Maintenance	(21)
		(18,202)

The budget request decommissions five Maritime Safety and Security Teams (MSSTs). The seven remaining MSSTs will deploy regionally to mitigate the highest prevailing port security risks in the Nation’s critical ports. MSSTs will continue to escort vessels, patrol critical infrastructure, perform counter terrorism activities, enforce laws aboard high interest vessels, and respond to unanticipated surge operations (e.g., mass migration response, hurricane response, terrorist attack, etc.) consistent with regional threats.

As part of this initiative, the Coast Guard will reinvest partial MSST savings in the Law Enforcement Detachment (LEDET) program to address increased demand for LEDET services in support of Coast Guard missions. The FY 2011 investment increases the roster of all 17 existing LEDETS from 11 to 12 members per team, and creates one new 12-person LEDET. LEDETs are high return-on-investment National assets that augment Defense operations in support of Combatant Commanders and counter drug operations in the Caribbean and Eastern Pacific.

C. CG Investigative Service (CGIS)..... (\$575)

PPA Breakdown - CG Investigative Service (CGIS)		Total (\$000)
PPA I: Military Personnel (-2 FTP, -1 FTE)		
	Military Pay and Allowances	(72)
	Military Health Care	(9)
	Permanent Change of Station	15
PPA II: Civilian Personnel (-7 FTP, -4 FTE)		
	Civilian Pay and Allowances	(396)
PPA III: Training and Recruiting		
	Training and Education	(4)
	Recruiting and Training Centers	(1)
PPA IV: Operating Funds and Unit Level Maintenance		
	Headquarters Directorates	(80)
	Headquarters Units	(9)
PPA V: Centrally Managed Accounts		
	Central Accounts	(19)
		(575)

The budget request eliminates seven Investigator positions at Coast Guard Investigative Service (CGIS) regional field offices and two positions on CGIS staff. This initiative supports on-going efforts to focus DHS investigative resources and reduce inefficiencies created by overlapping jurisdictions. CGIS will focus efforts on statutory investigations not handled by other investigative components, including, Uniform Code of Military Justice (UCMJ) violations, non-emergency radio call investigations, and environmental crimes.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Department of Homeland Security
U. S. Coast Guard
Justification of Proposed Changes in Operating Expenses
Appropriation Language

For necessary expenses for the operation and maintenance of the Coast Guard, not otherwise provided for; purchase or lease of not to exceed 25 passenger motor vehicles, which shall be for replacement only; purchase or lease of small boats for contingent and emergent requirements (at a unit cost of no more than \$700,000) and repairs and service-life replacements, not to exceed a total of \$26,000,000; minor shore construction projects not exceeding \$1,000,000 in total cost at any location; payments pursuant to section 156 of Public Law 97-377 (42 U.S.C. 402 note; 96 Stat. 1920); and recreation and welfare; [\$6,805,391,000] **\$6,650,950,000**, of which [\$581,503,000] **\$340,000,000** shall be for defense-related activities; of which \$24,500,000 shall be derived from the Oil Spill Liability Trust Fund to carry out the purposes of section 1012(a)(5) of the Oil Pollution Act of 1990 (33 U.S.C. 2712(a)(5)); of which not to exceed \$20,000 shall be for official reception and representation expenses: *Provided [further]*, That none of the funds made available by this Act shall be for expenses incurred for recreational vessels under section 12114 of title 46, United States Code, except to the extent fees are collected from yacht owners and credited to this appropriation. (Department of Homeland Security Appropriations Act, 2010)

B. FY 2010 to FY 2011 Budget

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2009 Actual	48,509	48,063	6,428,718
2010 Enacted ^{1,2}	48,701	48,591	6,563,888
Adjustments-to-Base			
Increases			
A. Annualization of Prior Year Funding	-	319	44,155
B. Mandatory Personnel Entitlements			
1. Annualization of FY 2010 Pay Raise	-	-	20,552
2. FY 2011 Pay Increase	-	-	36,638
3. Military Allowances	-	-	86,187
C. Non-pay Operational Adjustments			
1. GSA Rent and Security Charges Increase	-	-	6,656
2. Government Services Increase	-	-	4,703
D. Operating and Maintenance Funds for New Assets			
1. Shore Facility and Aids to Navigation (ATON) Follow-On	-	-	4,275
2. Response Boat - Medium (RB-M) Maintenance Follow-On	9	5	2,043
3. Rescue 21 Follow-On	2	1	7,062
4. Nationwide Automatic Identification System (NAIS) Follow-On	12	7	763
5. Defense Messaging System (DMS) Follow-On	3	3	1,458
6. Rescue Swimmer Training Facility (RSTF) Follow-On	12	7	1,883
7. Surface and Air Asset Follow-On	336	173	62,499
E. Base Re-Allocations (Non-Add)			
1. Transfer Military FTP and FTE to Civilian	[103]	[103]	[9,990]
2. PPA Funding Technical Transfers (\$7.610 million base re-allocation)	-	-	[7,610]
Total Increases	<u>374</u>	<u>515</u>	<u>278,874</u>
Decreases			
A. Termination of One-Time Costs	-	-	(63,727)
B. Prior Year Management Annualizations	-	(177)	(24,252)
C. Management and Technology Efficiencies			
1. Logistics Transformation Product Line Efficiencies	-	-	(2,301)
2. Headquarters Management Efficiencies	-	-	(16,654)
3. Manned Covert Surveillance Aircraft Follow-On	(12)	(12)	(3,201)
4. DHS Balanced Workforce Strategy	300	300	(14,500)
5. Consolidate Maritime Intelligence Fusion Centers (MIFCs)	(12)	(7)	(502)
6. Decommission National Strike Force Coordination Center	(9)	(5)	(309)
7. Mission Support Personnel	(34)	(22)	(3,437)
D. Asset Decommissionings			
1. Four HU-25 Aircraft	(62)	(32)	(7,688)
2. Four High Endurance Cutters (HEC)	(764)	(383)	(28,167)
3. Medium Endurance Cutter (MEC)	(86)	(43)	(2,794)
Total Decreases	<u>(679)</u>	<u>(381)</u>	<u>(167,532)</u>
Total Adjustments-to-Base	<u>(305)</u>	<u>134</u>	<u>111,342</u>
2011 Current Services	48,396	48,725	6,675,230

B. FY 2010 to FY 2011 Budget

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
Program Changes			
Decreases			
A. Rotary Wing Capacity	(68)	(34)	(5,503)
B. Deployable Force Capacity	(391)	(196)	(18,202)
C. CG Investigative Service (CGIS)	(9)	(5)	(575)
Total Program Changes	(468)	(235)	(24,280)
2011 Request	47,928	48,490	6,650,950
2010 to 2011 Total Change	(773)	(101)	87,062

1) The FY 2010 enacted level does not include \$241.503 million for Overseas Contingency Operations (OCO) funding provided in P.L. 111-83.

2) The FY 2010 enacted level does not include \$54.000 million transferred from the National Science Foundation (NSF) for Icebreaking Services provided in P.L. 111-117.

C. Summary of Requirements

Department of Homeland Security
U. S. Coast Guard
Operating Expenses Appropriation
Summary of Requirements
(Dollars in Thousands)

	2010 Enacted 1,2			2011 Request		
	Pos.	FTE	Amount	Pos.	FTE	Amount
2009 Actual						
2010 Enacted 1,2						
Adjustments to Base (See "FY 2010 to FY 2011 Budget Change" for details)						
Increases						
Decreases						
Total Adjustments to Base						
2011 Current Services						
Program Changes (See "FY 2010 to FY 2011 Budget Change" for details)						
2011 Request						
2010 to 2011 Total Change						

	2010 Enacted 1,2			2011 Adjustments-to-Base			2011 Program Changes			2011 Request			2010 to 2011 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Estimates by Program/Project Activity															
I. Military Pay and Allowances															
Military Pay and Allowances (AFC-01)	41,450	41,811	2,716,577	(647)	(252)	68,043	(465)	(233)	(15,734)	40,338	41,326	2,768,886	(1,112)	(485)	52,309
Military Health Care (AFC-57)			372,280			42,070			(2,012)			412,338			40,058
Permanent Change of Station (AFC-20)			164,273			8,054			4,211			176,538			12,265
SubTotal	41,450	41,811	3,253,130	(647)	(252)	118,167	(465)	(233)	(13,535)	40,338	41,326	3,357,762	(1,112)	(485)	104,632
II. Civilian Pay and Benefits															
Civilian Pay and Benefits (AFC-08)	7,251	6,780	700,646	342	386	56,650	(3)	(2)	(41)	7,590	7,164	757,255	339	384	56,609
SubTotal	7,251	6,780	700,646	342	386	56,650	(3)	(2)	(41)	7,590	7,164	757,255	339	384	56,609
III. Training and Recruiting															
Training and Education (AFC-56)			105,901			(1,749)			(158)			101,994			(1,907)
Recruiting and Training Centers (AFC-34)			102,939			(786)			(286)			101,875			(1,064)
SubTotal			206,840			(2,537)			(444)			203,869			(2,971)
IV. Operating Funds and Unit Level Maintenance															
Atlantic Command (AFC-30)			177,469			366			(12)			177,823			354
Pacific Command (AFC-30)			195,946			1,065			(17)			196,994			1,048
1st District (AFC-30)			60,093			517			(11)			60,599			506
5th District (AFC-30)			21,931			(30)			(47)			21,854			(77)
7th District (AFC-30)			78,324			2,321			(88)			80,557			2,233
8th District (AFC-30)			49,200			(840)			(294)			48,360			(840)
9th District (AFC-30)			31,660			(177)			(294)			31,189			(471)
11th District (AFC-30)			17,655			94			-			17,749			94
13th District (AFC-30)			23,105			(281)			-			22,824			(281)
14th District (AFC-30)			19,288			(179)			(11)			19,098			(190)
17th District (AFC-30)			30,272			(625)			-			29,647			(625)
Headquarter Directorates (AFC-30)			289,223			(39,379)			(2,208)			247,636			(41,587)
Headquarter Managed Units (AFC-30)			159,669			(3,496)			(5,057)			151,116			(8,553)
Other Activities (AFC-40)			885			(31)			(29)			825			(60)
SubTotal			1,154,720			(40,675)			(7,774)			1,106,271			(48,449)
V. Centrally Managed Accounts															
Centrally-Managed Operating Expenses (AFC-30)			334,766			11,606			(541)			345,831			11,065
SubTotal			334,766			11,606			(541)			345,831			11,065
VI. Depot Level Maintenance															
Aeronautical (AFC-41)			365,291			(34,403)			(1,865)			329,023			(36,268)
Electronic (AFC-42)			155,812			8,658			(104)			164,366			8,554
Civil/Ocean Engineering & Shore Facilities (AFC-43)			180,825			20			45			180,890			65
Vessel (AFC-45)			211,858			(6,154)			(21)			205,683			(6,175)
SubTotal			913,786			(31,879)			(1,945)			879,962			(33,824)
SubTotal Operating Expenses	48,701	48,591	6,563,888	(305)	134	111,342	(468)	(235)	(24,280)	47,928	48,490	6,650,950	(773)	(101)	87,062
Operating Expenses Supplementals															
Proposed DoD Transfer															
Total	48,701	48,591	6,563,888	(305)	134	111,342	(468)	(235)	(24,280)	47,928	48,490	6,650,950	(773)	(101)	87,062

1) The FY 2010 enacted level does not include \$241,503 million for Overseas Contingency Operations (OCO) funding provided in P.L. 111-83.
2) The FY 2010 enacted level does not include \$54,000 million transferred from the National Science Foundation (NSF) for Icebreaking Services provided in P.L. 111-117.

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2009 Actual	2010 ² Enacted	2011 Request	2010 - 2011 Change
11.1 Full-time permanent	460,503	497,120	538,287	41,167
11.3 Other than full-time permanent	9,525	9,763	9,915	152
11.5 Other personnel compensation	19,175	19,654	19,960	306
11.7 Military personnel	2,345,714	2,543,814	2,501,742	(42,072)
11.8 Special service pay	6,169	6,365	6,518	153
12.1 Civilian personnel benefits	147,542	166,227	181,203	14,976
12.2 Military personnel benefits	258,273	283,352	273,942	(9,410)
13.0 Benefits-former	7,546	7,783	7,966	183
Total, Personnel Comp. & Benefits	\$ 3,254,447	\$ 3,534,078	\$ 3,539,533	\$ 5,455
Other Objects Classes:				
21.0 Travel	311,198	307,521	296,344	(11,177)
22.0 Transportation of things	74,402	71,177	76,244	5,067
23.1 GSA rent	84,838	89,619	90,724	1,105
23.2 Other rent	29,498	28,909	30,033	1,124
23.3 Communication, utilities, and misc charges	180,920	203,964	175,860	(28,104)
24.0 Printing and reproduction	7,221	6,802	5,791	(1,011)
25.1 Advisory and assistance services	249,579	272,151	200,406	(71,745)
25.2 Other services	780,955	769,424	746,803	(22,621)
25.3 Purchases of goods & svcs. from gov't accounts	5,038	9,922	9,970	48
25.4 Operation & maintenance of facilities	179,972	180,618	172,620	(7,998)
25.5 Research and development	-	-	-	-
25.6 Medical care	351,060	363,987	401,125	37,138
25.7 Operation and maintenance of equipment	105,595	214,957	137,039	(77,918)
25.8 Subsistence and support of persons	48,990	46,543	43,649	(2,894)
26.0 Supplies and materials	659,650	676,318	614,058	(62,260)
31.0 Equipment	89,574	95,773	96,323	550
32.0 Land and structures	12,706	12,032	12,032	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	3,075	2,396	2,396	-
Total, Other Object Classes	\$ 3,174,271	\$ 3,352,113	\$ 3,111,417	\$ (240,696)
Total Direct Obligations	\$ 6,428,718	\$ 6,886,191	\$ 6,650,950	\$ (235,241)
Unobligated balance, start of year ¹	-	(26,800)	-	-
Unobligated balance, end of year	26,800	-	-	-
Total Requirements	\$ 6,455,518	\$ 6,859,391	\$ 6,650,950	-

1) The Coast Guard is reporting unobligated carryover of FY 2009 funding into FY 2010. The \$26.800 million includes \$3.600 million for the Operations Systems Center in Martinsburg, WV; \$13.200 million transfer from the Acquisition, Construction and Improvements appropriation; and \$10.000 million for High Endurance Cutter (HEC) maintenance in support of the Southwest Border Patrol Initiative.

2) The FY 2010 enacted obligations includes \$241.503 million for Overseas Contingency Operations (OCO) funding provided in P.L. 111-83 and \$54.000 million transferred from the National Science Foundation (NSF) for Icebreaking Services provided in P.L. 111-117.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses - Military
Permanent Positions by Grade**

Grade	2009	2010	2011	2010 - 2011
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
O-10	1	1	1	-
O-9	4	4	4	-
O-8	25	24	24	-
O-7	8	6	6	-
O-6	345	291	284	(7)
O-5	763	754	751	(3)
O-4	1,238	1,258	1,235	(23)
O-3	2,193	2,311	2,296	(15)
O-2	1,420	1,454	1,394	(60)
O-1	163	164	157	(7)
CWO	1,556	1,529	1,510	(19)
Cadet/OC	1,013	852	852	-
E-10	-	1	1	-
E-9	310	290	292	2
E-8	668	643	630	(13)
E-7	3,280	3,285	3,206	(79)
E-6	6,692	6,783	6,638	(145)
E-5	8,097	8,227	8,046	(181)
E-4	7,338	7,315	7,019	(296)
E-3	4,167	4,032	3,878	(154)
E-2	1,371	1,536	1,424	(112)
E-1	690	690	690	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	41,342	41,450	40,338	(1,112)
Unfilled Positions EOY	-	-	-	-
Total Perm. Employment EOY	41,342	41,450	40,338	(1,112)
FTE ¹	41,499	41,811	41,326	(485)
Headquarters	1,155	1,026	1,062	36
U.S. Field	40,002	40,284	39,136	(1,148)
Foreign Field	185	140	140	-
Total Permanent Positions	41,342	41,450	40,338	(1,112)
Position Data:				
Average Salary, Officer Positions ²	\$ 93,759	\$ 99,504	\$ 99,964	\$ 460
Average Grade, Officer Positions	3	3	3	-
Average Salary, Enlisted Positions ²	\$ 56,076	\$ 59,493	\$ 60,400	\$ 907
Average Grade, Enlisted Positions	5	5	5	-

1) The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

2) The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses - Civilian
Permanent Positions by Grade**

Grade	2009	2010	2011	2010 - 2011
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
Total, SES	13	14	14	-
Total, EX	-	-	-	-
GS-15	161	158	161	3
GS-14	522	508	523	15
GS-13	1,176	1,180	1,232	52
GS-12	1,461	1,517	1,596	79
GS-11	858	835	894	59
GS-10	25	29	30	1
GS-9	523	530	605	75
GS-8	189	192	190	(2)
GS-7	681	690	721	31
GS-6	231	298	301	3
GS-5	127	143	146	3
GS-4	24	30	30	-
GS-3	1	2	2	-
GS-2	11	5	5	-
Other Graded Positions	1,164	1,120	1,140	20
Ungraded Positions	-	-	-	-
Total Permanent Positions	7,167	7,251	7,590	339
Unfilled Positions EOY	307	311	325	15
Total Perm. Employment (Filled Positions) EOY	6,860	6,940	7,265	324
FTE	6,564	6,780	7,164	384
Headquarters	1,271	1,361	1,455	94
U.S. Field	5,895	5,890	6,135	245
Foreign Field	1	-	-	-
Total Permanent Positions	7,167	7,251	7,590	339
<u>Position Data:</u>				
Average Personnel Costs, ES Positions ¹	\$ 206,400	\$ 206,700	\$ 217,700	\$ 11,000
Average Personnel Costs, GS Positions ¹	\$ 98,017	\$ 100,470	\$ 106,517	\$ 6,047
Average Grade, GS Positions	11	11	11	-

1) The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Reimbursables - Military
Permanent Positions by Grade**

Grade	2009	2010	2011	2010 - 2011
	Actual Pos.	Revised Estimate Pos.	Estimate Pos.	Change Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	-	-	-	-
O-7	1	1	1	-
O-6	10	9	11	2
O-5	26	25	27	2
O-4	41	38	43	5
O-3	40	38	40	2
O-2	14	8	14	6
O-1	3	-	3	3
CWO4	30	24	32	8
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	14	3	11	8
E-8	11	6	11	5
E-7	55	39	60	21
E-6	109	103	134	31
E-5	159	153	191	38
E-4	87	69	119	50
E-3	50	8	51	43
E-2	23	-	23	23
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	673	524	771	247
Unfilled Positions EOY	15	144	-	(144)
Total Perm. Employment EOY	658	414	771	357
FTE*	625	507	755	248
Headquarters	79	79	79	-
U.S. Field	582	433	680	247
Foreign Field	12	12	12	-
Total Permanent Positions	673	524	771	247
Position Data:				
Average Salary, Officer Positions**	\$ 111,751	\$ 119,961	\$ 117,609	\$ (2,352)
Average Grade, Officer Positions	4	4	4	-
Average Salary, Enlisted Positions**	\$ 59,160	\$ 65,040	\$ 62,930	\$ (2,110)
Average Grade, Enlisted Positions	5	5	5	-

*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

**The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Reimbursables - Civilian
Permanent Positions by Grade**

Grade	2009	2010	2011	2010 - 2011
	Actual Pos.	Revised Estimate Pos.	Estimate Pos.	Change Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	2	4	4	-
GS-14	15	15	15	-
GS-13	35	35	35	-
GS-12	40	42	42	-
GS-11	29	29	29	-
GS-10	-	-	-	-
GS-9	27	27	27	-
GS-8	18	18	18	-
GS-7	48	48	48	-
GS-6	7	7	7	-
GS-5	28	28	28	-
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	249	253	253	-
Unfilled Positions EOY	31	4	-	(4)
Total Perm. Employment (Filled Positions) EOY	218	253	253	-
FTE	219	219	253	34
Headquarters	41	41	41	-
U.S. Field	208	212	212	-
Foreign Field	-	-	-	-
Total Permanent Positions	249	253	253	-
Position Data:				
Average Personnel Costs, ES Positions	n/a	n/a	n/a	n/a
Average Personnel Costs, GS Positions	\$ 86,108	\$ 89,253	\$ 95,365	\$ 6,112
Average Grade, GS Positions	10	10	10	-

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
PPA I: Military Personnel
Funding Schedule
(Dollars in Thousands)**

PPA I: Military Personnel		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	2,345,714	2,543,814	2,501,742	(42,072)
11.8	Special service pay	6,169	6,365	6,518	153
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	258,273	283,352	273,942	(9,410)
13.0	Benefits-former	7,045	7,269	7,444	175
21.0	Travel	103,145	96,700	100,584	3,884
22.0	Transportation of things	65,326	62,430	65,674	3,244
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	15,668	7,891	1,319	(6,572)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	346,482	359,734	396,872	37,138
25.7	Operation and maintenance of equipment	3,694	1,703	398	(1,305)
25.8	Subsistence and support of persons	1,894	874	874	-
26.0	Supplies and materials	17,800	8,213	1,918	(6,295)
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	1,034	477	477	-
Total, Military Personnel		\$ 3,172,244	\$ 3,378,822	\$ 3,357,762	\$ (21,060)
Full Time Equivalents		41,449	41,811	41,326	(485)

PPA Mission Statement

This PPA requests funding for expenses related to compensation for active duty military personnel. This category also includes pay, allowances, employer's share of FICA, Social Security credits and other expenses associated with compensating military personnel. Requested funding will compensate our military personnel as they serve as the Nation's First Responder across all of the Coast Guard's 11 missions.

Summary Justification and Explanation of Changes

Salaries and Benefits

2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
\$ 2,617,201	\$ 2,840,800	\$ 2,789,646	\$ (51,154)

Salaries and benefits funds provide for compensation directly related to duties performed for the Coast Guard by active duty military personnel. The FY 2011 request includes funding for the proposed pay raise (currently predicted at 1.4% for military and civilians), medical benefits, and other mandatory personnel entitlements. Personnel increases are accounted for through the annualization of FTE introduced in FY 2010, as well as personnel to operate new systems and assets, including the National Security Cutter, Fast Response Cutter, HC-144A, Response Boat-Medium (RB-M), and the Rescue Swimmer Training Facility. Personnel reductions include the decommissioning and retirement of multiple operational units and assets including five Maritime Safety and Security Teams (MSSTs), five major cutters, and nine aircraft.

Travel

2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
\$ 103,145	\$ 96,700	\$ 100,584	\$ 3,884

Requested funds cover the travel costs of Coast Guard military service members, while in an authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request includes travel costs associated with the operation of new assets.

Transportation of things

2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
\$ 65,326	\$ 62,430	\$ 65,674	\$ 3,244

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding primarily supports the shipment of military member's household goods in conjunction with Permanent Change of Station (PCS) moves. The FY 2011 request includes PCS costs associated with the decommissioning of multiple operational units.

Other services

2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
\$ 15,668	\$ 7,891	\$ 1,319	\$ (6,572)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 decrease reflects the obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display).

Medical care

	2009		2010		2011		2010 to 2011
	Actual		Enacted		Request		Change
\$	346,482	\$	359,734	\$	396,872	\$	37,138

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, funding supports medical care costs for military service members. The FY 2011 request includes actuary-forecasted cost increases.

Operation and maintenance of equipment

	2009		2010		2011		2010 to 2011
	Actual		Enacted		Request		Change
\$	3,694	\$	1,703	\$	398	\$	(1,305)

The FY 2011 decrease is due to reductions associated with decommissioning and retirement of multiple operational units and assets including five Maritime Safety and Security Teams (MSSTs), five major cutters, and nine aircraft.

Subsistence and support of persons

	2009		2010		2011		2010 to 2011
	Actual		Enacted		Request		Change
\$	1,894	\$	874	\$	874	\$	-

The FY 2011 request has no change.

Supplies and materials

	2009		2010		2011		2010 to 2011
	Actual		Enacted		Request		Change
\$	17,800	\$	8,213	\$	1,918	\$	(6,295)

The FY 2011 decrease is due to reductions associated with decommissioning and retirement of multiple operational units and assets and the obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display).

Insurance claims and indemnity

	2009		2010		2011		2010 to 2011
	Actual		Enacted		Request		Change
\$	1,034	\$	477	\$	477	\$	-

The FY 2011 request has no change.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
PPA II: Civilian Personnel
Funding Schedule
(Dollars in Thousands)**

PPA II: Civilian Personnel		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	460,503	497,120	538,287	41,167
11.3	Other than full-time permanent	9,525	9,763	9,915	152
11.5	Other personnel compensation	19,175	19,654	19,960	306
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	147,542	166,227	181,203	14,976
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	501	514	522	8
21.0	Travel	3,957	3,957	3,957	-
22.0	Transportation of things	3,411	3,411	3,411	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Civilian Personnel		\$ 644,614	\$ 700,646	\$ 757,255	\$ 56,609
Full Time Equivalents		6,564	6,780	7,164	384

PPA Mission Statement

This PPA requests funding for expenses related to compensation and entitlements for federal civilian employees. The workforce is composed of General Schedule (GS) personnel, Administrative Law Judges (AL), Senior Executive Service (SES) personnel, personnel whose salaries are Administratively Determined (AD) (e.g., Coast Guard Academy civilian faculty members), Wage Grade (WG) positions employed in industrial positions, and "Non-Ceiling" (NC) employees (e.g., cooperative education students, student aids, summer interns and federal junior fellows) and civilian employees not otherwise covered by other PPAs.

Summary Justification and Explanation of Changes

Salaries and Benefits

2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
\$ 637,246	\$ 693,278	\$ 749,887	\$ 56,609

Salaries and benefits funds provide for compensation directly related to duties performed for the Coast Guard by Federal civilian employees. The FY 2011 request includes funding for the proposed pay raise (currently predicted at 1.4%), medical benefits, and other mandatory personnel entitlements.

Travel

2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
\$ 3,957	\$ 3,957	\$ 3,957	-

The FY 2011 request has no change.

Transportation of things

2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
\$ 3,411	\$ 3,411	\$ 3,411	-

The FY 2011 request has no change.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
PPA III: Training and Recruiting
Funding Schedule
(Dollars in Thousands)**

PPA III: Training and Recruiting		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	42,144	41,527	43,195	1,668
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	2,811	2,772	2,761	(11)
23.3	Communication, utilities, and misc charges	12,850	13,213	12,683	(530)
24.0	Printing and reproduction	663	654	660	6
25.1	Advisory and assistance services	16,986	18,178	15,616	(2,562)
25.2	Other services	52,204	56,027	50,785	(5,242)
25.3	Purchases of goods & svcs. from gov't accounts	-	5,594	4,938	(656)
25.4	Operation & maintenance of facilities	5,682	5,666	5,666	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	4,738	5,621	5,806	185
25.8	Subsistence and support of persons	2,690	2,653	2,653	-
26.0	Supplies and materials	55,416	57,801	55,500	(2,301)
31.0	Equipment	4,216	2,950	3,228	278
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	383	378	378	-
Total, Training and Recruiting		\$ 200,783	\$ 213,034	\$ 203,869	\$ (9,165)

PPA Mission Statement

Requests funding for the Coast Guard's professional training and education programs, and operation and maintenance of the six Coast Guard Training Centers and the Coast Guard Academy. Provides funding for tuition, travel and per diem for formal training and education performed as Temporary Assigned Duty (TAD) for military and civilian personnel. "Formal training and education" is defined as structured, curriculum-based instruction and applied exercises for the attainment and retention of skills and knowledge required to accomplish specific job tasks. Requested funding will ensure a level of capabilities and competencies commensurate with the response posture the Coast Guard has displayed in recent years, such as operational response to Hurricane Katrina, Operation Iraqi Freedom, 9/11 terrorist attacks and other events requiring a rapid response capability.

Summary Justification and Explanation of Changes

Travel

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	42,144	\$	41,527	\$	43,195	\$	1,668

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. Increases in travel in FY 2011 include funding to fulfill the new Coast Guard Boat Forces requirement for egress certification of all enclosed cabin small boat crews, as well as personnel training requirements associated with HC-144A operations.

Other rent

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	2,811	\$	2,772	\$	2,761	\$	(11)

Other rent includes all payments to a non-federal source for rental space, land and structures.

Communication, utilities, and misc charges

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	12,850	\$	13,213	\$	12,683	\$	(530)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

Printing and reproduction

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	663	\$	654	\$	660	\$	6

Includes printing and reproduction costs.

Advisory and assistance services

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 16,986	\$	18,178	\$	15,616	\$	(2,562)

Advisory and assistance services include services acquired by contract from non-federal sources (e.g., private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. The FY 2011 decrease reflects the net result of decreases in contractor support due to insourcing initiatives, multiple asset decommissionings, the reduction of mission support personnel and the obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display).

Other services

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 52,204	\$	56,027	\$	50,785	\$	(5,242)

Other services include report contractual services with non-federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions. The FY 2011 decrease reflects the net result of decreases in contractor support due to insourcing initiatives, multiple asset decommissionings and the obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display).

Purchases of goods & svcs. from gov't accounts

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ -	\$	5,594	\$	4,938	\$	(656)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from other government agencies including interagency service requirements.

Operation & maintenance of facilities

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 5,682	\$	5,666	\$	5,666	\$	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Specifically, funds support contracted janitorial, landscaping, security, and environmental services (e.g., hazardous materials disposal) associated with the operation of Coast Guard facilities. The FY 2011 request has no change.

Operation and maintenance of equipment

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	4,738	\$	5,621	\$	5,806	\$	185

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Specifically, funding supports contracted specialized maintenance and minor repair of Coast Guard operational assets (e.g., cutters, boats, and aircraft) and supporting systems. The FY 2011 request reflects funding increases to support the operation of the HC-144A flight simulator.

Subsistence and support of persons

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	2,690	\$	2,653	\$	2,653	\$	-

The FY 2011 request has no change.

Supplies and materials

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	55,416	\$	57,801	\$	55,500	\$	(2,301)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The FY 2011 decrease is primarily the result of the obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display).

Equipment

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	4,216	\$	2,950	\$	3,228	\$	278

This object class covers the purchase of capitalized and non-capitalized assets. For example, this object class enables the Coast Guard to purchase furniture for the cadets at the Coast Guard Academy and survival suits for the rescue swimmers deployed to the frigid waters of Alaska. The FY 2011 request supports operation of the HC-144A flight simulator.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
PPA IV: Operation and Maintenance
Funding Schedule
(Dollars in Thousands)**

PPA IV: Operation and Maintenance		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	140,046	144,255	127,526	(16,729)
22.0	Transportation of things	2,934	2,706	4,478	1,772
23.1	GSA rent	-	-	-	-
23.2	Other rent	24,738	23,299	24,424	1,125
23.3	Communication, utilities, and misc charges	88,007	29,279	10,387	(18,892)
24.0	Printing and reproduction	4,462	4,149	3,092	(1,057)
25.1	Advisory and assistance services	104,588	118,210	63,481	(54,729)
25.2	Other services	372,436	374,894	352,904	(21,990)
25.3	Purchases of goods & svcs. from gov't accounts	1,156	317	782	465
25.4	Operation & maintenance of facilities	38,757	37,957	34,098	(3,859)
25.5	Research and development	-	-	-	-
25.6	Medical care	4,578	4,253	4,253	-
25.7	Operation and maintenance of equipment	10,191	28,850	33,050	4,200
25.8	Subsistence and support of persons	44,406	43,016	40,122	(2,894)
26.0	Supplies and materials	409,796	419,289	383,497	(35,792)
31.0	Equipment	27,714	24,832	22,636	(2,196)
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	1,658	1,541	1,541	-
Total, Operation and Maintenance		\$ 1,275,467	\$ 1,256,847	\$ 1,106,271	\$ (150,576)

PPA Mission Statement

Requests funding to units, facilities and activities that are under the direct operational and administrative control of the Coast Guard's Atlantic Area and Pacific Area Commanders. These include High Endurance Cutters (WHECs), Medium Endurance Cutters (WMECs), Polar Icebreakers, Communications Stations, Sector Commands, Stations, Marine Safety and Security Teams (MSSTs), various support units, and Area offices as applicable. Request includes funding to sustain normal operating costs that include energy, parts and supplies for routine maintenance of operational assets and shore facilities and administrative supplies.

Summary Justification and Explanation of Changes

Travel

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	140,046	\$	144,255	\$	127,526	\$	(16,729)

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. The decrease in FY 2011 is the result of multiple asset decommissionings, enterprise-wide travel reductions associated with the Headquarters Efficiency Review, the obligation of Overseas Contingency Operations funding (anticipated OCO transfer from DoD is not included in 2011 display) and the obligation of FY 2009 unobligated funding in FY 2010.

Transportation of things

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	2,934	\$	2,706	\$	4,478	\$	1,772

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding primarily supports the shipment of military member's household goods in conjunction with Permanent Change of Station (PCS) moves. The FY 2011 increase is primarily the result of increased transportation costs associated with multiple asset decommissionings.

Other rent

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	24,738	\$	23,299	\$	24,424	\$	1,125

Other rent includes all payments to a non-federal source for rental space, land and structures. Funding supports lease renewals for facilities (e.g., office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.). The increase in FY 2011 is due to Rescue 21 follow-on funding.

Communication, utilities, and misc charges

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	88,007	\$	29,279	\$	10,387	\$	(18,892)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities, cutters, and aircraft, utility costs including shore facility utilities and cutter, boat and aircraft fuel requirements, and postal costs. The decrease is primarily the result of multiple asset decommissionings and the obligation of Icebreaking Services and Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD and reimbursement from NSF for icebreaking services are not included in 2011 display).

Printing and reproduction

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	4,462	\$	4,149	\$	3,092	\$	(1,057)

The FY 2011 decrease is primarily the result of a reduction in Headquarters program and policy service delivery.

Advisory and assistance services

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	104,588	\$	118,210	\$	63,481	\$	(54,729)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. The FY 2011 decrease reflects the net result of contractor decreases due to insourcing initiatives, changes in Headquarters program and policy service delivery, and the obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display).

Other services

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	372,436	\$	374,894	\$	352,904	\$	(21,990)

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions. The FY 2011 decrease is due primarily to the obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display).

Purchases of goods & svcs. from gov't accounts

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	1,156	\$	317	\$	782	\$	465

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from other government agencies including interagency service requirements. The increase in FY 2011 is primarily due to the annualization of FY 2010 funding.

Operation & maintenance of facilities

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	38,757	\$	37,957	\$	34,098	\$	(3,859)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Specifically, funds support contracted janitorial, landscaping, security, and environmental services (e.g., hazardous materials disposal) associated with the operation of Coast Guard facilities. The FY 2011 decrease reflects changes to rotary-wing capacity and the obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display).

Medical care

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	4,578	\$	4,253	\$	4,253	\$	-

The FY 2011 request has no change.

Operation and maintenance of equipment

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	10,191	\$	28,850	\$	33,050	\$	4,200

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Specifically, funding supports contracted specialized maintenance and minor repair of Coast Guard operational assets (e.g., cutters, boats, and aircraft) and supporting systems. The FY 2011 increase is due to follow-on costs for Rescue 21 and the annualization of funding for FY 2010 initiatives.

Subsistence and support of persons

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	44,406	\$	43,016	\$	40,122	\$	(2,894)

The FY 2011 decrease is a result of the obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display).

Supplies and materials

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 409,796	\$	419,289	\$	383,497	\$	(35,792)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The FY 2011 decrease is a result of the obligation of Overseas Contingency Operations funding (anticipated OCO transfer from DoD is not included in 2011 display) and the obligation of FY 2009 unobligated funding in FY 2010.

Equipment

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 27,714	\$	24,832	\$	22,636	\$	(2,196)

This object class covers the purchase of capitalized and non-capitalized assets. The decrease is the result of the termination of Manned Covert Surveillance Aircraft (MCSA) follow-on funding and the obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display).

Insurance claims and indemnity

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 1,658	\$	1,541	\$	1,541	\$	-

The FY 2011 request has no change.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
PPA V: Central Accounts
Funding Schedule
(Dollars in Thousands)**

PPA V: Central Accounts		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	1,050	998	998	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	84,838	89,619	90,724	1,105
23.2	Other rent	1,692	1,609	1,609	-
23.3	Communication, utilities, and misc charges	77,654	138,803	130,211	(8,592)
24.0	Printing and reproduction	1,581	1,503	1,503	-
25.1	Advisory and assistance services	4,326	9,663	1,720	(7,943)
25.2	Other services	59,905	58,864	68,709	9,845
25.3	Purchases of goods & svcs. from gov't accounts	3,882	4,011	4,250	239
25.4	Operation & maintenance of facilities	527	501	701	200
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	3,720	5,880	6,898	1,018
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	12,536	21,660	12,149	(9,511)
31.0	Equipment	25,626	25,622	26,359	737
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Central Accounts		\$ 277,337	\$ 358,733	\$ 345,831	\$ (12,902)

PPA Mission Statement

This request provides funding for accounts centrally managed at Coast Guard Headquarters such as: Federal Telephone System (FTS) accounts, Standard Workstation recapitalization, ammunition replenishment, recapitalization of buoys, GSA Rent, postal expenses and Mass Transit benefits. Request ensures critical support elements are provided to the workforce, allowing them to execute their roles in supporting Coast Guard operations. Lease of adequate office space, effective communications (computers, phones, etc) and operational gear (ammunition) are all part of those critical support requirements.

Summary Justification and Explanation of Changes

Travel

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 1,050	\$ 998	\$ 998	\$ -

The FY 2011 request has no change.

GSA rent

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 84,838	\$ 89,619	\$ 90,724	\$ 1,105

GSA Rent includes all payments to the General Services Administration (GSA) for rental of space and rent related services. The majority of FY 2011 increases are a result of changes in GSA rental costs and additional space requirements.

Communication, utilities, and misc charges

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 77,654	\$ 138,803	\$ 130,211	\$ (8,592)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities, cutters, and aircraft, utility costs including shore facility utilities and cutter, boat and aircraft fuel requirements, and postal costs. Decreases in FY 2011 are the net result of obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display) and increases from follow-on costs for newly acquired surface and air assets.

Printing and reproduction

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 1,581	\$ 1,503	\$ 1,503	\$ -

The FY 2011 request has no change.

Advisory and assistance services

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 4,326	\$	9,663	\$	1,720	\$	(7,943)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. The FY 2011 decrease is due to the obligation of FY 2009 unobligated funding in FY 2010 for the Operations Systems Center in Martinsburg, WV.

Other services

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 59,905	\$	58,864	\$	68,709	\$	9,845

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions. The FY 2011 increase is due to security charges for GSA facilities and Government Services increases for communications and postal services.

Purchases of goods & svcs. from gov't accounts

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 3,882	\$	4,011	\$	4,250	\$	239

Purchases from Government Accounts include costs for purchases from other Federal government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from other government agencies including interagency service requirements (e.g., MIPR). Increases in FY 2011 are due to Government Services increases for communications and postal services.

Operation & maintenance of facilities

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 527	\$	501	\$	701	\$	200

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Specifically, funds support contracted janitorial, landscaping, security, and environmental services (e.g., hazardous materials disposal) associated with the operation of Coast Guard facilities.

Operation and maintenance of equipment

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 3,720	\$	5,880	\$	6,898	\$	1,018

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Specifically, funding supports contracted specialized maintenance and minor repair of Coast Guard operational assets (e.g., cutters, boats, and aircraft) and supporting systems. The FY 2011 increase is due to annualization of FY 2010 funding, cost increases for the contract insourcing initiative, and logistics support for the NSC.

Supplies and materials

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 12,536	\$	21,660	\$	12,149	\$	(9,511)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The FY 2011 decrease is primarily due to the obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display).

Equipment

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 25,626	\$	25,622	\$	26,359	\$	737

This object class covers the purchase of capitalized and non-capitalized assets. For example, this object class enables the Coast Guard to purchase furniture for cadets at the Coast Guard Academy and survival suits for rescue swimmers deployed to the frigid waters of Alaska. The FY 2011 increase reflects follow-on funding requirements for newly acquired surface and air assets.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
PPA VI: Depot Level Maintenance
Funding Schedule
(Dollars in Thousands)**

PPA VI: Depot Level Maintenance		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	20,856	20,084	20,084	-
22.0	Transportation of things	2,731	2,630	2,681	51
23.1	GSA rent	-	-	-	-
23.2	Other rent	257	1,229	1,239	10
23.3	Communication, utilities, and misc charges	2,409	22,669	22,579	(90)
24.0	Printing and reproduction	515	496	536	40
25.1	Advisory and assistance services	123,679	126,100	119,589	(6,511)
25.2	Other services	280,742	271,748	273,086	1,338
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	135,006	136,494	132,155	(4,339)
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	83,252	172,903	90,887	(82,016)
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	164,102	169,355	160,994	(8,361)
31.0	Equipment	32,018	42,369	44,100	1,731
32.0	Land and structures	12,706	12,032	12,032	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Depot Level Maintenance		\$ 858,273	\$ 978,109	\$ 879,962	\$ (98,147)

PPA Mission Statement

Request provides service-wide funding to support the major maintenance and repair of Coast Guard aircraft not appropriated in the Coast Guard Acquisition, Construction & Improvements (AC&I) appropriation. This includes materials, services and supplies necessary for depot-level repair of buildings, structures, ground, towers, runways, aids to navigation, aircraft and aircraft equipment.

Summary Justification and Explanation of Changes

Travel

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 20,856	\$ 20,084	\$ 20,084	\$ -

The FY 2011 request has no change.

Transportation of things

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 2,731	\$ 2,630	\$ 2,681	\$ 51

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

Other rent

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 257	\$ 1,229	\$ 1,239	\$ 10

Other rent includes all payments to a non-federal source for rental space, land and structures.

Communication, utilities, and misc charges

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 2,409	\$ 22,669	\$ 22,579	\$ (90)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities, cutters and aircraft, utility costs, postal costs and cutter, boat and aircraft fuel requirements. The FY 2011 decrease is due to the termination of one time FY 2010 costs.

Printing and reproduction

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 515	\$ 496	\$ 536	\$ 40

The FY 2011 request increases slightly due to HC-144A follow-on funding.

Advisory and assistance services

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 123,679	\$	126,100	\$	119,589	\$	(6,511)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. FY 2011 decreases are primarily due to the obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display).

Other services

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 280,742	\$	271,748	\$	273,086	\$	1,338

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions. The FY 2011 increase is due to Fast Response Cutter and C4ISR follow-on costs.

Operation & maintenance of facilities

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 135,006	\$	136,494	\$	132,155	\$	(4,339)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Specifically, funds support contracted janitorial, landscaping, security, and environmental services (e.g., hazardous materials disposal) associated with the operation of Coast Guard facilities. FY 2011 decreases reflect the net result of obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display) and increases from follow-on costs for surface and air assets and shore infrastructure.

Operation and maintenance of equipment

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$ 83,252	\$	172,903	\$	90,887	\$	(82,016)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Specifically, funding supports contracted specialized maintenance and minor repair of Coast Guard operational assets (e.g., cutters, boats and aircraft) and supporting systems. The FY 2011 decrease reflect the net result of changes in rotary-wing capacity, the termination of one time FY 2010 costs, the obligation of FY 2009 unobligated funding for HEC maintenance, and the obligation of Icebreaking Services and Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD and reimbursement from NSF for icebreaking services are not included in 2011 display).

Supplies and materials

2009	2010	2011	2010 - 2011
Actual	Enacted	Request	Change
\$ 164,102	\$ 169,355	\$ 160,994	\$ (8,361)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats and aircraft, supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. FY 2011 decreases are primarily due to the obligation of Overseas Contingency Operations funding in FY 2010 (anticipated OCO transfer from DoD is not included in 2011 display).

Equipment

2009	2010	2011	2010 - 2011
Actual	Enacted	Request	Change
\$ 32,018	\$ 42,369	\$ 44,100	\$ 1,731

This object class covers the purchase of capitalized and non-capitalized assets. For example, this object class enables the Coast Guard to purchase furniture for the cadets at the Coast Guard Academy and survival suits for the rescue swimmers deployed to the frigid waters of Alaska. The FY 2011 increase reflects the net result of procurement of equipment to support armed helicopter requirements for Homeland Security and changes in rotary wing capacity.

Land and structures

2009	2010	2011	2010 - 2011
Actual	Enacted	Request	Change
\$ 12,706	\$ 12,032	\$ 12,032	\$ -

The FY 2011 request has no change.

I. Changes in Full-Time Equivalents

Department of Homeland Security U. S. Coast Guard Operating Expenses

Changes in Full-Time Equivalents

Operations and Support -- includes both military and civilian FTE ¹

	FY 2009 ²	FY 2010	FY 2011
BASE: Start of Year (SOY) FTE levels	47,236	47,884	48,591
Adjustments-to-Base : Increases			
Increase #1: Annualization of part year funding Description: Annualization of prior year FTE	406	621	319
Increase #2: Response Boat Medium follow-on Description: Maintenance personnel to support RB-M	2	3	5
Increase #3: Rescue 21 follow-on Description: Operation of Rescue 21	49	11	1
Increase #4: Nationwide Automatic Identification System (NAIS) follow-on Description: NAIS operations follow-on	5	1	7
Increase #5: Surface and Air Asset follow-on Description: Crewing, staffing and support of new assets	93	183	173
Increase #6: Inland River Emergency Subsystem Sustainment Description: Maintain legacy inland river fleet	2	-	-
Increase #7: Air Station Cape Cod Operations Follow-on Description: Transfer in to CG from DOJ	13	-	-
Increase #8: Coastal Patrol Boat Follow-on Description: Crewing, operations & maintenance, and shore-side support	60	-	-
Increase #9: Sector Corpus Christi Facility follow-on Description: Sector Air Station Corpus follow-on	-	13	-
Increase #10: Defense Messaging System (DMS) Follow-On Description: Defense Messaging System (DMS) Follow-On	-	-	3
Increase #11: Rescue Swimmer Training Facility follow-on Description: Rescue swimmer training facility staff	-	-	7
Subtotal, Increases:	630	832	515

Adjustments-to-Base : Decreases

Decrease #1: Prior Year Management Annualizations Description: Annualization of management savings and management efficiencies	(33)	(22)	(177)
Decrease #2: Decommission BLACKBERRY Description: Decommission BLACKBERRY	(7)	-	-
Decrease #3: HU-25 Aircraft Description: Retire HU-25 aircraft	(20)	(39)	(32)
Decrease #4: HC-130H Aircraft Description: Retire HC-130H aircraft	(86)	(14)	-

	FY 2009 ²	FY 2010	FY 2011
Decrease #5: PC-179 Patrol Boats Description: Decommission two PC-179 patrol boats	(77)	-	-
Decrease #6: LORAN-C Termination Description: LORAN-C signal and facility termination	-	(169)	-
Decrease #7: High Endurance Cutter (HEC) Description: Decommission four High Endurance Cutters (HEC)	-	-	(383)
Decrease #8: Medium Endurance Cutter (MEC) Description: Decommission ACUSHNET	-	-	(43)
Decrease #9: Manned Covert Surveillance Aircraft Follow-On Description: Manned covert surveillance aircraft personnel	-	-	(12)
Decrease #10: DHS Balanced Workforce Strategy Description: Workforce growth through insourcing	-	-	300
Decrease #11: Consolidate Maritime Intelligence Fusion Centers (MIFCs) Description: Consolidate maritime intelligence fusion centers (MIFCs)	-	-	(7)
Decrease #12: National Strike Force Coordination Center Description: Decommission National Strike Force Coordination Center	-	-	(5)
Decrease #13: Mission Support Personnel Description: Reduce mission support personnel to align with reductions	-	-	(22)
Subtotal, Decreases:	(223)	(244)	(381)

Program Changes

Change #1: Situation Unit Watch Standers / Command Duty Officers Description: Watchstanders for command centers	51	-	-
Change #2: Marine Inspectors Description: Enhance marine inspector capacity	139	-	-
Change #3: MAGNet 2.0 - GMII Fusion Description: Improve ability to collect, correlate and fuse data	9	-	-
Change #4: Counter-intelligence Service Description: Counter-intelligence service initiative	15	-	-
Change #5: Cryptologic Service Group Description: Enhance cryptology capability	23	-	-
Change #6: Port and Maritime Safety and Security Description: Port inspections, situational unit watchstanders, boats	142	-	-
Change #7: Increase D7 110-foot OP Hours Description: Increase to D7 110-foot OP Hours	22	-	-
Change #8: Aviation Mission Hour Gap Description: MPA stop gap measures	8	-	-
Change #9: Financial Management Oversight Description: Financial management oversight	-	44	-
Change #10: Marine Safety Program Description: Enhancing marine safety	-	37	-

	FY 2009 ²	FY 2010	FY 2011
Change #11: Armed Helicopters Enhancement Description: Armed helicopters enhancement	-	6	-
Change #12: Biometrics at Sea Description: Biometrics at sea program	-	2	-
Change #13: Seahawk Charleston Interagency Operations Center Sustainment Description: Seahawk Charleston IOC sustainment	-	1	-
Change #14: Counternarcotics Enforcement Description: Counternarcotics enforcement enhancement	-	25	-
Change #15: Watchstanders Description: Watchstanders augmentation	-	4	-
Change #16: Rotary Wing Capacity Description: Realign rotary wing capacity	-	-	(34)
Change #17: Deployable Force Capacity Description: Decommission five MSSTs and partially reinvest in LEDET capacity	-	-	(196)
Change #18: CG Investigative Service (CGIS) Description: Consolidate CG investigative service field units	-	-	(5)
Subtotal, Program Changes:	409	119	(235)
Year-end Enacted / Estimated FTEs	47,884	48,591	48,490
Net Change from prior year base to budget year estimate:	648	707	(101)

1) The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

2) 168 FTE/FTP Public Health Service (PHS) officers were removed from the FY 2009 enacted presentation to properly document the arrangement per OMB A-11 Section 85.7; Department of Health and Human Services (HHS) is the servicing account in the reimburseable FTE arrangement with the Coast Guard.

J. FY 2011 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2009	FY 2010	FY 2011	Increase / Decrease
	Actual	Anticipated	Anticipated	for FY 2011
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Consolidated Subscriptions (Library of Congress)	\$ 527	\$ 548	\$ 1,162	\$ 614
Financial Statement Audit	\$ 3,561	\$ 2,970	\$ 3,722	\$ 752
Internal Control Audit	\$ 760	\$ 1,035	\$ 195	\$ (840)
TIER	\$ 51	\$ 52	\$ 59	\$ 7
Bankcard Program	\$ -	\$ 267	\$ 3	\$ (264)
NFC Payroll Services & Reporting	\$ 1,609	\$ 1,742	\$ 2,249	\$ 507
(HCBS) Payroll Service Ops	\$ 395	\$ 336	\$ 926	\$ 590
Flexible Spending Plan	\$ 72	\$ 92	\$ 97	\$ 5
DHS EXEC. LEAD. (SES CDP, Sec Conf)	\$ 20	\$ 25	\$ 26	\$ 1
CIO/DHS Infrastructure Transf Pgm	\$ 7,606	\$ 5,554	\$ 6,105	\$ 551
Software Enterprise Licenses - Microsoft	\$ 5,900	\$ 9,467	\$ 12,982	\$ 3,515
Interagency Council Funding	\$ 169	\$ 144	\$ 11	\$ (133)
Recruitment One-Stop	\$ 50	\$ 51	\$ 54	\$ 3
e-Training	\$ 590	\$ 593	\$ 366	\$ (227)
Enterprise HR Integration (EHRI)	\$ 167	\$ 162	\$ 170	\$ 8
Business Gateway	\$ 25	\$ 27	\$ -	\$ (27)
e-Rulemaking	\$ 174	\$ 184	\$ 86	\$ (98)
e-Travel	\$ 24	\$ 25	\$ -	\$ (25)
Case Management Line of Business	\$ 14	\$ 14	\$ -	\$ (14)
e-Grants.gov	\$ 7	\$ 7	\$ 7	\$ 0
e-Authentication	\$ 3	\$ 3	\$ -	\$ (3)
Human Resources Line of Business	\$ 12	\$ 11	\$ 12	\$ 1
e-govBenefits	\$ 17	\$ 17	\$ -	\$ (17)
Financial Management Line of Business	\$ 33	\$ 69	\$ 35	\$ (34)
Geospatial Line of Business	\$ 15	\$ 16	\$ 15	\$ (1)
IT Infrastructure Line of Business	\$ 37	\$ 77	\$ -	\$ (77)
IAE Loans and Grants	\$ -	\$ 8	\$ 9	\$ 1
Budget Formulation and Execution Line of Business	\$ 22	\$ 23	\$ 23	\$ -
e-gov.Integrated Acquisition Environment	\$ 612	\$ 516	\$ 493	\$ (23)
e-gov. Disaster Management (DisasterHelp.gov)	\$ 1,798	\$ 1,833	\$ 1,896	\$ 63
Capital Planning and Investment Control (CPIC)	\$ 576	\$ 1,199	\$ 1,211	\$ 12
Ready Campaign (Ready.gov)	\$ 146	\$ 155	\$ -	\$ (155)
Strategic Sourcing	\$ 109	\$ 276	\$ 279	\$ 3
CPO Shared Reporting	\$ 199	\$ 1,038	\$ 999	\$ (39)
Working Capital Fund Operations	\$ 61	\$ 61	\$ 106	\$ 45
Total Working Capital Fund	\$ 25,359	\$ 28,596	\$ 33,298	\$ 4,703

Department of Homeland Security

United States Coast Guard

Environmental Compliance and Restoration



Fiscal Year 2011

Congressional Justification

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U. S. Coast Guard
Environmental Compliance and Restoration

I. Appropriation Overview

A. Mission Statement for Environmental Compliance and Restoration:

The Environmental Compliance and Restoration (EC&R) appropriation provides funding for environmental cleanup, sustainment and restoration of current and formerly contaminated Coast Guard facilities, and engineering remedies on Coast Guard assets for the purpose of complying with environmental laws and preventing contamination and environmental damage. The EC&R funding request supports all of the Coast Guard's 11 statutorily mandated mission-programs. These mission-programs, in turn, directly support the Coast Guards role as the principal Federal agency charged with ensuring maritime safety, security, and stewardship.

EC&R funding ensures the Coast Guard maintains its responsibilities in environmental stewardship. Failure to meet restoration or compliance responsibilities could subject the U.S. Government to fines, penalties, or shutdown of operational assets by environmental regulators.

B. Budget Activities:

Environmental Compliance and Restoration activities include site investigation and remediation activities at older shore facilities slated for property divestiture or transfer. This predominantly involves divestiture of lighthouses under authority of the National Historic Lighthouse Preservation Act.

C. Budget Request Summary:

The Coast Guard requests 25 positions, 24 FTE, and \$13.329 million in FY 2011 to provide for environmental remediation and restoration of Coast Guard facilities, including Air Station Kodiak AK, Support Center Elizabeth City, NC, the Coast Guard Yard in Curtis Bay, MD and Coast Guard training centers in Petaluma, CA and Yorktown, VA.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Environmental Compliance and Restoration
Summary of FY 2011 Budget Estimates by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Environmental Compliance and Restoration	23	\$ 11,317	24	\$ 13,198	24	\$ 13,329	-	\$ -	-	\$ -	-	\$ -
Subtotal, Enacted Appropriations and Budget Estimates	23	\$ 11,317	24	\$ 13,198	24	\$ 13,329	-	\$ -	-	\$ -	-	\$ -
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	23	\$ 11,317	24	\$ 13,198	24	\$ 13,329	-	\$ -	-	\$ -	-	\$ -

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Environmental Compliance and Restoration
Program Performance Justification
(Dollars in Thousands)**

PPA I: ENVIRONMENTAL COMPLIANCE AND RESTORATION

	Perm Pos	FTE	Amount
2009 Actual	25	23	\$11,317
2010 Enacted	25	24	13,198
2011 Adjustments-to-Base	131
2011 Current Services	25	24	13,329
2011 Program Change
2011 Request	25	24	13,329
Total Change 2010-2011	131

The Coast Guard requests \$13.329 million for this activity. This is an increase of \$131.000 thousand above the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Coast Guard Authorization Act of 1989 (P.L. 101-225) created the Coast Guard Environmental Compliance and Restoration (EC&R) Program and Appropriation. The purpose of the EC&R Appropriation is to carry out a program of environmental compliance and restoration at all current and former Coast Guard facilities. It involves the identification, investigation, and cleanup of contamination from hazardous substances and pollutants; and hard engineering fixes (i.e., physical changes) to Coast Guard buildings and structures in order to comply with environmental laws and keep environmental liabilities from developing.

Significant accomplishments in FY 2009 included:

- Continued environmental cleanup and restoration of current and formerly contaminated Coast Guard facilities, as well as engineering fixes on Coast Guard assets to comply with environmental laws and regulations.

FY 2010 planned accomplishments include:

- Continue environmental cleanup and restoration of current and formerly contaminated Coast Guard facilities, as well as engineering fixes on Coast Guard assets to comply with environmental laws and keep environmental damage from developing.

- Perform comprehensive environmental investigations and clean-up actions at sites with existing written agreements, at former and current Long Range Navigation Stations (LORAN Stations) and at sites with leaking underground fuel storage tanks (UST's).
- Support EC&R costs incurred as a result of Coast Guard vessel disposal, including the 123-foot ISLAND Class cutters.
- Begin partnership with the National Park Service to remove dangerous goods and materials from Great Lakes light houses, including contaminated soils, lead based paints, asbestos, PCBs, and petroleum products. The USCG will also create a system that will recover heavy oil from the sea floor, and develop detection and response techniques for oil spills in ice in fresh water (Great Lakes Restoration Initiative).

FY 2011 planned accomplishments include:

- Continue environmental cleanup and restoration of current and formerly contaminated Coast Guard facilities, as well as engineering fixes on Coast Guard assets.
- Environmental investigations and remediations of current and former Lighthouses scheduled for divestiture and Long Range Navigation-C (LORAN-C) stations. Clean-up of Leaking USTs and fuel systems. Upgrades to the Coast Guard's aging facilities and cutters, such as upgrades to oil-water-separators and other critical environmental compliance equipment. Continuation of ongoing remediation projects at Air Station Kodiak, AK; Support Center Elizabeth City, NC; the Coast Guard Yard, MD; and Coast Guard training centers in Petaluma, CA and Yorktown, VA.
- Support EC&R costs incurred as a result of Coast Guard vessel disposal, including the 123-foot ISLAND Class cutters and the proposed decommissioning of four high endurance cutters and one medium endurance cutter.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U. S. Coast Guard
Justification of Proposed Changes in Environmental Compliance and Restoration
Appropriation Language**

For necessary expenses to carry out the environmental compliance and restoration functions of the Coast Guard under chapter 19 of title 14, United States Code, [~~\$13,198,000~~]\$13,329,000, to remain available until expended. (*Department of Homeland Security Appropriations Act, 2010.*)

B. FY 2010 to FY 2011 Budget Change

**Department of Homeland Security
U. S. Coast Guard
Environmental Compliance and Restoration
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2009 Actual	25	23	\$ 11,317
2010 Enacted	25	24	13,198
Adjustments-to-Base			
Increases			
Annualization of FY 2010 Pay Raise	-	-	16
FY 2011 Pay Raise	-	-	115
Total Increases	-	-	131
Total Adjustments-to-Base	-	-	131
2011 Current Services	25	24	13,329
Program Changes			
Total Program Changes	-	-	-
2011 Request	25	24	13,329
2010 to 2011 Total Change	-	-	131

C. Summary of Requirements

Department of Homeland Security
U. S. Coast Guard
Environmental Compliance and Restoration
Summary of Requirements
(Dollars in Thousands)

	2011 Request		
	Pos.	FTE	Amount
2009 Actual	25	23	\$11,317
2010 Enacted	25	24	13,198
Adjustments-to-Base (See "FY 2010 to FY 2011 Budget Change" for details)			
Transfers	-	-	-
Increases	-	-	131
Decreases	-	-	-
Total Adjustments-to-Base	-	-	131
2011 Current Services	25	24	13,329
2011 Total Request	25	24	13,329
2010 to 2011 Total Change	-	-	131

Estimates by Program/Project Activity	2010 Enacted		2011 Adjustments-to-Base		2011 Program Change		2011 Request		2010 to 2011 Total Change						
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount			
PPA 1	25	24	13,198	-	-	131	-	-	25	24	13,329	-	-	\$	131
Total Environmental Compliance and Restoration	25	24	13,198	-	-	131	-	-	25	24	13,329	-	-	\$	131

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Environmental Compliance & Restoration
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
11.1 Full-time permanent	2,179	2,277	2,331	54
11.3 Other than full-time permanent	-	-	-	-
11.5 Other personnel compensation	33	35	35	-
11.7 Military personnel	105	108	110	2
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	578	604	677	73
12.2 Military personnel benefits	15	15	15	-
13.0 Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits	\$ 2,910	\$ 3,039	\$ 3,168	\$ 129
Other Objects Classes:				
21.0 Travel	78	157	94	(63)
22.0 Transportation of things	-	-	-	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	7,912	15,934	9,563	(6,371)
25.3 Purchases of goods & sves. from gov't accounts	50	101	60	(41)
25.4 Operation & maintenance of facilities	262	528	317	(211)
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	3	6	4	(2)
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	102	205	123	(82)
31.0 Equipment	-	-	-	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ 8,407	\$ 16,931	\$ 10,161	\$ (6,770)
Total Direct Obligations	\$ 11,317	\$ 19,970	\$ 13,329	\$ (6,641)
Unobligated balance, start of year*	(3,917)	(6,772)	-	-
Unobligated balance, end of year	6,772	-	-	-
Total Requirements	\$ 14,172	\$ 13,198	\$ 13,329	

Note 1: Unobligated balances include other funding sources.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Environmental Compliance and Restoration - Military
Permanent Positions by Grade**

Grade	2009	2010	2011	2010 - 2011
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	-	-	-	-
O-7	-	-	-	-
O-6	-	-	-	-
O-5	-	-	-	-
O-4	1	1	1	-
O-3	-	-	-	-
O-2	-	-	-	-
O-1	-	-	-	-
CWO4	-	-	-	-
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	-	-	-	-
E-8	-	-	-	-
E-7	-	-	-	-
E-6	-	-	-	-
E-5	-	-	-	-
E-4	-	-	-	-
E-3	-	-	-	-
E-2	-	-	-	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	1	1	1	-
Unfilled Positions EOY	-	-	-	-
Total Perm. Employment EOY	1	1	1	-
FTE*	1	1	1	-
Headquarters	1	1	1	-
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total Permanent Positions	1	1	1	-
Position Data:				
Average Salary, Officer Positions**	\$ 116,516	\$ 120,770	\$ 124,529	\$ 3,759
Average Grade, Officer Position	4	4	4	-

*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

**The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Environmental Compliance and Restoration - Civilian
Permanent Positions by Grade**

Grade	2009	2010	2011	2010 - 2011
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	1	1	1	-
GS-14	2	2	2	-
GS-13	7	7	7	-
GS-12	14	14	14	-
GS-11	-	-	-	-
GS-10	-	-	-	-
GS-9	-	-	-	-
GS-8	-	-	-	-
GS-7	-	-	-	-
GS-6	-	-	-	-
GS-5	-	-	-	-
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	24	24	24	-
Unfilled Positions EOY	1	2	2	-
Total Perm. Employment (Filled Positions) EOY	23	22	22	-
FTE	22	23	23	-
Headquarters	4	4	4	-
U.S. Field	20	20	20	-
Foreign Field	-	-	-	-
Total Permanent Positions	24	24	24	-
<u>Position Data:</u>				
Average Personnel Costs, ES Positions	n/a	n/a	n/a	n/a
Average Personnel Costs, GS Positions	\$ 117,529	\$ 121,496	\$ 125,817	\$ 4,321
Average Grade, GS Positions	13	13	13	-

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Environmental Compliance & Restoration
PPA I
Funding Schedule
(Dollars in Thousands)

Environmental Compliance & Restoration		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	2,179	2,277	2,346	69
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	33	35	35	-
11.7	Military personnel	105	108	110	2
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	578	604	664	60
12.2	Military personnel benefits	15	15	15	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	78	157	94	(63)
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	7,912	15,934	9,561	(6,373)
25.3	Purchases of goods & svcs. from gov't accounts	50	101	60	(41)
25.4	Operation & maintenance of facilities	262	528	317	(211)
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	3	6	4	(2)
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	102	205	123	(82)
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Environmental Compliance and Restoration		\$ 11,317	\$ 19,970	\$ 13,329	\$ (6,641)
Full Time Equivalents		23	24	24	-

PPA Mission Statement

Environmental Compliance and Restoration (EC&R) will provide for (1) environmental cleanup and restoration of current and formerly contaminated Coast Guard facilities, and (2) engineering fixes on Coast Guard assets to comply with environmental laws and keep environmental damage from developing. Failure to meet restoration or compliance responsibilities could subject the Coast Guard to fines, penalties, or shutdown of operational assets by environmental regulators. In addition, Coast Guard EC&R funding supports site investigation and remediation activities at older shore facilities slated for property divestiture or transfer actions; this primarily includes divestiture of lighthouses in support of the National Historic Lighthouse Preservation Act.

Summary Justification and Explanation of Changes

Salaries and Benefits

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 2,910	\$ 3,039	\$ 3,170	\$ 131

Salaries and Benefits include costs for 24 FTE. The FY 2011 request includes an increase to account for inflation and planned internal personnel reprogramming issues.

Travel

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 78	\$ 157	\$ 94	\$ (63)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The 2011 request is based on anticipated project needs and schedules.

Other services

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 7,912	\$ 15,934	\$ 9,561	\$ (6,373)

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The decrease in FY 2011 reflects the assumption that all FY 2009 carryover will be obligated in FY 2010.

Purchases of goods & svcs. from gov't accounts

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 50	\$ 101	\$ 60	\$ (41)

Purchases from government accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from other government agencies.

Operation & maintenance of facilities

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 262	\$ 528	\$ 317	\$ (211)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Specifically, funds support contracted janitorial, landscaping, security, and environmental service (e.g., hazardous materials disposal) associated with the operation of Coast Guard facilities.

Operation and maintenance of equipment

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
	\$	3	\$	6	\$	4	\$ (2)

The 2011 request is based on anticipated projects and schedules.

Supplies and Materials

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
	\$	102	\$	205	\$	123	\$ (82)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use.

I. Changes in Full-Time Equivalents

Not Applicable

Department of Homeland Security

United States Coast Guard

Reserve Training



Fiscal Year 2011

Congressional Justification

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U. S. Coast Guard
Reserve Training

I. Appropriation Overview

A. Mission Statement for Reserve Training:

As the principal federal agency charged with maritime safety, security and environmental stewardship, the Coast Guard protects vital economic and security interests of the United States from internal and external risks and threats. Our reserve forces are critical to enabling the Coast Guard to fulfill objectives associated with its 11 mission-programs. The Reserve Training appropriation provides trained units and qualified personnel for service in times of war or national emergency. Moreover, the Coast Guard Reserve may be called upon to provide units and personnel to augment active Coast Guard forces during times of crisis domestically or worldwide.

B. Budget Activities:

The Reserve Training appropriation directly supports training, operation and administration of the Coast Guard Reserve Program. Coast Guard Reserve Forces provide qualified and trained personnel for active duty in event of conflict, national emergency, or natural and manmade disasters. The reservists maintain their readiness through mobilization exercises and duty alongside regular Coast Guard members during routine and emergency operations. Reservists will continue to serve as a cost-effective surge force for response to man-made and natural disasters.

C. Budget Request Summary:

The Coast Guard requests 536 positions, 536 FTE, and \$135.675 million in FY 2011. This request provides necessary resources for the training, operation and administration of the Coast Guard Reserve Program while ensuring Reserve Component response readiness. The total program change and base adjustment is \$2.043 million.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Reserve Training
Summary of FY 2011 Budget Estimates by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Total Changes		Increase (+) or Decrease (-) For FY 2011		Adjustments-to-base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Pay, Benefits and Allowances	515	\$ 98,825	536	\$ 104,548	536	\$ 106,591	-	\$ 2,043	-	\$ -	-	\$ 2,043
II. Operations, Maintenance and Administration	-	\$ 31,277	-	\$ 29,084	-	\$ 29,084	-	\$ -	-	\$ -	-	\$ -
Less Subtotal, Enacted Appropriations and Budget Estimates	515	\$ 130,102	536	\$ 133,632	536	\$ 135,675	-	\$ 2,043	-	\$ -	-	\$ 2,043
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	515	\$ 130,102	536	\$ 133,632	536	\$ 135,675	-	\$ 2,043	-	\$ -	-	\$ 2,043

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Reserve Training
Program Performance Justification
(Dollars in Thousands)**

PPA I: PAY, BENEFITS AND ALLOWANCES

	Perm Pos	FTE	Amount
2009 Actual	525	515	98,825
2010 Enacted	536	536	104,548
2011 Adjustments-to-Base	2,043
2011 Current Services	536	536	106,591
2011 Program Change
2011 Request	536	536	106,591
Total Change 2010-2011	2,043

The Coast Guard requests \$106.591 million for this activity. This is an increase of \$2.043 million over the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

This request for Pay, Benefits and Allowances funds salaries, benefits and other compensation for both military and civilian full-time staffs supporting members of the Coast Guard's Selected Reserve, as well as for reservists who participate in training activities. The Coast Guard Reserve is the Coast Guard's surge-capacity military workforce and provides a cost-effective method of augmenting response to major contingencies, such as natural and man-made disasters, maritime homeland security, national security and other events.

The Coast Guard Reserve is a cornerstone of service readiness and pivotal to the success of daily mission execution. The Coast Guard Reserve was an invaluable contributor to the national responses to Hurricanes Katrina and Rita, and continues to support the Department of Defense's (DoD) Overseas Contingency Operations with deployed service to Operation Enduring Freedom and Operation Iraqi Freedom. Our reservists provide an outstanding return on investment by providing valuable augmentation of the active duty workforce through Inactive Duty Training and Active Duty Training periods.

Our request for funding supports 536 FTE representing both military and civilian members who manage all recruiting, formal training, personnel and resource/program oversight. No additional FTE are requested.

Significant accomplishments in FY 2009 included:

- Served an integral role during supplemental-funded contingency operations for DoD's Overseas Contingency Operations, Operation Iraqi Freedom and Operation Enduring Freedom, with over 680 reservists mobilized on involuntary and voluntary Active Duty Special Work (ADSW) orders in support of contingency operations.
- Supported seaport security, stood watches in command centers, law enforcement operations, anti-terrorism/force protection missions, inspections of commercial vessels, and domestic military out-load (MOL) security.
- Provided search and rescue capability and relief for natural disasters. Reservists continued to serve on active duty in the Midwestern and Gulf states for post-disaster support.
- Participated as crewmembers at 11 Coast Guard units on the Great Lakes in support of "Operation Summerstock" that augmented search and rescue capabilities during the high operational tempo of the summer months.
- Increased full-time support to Commanders in the field for the training and readiness of reserve personnel.

FY 2010 planned accomplishments include:

- Serve an integral role for DoD's Overseas Contingency Operations, Operation Iraqi Freedom and Operation Enduring Freedom.
- Train additional reservists for deployable expeditionary support and provide safety and security teams for deployment within the United States.
- Train for mobilization to support national security and disaster response.
- Support DHS Headquarters Operations, United States African Command (AFRICOM), and Deployable Operations Group (DOG) operations.
- Increase full-time support to Commanders in the field for the training and personal readiness of reserve personnel.

FY 2011 planned accomplishments include:

- Serve an integral role during DoD's Overseas Contingency Operations, Operation Iraqi Freedom and Operation Enduring Freedom.
- Train additional reservists for deployable expeditionary support and provide safety and security teams for deployment within the United States.
- Train for mobilization to support national security and disaster response.
- Realign full-time support billets to further increase full-time support to Commanders in the field for the training and personal readiness of reserve personnel.

PPA II: OPERATIONS, MAINTENANCE AND ADMINISTRATION

	Perm Pos	FTE	Amount
2009 Actual	31,277
2010 Enacted	29,084
2011 Adjustments to Base
2011 Current Services	29,084
2011 Program Change
2011 Request	29,084
Total Change 2010-2011

The Coast Guard requests \$29.084 million for this activity.

CURRENT SERVICES PROGRAM DESCRIPTION:

This request for Operations, Maintenance and Administration funds services and facilities to train reservists, administer the Reserve program and portion of organizational costs shared by the Reserve Training appropriation operation and maintenance. For example, reservists attend many of the same classroom-based training sessions as members of the active component, and the Reserve Training appropriation provides overhead and course-specific funding. Similar Reserve Training cost sharing applies in other arenas as well.

By providing funding for enterprise-wide services used by reservists, the Reserve Training appropriation ensures equipment and facilities necessary to attract and maintain a high-caliber reserve force without eroding the resource base of the active duty military workforce. Coast Guard reservists serve in multiple mission areas as boarding officers, small boat coxswains, contingency planners and marine inspectors. The Coast Guard Reserve is an extraordinary force multiplier upon which our nation can confidently rely in times of exceptional need, embodying the very essence of the Coast Guard's motto: Semper Paratus (Always Ready).

Significant accomplishments in FY 2009 included:

- Maintained readiness and mobilization skills through training and exercises during routine and emergency operations.
- Mobilized, trained and maintained skills required to support defense operations throughout the world.
- Optimized the delivery of training, readiness and operational support.
- Developed a methodology for measuring training capacity.
- Improved reserve readiness in the field by realigning 202 full-time support positions for more direct support to the operational commands where reservists are assigned and trained.
- Increased the number of Reserve Program Administrators that provided full-time support to reserve force training and support.
- Improved mobilization and demobilization processes for reservists that ensured enhanced reserve-specific functionality in Coast Guard administrative systems.
- Developed and provided training to full-time support personnel who supported reserve readiness training and administration at operational commands.

FY 2010 planned accomplishments include:

- Maintain readiness and hone mobilization skills through training and exercises during routine and emergency operations.
- Mobilize, train and maintain skills required to support defense operations throughout the world.
- Optimize the delivery of training, readiness and operational support.
- Improve reserve readiness in the field by providing additional full-time support positions to increase direct support to the operational commands where reservists are assigned and trained.
- Develop and provide training to full-time support personnel who will be supporting reserve readiness training and administration at operational commands.
- Improve reserve readiness and training with further development of formal and on-line training for the full corps of full-time support personnel supporting reserve readiness throughout the Coast Guard.
- Improve efficiency of reserve specific functions in Coast Guard data and personnel management systems.

FY 2011 planned accomplishments include:

- Maintain readiness and hone mobilization skills through training and exercises during routine and emergency operations.
- Mobilize, train and maintain skills required to support defense operations throughout the world.
- Optimize the delivery of training, readiness and operational support.
- Improve reserve readiness in the field by providing additional full-time support positions to increase direct support to the operational commands where reservists are assigned and trained.
- Develop and provide training to full-time support personnel who will be supporting reserve readiness training and administration at operational commands.
- Improve reserve readiness and training with further development of formal and on-line training for the corps of full-time support personnel supporting reserve readiness throughout the Coast Guard.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U. S. Coast Guard
Justification of Proposed Changes in Reserve Training
Appropriation Language**

For necessary expenses of the Coast Guard Reserve, as authorized by law; operations and maintenance of the reserve program; personnel and training costs; and equipment and services; [\$133,632,000] **\$135,675,000.** (*Department of Homeland Security Appropriations Act, 2010.*)

B. FY 2010 to FY 2011 Budget Change

**Department of Homeland Security
U. S. Coast Guard
Reserve Training
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2009 Actual	525	515	130,102
2010 Enacted	536	536	133,632
Adjustments-to-Base			
Increases			
Annualization of FY 2010 Pay Raise	-	-	849
FY 2011 Pay Raise	-	-	1,194
Total Increases	-	-	2,043
Total Adjustments-to-Base	-	-	2,043
2011 Current Services	536	536	135,675
2011 Request	536	536	135,675
2010 to 2011 Total Change	-	-	2,043

C. Summary of Requirements

Department of Homeland Security
 U. S. Coast Guard
 Reserve Training
 Summary of Requirements
 (Dollars in Thousands)

	2011 Request		
	Pos.	FTE	Amount
2009 Actual	525	515	130,102
2010 Enacted	536	536	133,632
Adjustments-to-Base (See "FY 2010 to FY 2011 Budget Change" for details)			
Transfers	-	-	-
Increases	-	-	2,043
Decreases	-	-	-
Total Adjustments-to-Base	-	-	2,043
2011 Current Services	536	536	135,675
Program Changes (See "FY 2010 to FY 2011 Budget Change" for details)			
2011 Total Request	536	536	135,675
2010 to 2011 Total Change	-	-	2,043

Estimates by Program/Project Activity	2010 Enacted		2011 Adjustments-to-Base		2011 Program Change		2011 Request		2010 to 2011 Total Change	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE
PPA 1: Pay, Benefits and Allowances	536	536	-	-	-	-	536	536	-	-
PPA 2: Operations, Maintenance and Administration	-	-	-	-	-	-	-	-	-	-
Total Reserve Training	536	536	-	-	-	-	536	536	-	2,043

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Reserve Training
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
11.1 Full-time permanent	5,367	5,375	5,510	135
11.3 Other than full-time permanent	6	6	6	-
11.5 Other personnel compensation	146	146	149	3
11.7 Military personnel	80,519	85,507	87,036	1,529
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	1,445	1,447	1,580	133
12.2 Military personnel benefits	11,342	12,067	12,310	243
13.0 Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits	\$ 98,825	\$ 104,548	\$ 106,591	\$ 2,043
Other Objects Classes:				
21.0 Travel	7,066	6,570	6,570	-
22.0 Transportation of things	6	6	6	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	23,784	22,117	22,117	-
25.3 Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	412	383	383	-
31.0 Equipment	9	8	8	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ 31,277	\$ 29,084	\$ 29,084	\$ -
Total Direct Obligations	\$ 130,102	\$ 133,632	\$ 135,675	\$ 2,043
Unobligated balance, start of year	399	-	-	
Unobligated balance, end of year	-	-	-	
Total Requirements	\$ 130,501	\$ 133,632	\$ 135,675	

F. Permanent Positions by Grade

Department of Homeland Security
U. S. Coast Guard
Reserve Training - Military
Permanent Positions by Grade

Grade	2009	2010	2011	2010 - 2011
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	1	1	1	-
O-7	-	-	-	-
O-6	7	7	7	-
O-5	11	12	12	-
O-4	22	21	21	-
O-3	48	49	49	-
O-2	9	12	12	-
O-1	-	-	-	-
CWO	16	19	19	-
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	6	6	6	-
E-8	10	9	9	-
E-7	29	39	39	-
E-6	127	121	121	-
E-5	81	84	84	-
E-4	45	47	47	-
E-3	8	8	8	-
E-2	3	3	3	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	423	441	438	-
Unfilled Positions EOY	14	-	-	-
Total Perm. Employment EOY	409	441	438	(3)
FTE*	422	441	438	(3)
Headquarters	38	40	40	-
U.S. Field	385	401	398	(3)
Foreign Field	-	-	-	-
Total Permanent Positions	423	441	438	(3)
Position Data:				
Average Salary, Officer Positions**	\$ 94,757	\$ 97,185	\$ 100,208	3,023
Average Grade, Officer Positions	3	3	3	-
Average Salary, Enlisted Positions**	\$ 56,008	\$ 66,212	\$ 68,077	1,864
Average Grade, Enlisted Positions	5	6	6	-

*The Coast Guard manages the military workforce by end strength, not Full Time Equivalent (FTE). The military FTE represented in these numbers are monthly end strengths averaged over the year. Public Health Service (PHS) officers were removed from this presentation to properly document the arrangement per OMB A-11 Section 85.7; Department of Health and Human Services (HHS) is the servicing account in the reimbursable FTE arrangement with the Coast Guard.

**The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular pay grade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Reserve Training - Civilian
Permanent Positions by Grade**

Grade	2009	2010	2011	2010 - 2011
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	1	1	1	-
GS-14	5	4	4	-
GS-13	4	4	4	-
GS-12	12	10	10	-
GS-11	9	8	8	-
GS-10	-	-	-	-
GS-9	11	11	11	-
GS-8	5	5	5	-
GS-7	32	30	30	-
GS-6	13	14	14	-
GS-5	9	9	9	-
GS-4	-	1	1	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	1	1	1	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	102	98	98	-
Unfilled Positions EOY	9	3	-	(3)
Total Perm. Employment (Filled Positions) EOY	93	95	98	3
FTE	93	95	98	3
Headquarters	14	11	11	-
U.S. Field	88	84	87	3
Foreign Field	-	-	-	-
Total Permanent Positions	102	95	98	3
Position Data:				
Average Personnel Costs, ES Positions	206,400	n/a	n/a	n/a
Average Personnel Costs, GS Positions	\$ 96,885	\$ 78,967	\$ 81,914	\$ 2,947
Average Grade, GS Positions	11	8	8	-

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holidays hazardous duty, reemployment annuitant and severance pays, night differential, non-foreign Cost-of-Living Allowance and premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Reserve Training
PPA I: Pay, Benefits and Allowances
Funding Schedule**

PPA I: Pay, Benefits and Allowances		2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Object Classes					
11.1	Full-time permanent	5,367	5,375	5,510	135
11.3	Other than full-time permanent	6	6	6	-
11.5	Other personnel compensation	146	146	149	3
11.7	Military personnel	80,519	85,507	87,036	1,529
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	1,445	1,447	1,580	133
12.2	Military personnel benefits	11,342	12,067	12,310	243
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Pay, Benefits and Allowances		\$ 98,825	\$ 104,548	\$ 106,591	\$ 2,043
Full Time Equivalents		515	536	536	-

PPA Mission Statement

This PPA request funds expenses for compensation of active duty military service members and civilian personnel who support the Reserve Training program. This category also includes pay, allowances, employer's share of FICA, Social Security credits and other expenses. Requested funding will compensate our 536 full-time personnel.

Summary Justification and Explanation of Changes

Salaries and Benefits

	2009		2010		2011		2010 to 2011
	Actual		Enacted		Request		Change
	\$ 98,825	\$	104,548	\$	106,591	\$	2,043

Salaries and Benefits provides compensation directly related to Coast Guard active duty military and civilian personnel duties. This includes costs for 536 FTE. The increase in the FY 2011 request is due to the proposed pay raise (1.4% civ and 1.4% mil).

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Reserve Training
PPA II: Operations, Maintenance and Administration
Funding Schedule**

PPA II: Operations, Maintenance and Administration		2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	7,066	6,570	6,570	-
22.0	Transportation of things	6	6	6	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	23,784	22,117	22,117	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	412	383	383	-
31.0	Equipment	9	8	8	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Operations, Maintenance and Administration		\$ 31,277	\$ 29,084	\$ 29,084	\$ -

PPA Mission Statement

Requested funding supports operations, maintenance and administrative expenses associated with training the 8,100 Coast Guard Reservists that are currently part of the Selective Reserve.

Summary Justification and Explanation of Changes

Travel

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	7,066	\$	6,570	\$	6,570	\$	-

The FY 2011 request has no change.

Transportation of things

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	6	\$	6	\$	6	\$	-

The FY 2011 request has no change.

Other services

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	23,784	\$	22,117	\$	22,117	\$	-

The FY 2011 request has no change.

Supplies and materials

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	412	\$	383	\$	383	\$	-

The FY 2011 request has no change.

Equipment

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	9	\$	8	\$	8	\$	-

The FY 2011 request has no change.

I. Changes in Full-Time Equivalents

Not Applicable

Department of Homeland Security

United States Coast Guard

Acquisition, Construction and Improvements



Fiscal Year 2011

Congressional Justification

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U. S. Coast Guard

Acquisition, Construction and Improvements

I. Appropriation Overview

A. Mission Statement for Acquisition, Construction and Improvements:

Acquisition, Construction and Improvement (AC&I) provides for the acquisition, construction, rebuilding, and improvement of vessels, aircrafts, shore facilities, aids to navigation (ATON) systems and facilities, and command, control, communications and computer systems and related equipment. Funds appropriated for AC&I are managed by Coast Guard acquisition project managers who oversee these projects and apply best practices, in accordance with the Coast Guard's Major Systems Acquisitions Manual (MSAM), to optimize the return on recapitalization investments.

AC&I supports all statutorily-mandated Coast Guard mission-programs. These mission-programs in turn directly support the Coast Guard's role as the nation's principal Federal agency responsible for maritime safety, security, and stewardship.

B. Budget Activities:

The Acquisition, Construction and Improvements (AC&I) appropriation funds the acquisition of new capital assets, construction of required facilities and physical improvements to existing facilities and assets. The appropriation covers Coast Guard-owned and operated vessels, shore facilities and other items such as command, control, communications and computer equipment. Through processes documented in the Coast Guard's Major Systems Acquisition Manual (MSAM), acquisition managers are required to follow a continuum of activities ranging from pre-acquisition concept development to deployment and sustainment. Activities and documentation produced throughout the acquisition lifecycle define the budgets and budget-related project activities.

C. Budget Request Summary:

The Coast Guard requests \$1.381 billion in FY 2011 for the following projects:

- Response Boat-Medium - \$42.000 million
- Integrated Deepwater Systems - \$1.113 billion
- Rescue 21 - \$36.000 million
- Shore facilities and aids to navigation - \$69.200 million
- Military Housing - \$13.965 million
- AC&I personnel related support - \$107.561 million

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Summary of FY 2011 Budget Estimates by Program/Project Activity**
(Dollars in Thousands)

Program/Project Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Vessels and Critical Infrastructure	-	\$ 105,484	-	\$ 121,000	-	\$ 42,000	-	\$ (79,000)	-	\$ (79,000)	-	\$ -
II. Integrated Deepwater Systems	-	\$ 702,498	-	\$ 1,154,280	-	\$ 1,112,502	-	\$ (41,778)	-	\$ (41,778)	-	\$ -
III. Aircraft	-	\$ 4,049	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
IV. Other Equipment	-	\$ 137,999	-	\$ 129,500	-	\$ 36,000	-	\$ (93,500)	-	\$ (93,500)	-	\$ -
V. Shore Facilities and Aids to Navigation	-	\$ 89,384	-	\$ 27,100	-	\$ 69,200	-	\$ 42,100	-	\$ 42,100	-	\$ -
VI. DHS Headquarters	-	\$ 97,578	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
VII. Personnel and Related Support	704	\$ 92,109	735	\$ 105,200	785	\$ 107,561	50	\$ 2,361	50	\$ 2,361	-	\$ -
VIII. Military Housing	-	\$ -	-	\$ -	-	\$ 13,965	-	\$ 13,965	-	\$ 13,965	-	\$ -
Subtotal, Enacted Appropriations and Budget Estimates	704	\$ 1,229,101	735	\$ 1,537,080	785	\$ 1,381,228	50	\$ (155,852)	50	\$ (155,852)	-	\$ -
Rescission of unobligated balances pursuant to P.L. 110-329	-	\$ [20,000]	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
Rescission of unobligated balances pursuant to P.L. 111-83	-	\$ -	-	\$ (800)	-	\$ -	-	\$ 800	-	\$ 800	-	\$ -
Net, Enacted Appropriations & Budget Estimates	704	\$ 1,229,101	735	\$ 1,536,280	785	\$ 1,381,228	50	\$ (155,052)	50	\$ (155,052)	-	\$ -

Program/Project Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
American Recovery and Reinvestment Act (ARRA)	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
Acquisition, Construction and Improvements	-	\$ 948	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
Vessels	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
Shore Facilities and Aids to Navigation	-	\$ 12,231	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
Total	-	\$ 13,179	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Program Performance Justification
(Dollars in thousands)**

PPA I: VESSELS AND CRITICAL INFRASTRUCTURE PROJECTS

	Perm Pos	FTE	Amount
2009 Actual	\$105,484
2010 Enacted	121,000
2011 Adjustments-to-Base
2011 Current Services	121,000
2011 Program Change	(79,000)
2011 Request	42,000
Total Change 2010-2011	(79,000)

The Coast Guard requests \$42.000 million, \$79.000 million less than FY 2010 enacted.

PROGRAM DESCRIPTION:

Primary operational resource supported: Surface assets

The vessel program provides funding to recapitalize and/or improve the Coast Guard's fleet of aging boats and cutters. With many of the Coast Guard's cutters operating at or beyond their planned service life, these recapitalization and sustainment projects are critical toward ensuring the mission effectiveness of the Coast Guard's surface fleet. FY 2011 funding supports the Response Boat-Medium (RB-M) project. Out-year funding under this program will support future year survey and design work on in-service cutters leading to follow-on sustainment projects, similar to the Mission Effectiveness Projects (MEP) currently underway at the Coast Guard Yard.

Significant accomplishments in FY 2009:

- Ordered 36 RB-Ms (hulls #31-66).
- Received 11 RB-Ms ordered with prior funding and supported a total of 14 delivered RB-Ms.
- Received the first RB-M from the second production facility in Green Bay in fourth quarter FY 2009.
- Continued Operational Test and Evaluation (OT&E) focused on the first six RB-Ms purchased with prior funding.
- Continued development and fielding of logistics system to support the contractor opening the second production facility.

FY 2010 planned accomplishments:

- Order 39 RB-Ms (hulls #67-105).
- Receive 22 RB-Ms ordered with prior year funding and support a total of 36 delivered RB-Ms.

- Complete OT&E, move out of Low Rate Initial Production (LRIP) and into production, attain Initial Operating Capability with delivery of the first RB-M following LRIP.
- Reach a production rate of 30 boats per year by the end of the fiscal year.

FY 2011 planned accomplishments:

- Order 10 RB-Ms (hulls #106-115).
- Receive 20-30 RB-Ms ordered with prior year funding and support a total of 56-66 delivered RB-Ms.

PPA II: INTEGRATED DEEPWATER SYSTEMS (IDS)

	Perm Pos	FTE	Amount
2009 Actual	\$702,498
2010 Enacted	1,154,280
2011 Adjustments-to-Base
2011 Current Services	1,154,280
2011 Program Change	(41,778)
2011 Request	1,112,502
Total Change 2010-2011	(41,778)

The Coast Guard requests \$1.113 billion, \$41.778 million less than FY 2010 enacted.

PROGRAM DESCRIPTION:

Primary operational resource supported: All

The Integrated Deepwater System (IDS) program is the primary recapitalization and sustainment effort for the Coast Guard’s aging fleet of air and surface assets. IDS is comprised of new cutter and small boat acquisitions, existing cutter sustainment, new fixed-wing aircraft acquisitions, and both fixed and rotary wing aircraft sustainment projects. Through strategic investment in state-of-the-market Command, Control, Communications and Computers, Intelligence, Surveillance and Reconnaissance (C4ISR) equipment and design, this program also provides the necessary infrastructure to link these assets together forming an integrated suite of surface, air and shore platforms to conduct maritime safety and security missions. Further, through funding for program management, systems engineering and logistics, the Coast Guard’s acquisition directorate and technical authorities are now serving as the systems integrator for these projects and are developing a sound logistics infrastructure to support the new assets. IDS is comprised of three separate sub-categories:

- Aircraft
- Surface
- Other

Significant accomplishments in FY 2009:

AIRCRAFT

- HC-144A – Funded production, missionization, and initial sparing of Maritime Patrol Aircrafts (MPA) - #9 - #11 and nine Mission System Pallets (MSP); accepted MPAs #6, #7, and #8. Achieved Initial Operating Capability.

- HH-65 – Continued a service-life extension to refurbish the airframe, wiring and components; add new radar and new C4ISR suite; and install an integrated cockpit.
- HH-60 – Continued a service-life extension to refurbish the airframe, wiring, and components; add new radar and new C4ISR suite; and install an integrated cockpit. Delivered first MH-60T equipped with a fully integrated Electro-Optical/Infrared (EO/IR) Sensor System (ESS).
- HC-130H – Continued avionics modernization package development and center wing box replacement to extend fleet service life.
- HC-130J – Completed missionization and took delivery of aircraft #4 and negotiated missionization of aircraft #5 and #6; achieved IOC.
- UAS – Performed pre-acquisition analysis.

SURFACE

- NSC – *CGC BERTHOLF* (NSC-1) was accepted by the Coast Guard and is conducting operational missions. Completed builder's trials and accepted *WAESCHE* (NSC-2) into special commission status; laid keel for *STRATTON* (NSC-3).
- OPC – Completed preliminary Operational Requirements Document (pORD).
- FRC – Completed preliminary design review (PDR) and obtained acquisition decision event (ADE) 2A approval.
- MEP - Completed five 210-foot WMECs and three 110-foot WPBs.

OTHER

- Logistics - Continued development of CG-LIMS system.
- Logistics - Completed facility upgrades at the first three FRC homeports; facility upgrades at the second NSC homeport; environmental assessments of IDS homeports and aviation sites; and detailed engineering evaluations.
- C4ISR – Achieved Authority to Operate (ATO) Classified Systems on NSC-1 and the MSP on the HC-144A.

FY 2010 planned accomplishments:

AIRCRAFT

- HC-144A – Contract for the production of MPA #12, #13 and #14 and a flight training simulator. Accept delivery of MPAs #9 - #11 and six MSPs.
- HH-65 – Continue a service-life extension to refurbish the airframe, wiring and components; add new radar and C4ISR suite; and install an integrated cockpit.
- HH-60 – Continue a service-life extension to refurbish the airframe, wiring, and components; add new radar and C4ISR suite; and install an integrated cockpit.
- HC-130H – Attain full operating capability for radar replacement, continue avionics modernization and center wing box replacement to extend fleet service life.
- HC-130J – Complete missionization of aircrafts #5 and #6, including the installation of air-certified observer seats.
- UAS – Using established partnerships and prior year funds, continue pre-acquisition activities in alignment with on-going RDT&E-funded research to identify the optimal characteristics for a cutter-based UAS.

SURFACE

- NSC – Award fixed-price incentive fee contract for production of NSC-4. Award long-lead time materials (LLTM) contract for NSC-5.

- FRC – Complete critical design review (CDR) and award contract option for seven Low Rate Initial Production (LRIP) hulls #2 - #8.
- OPC – Develop Concepts of Operations (CONOPS) and Operational Requirements Document (ORD).
- MEP – Complete the mission effectiveness project (MEP) on three 210-foot and two 270-foot WMECs (five cutters in total) and three 110-foot WPBs.

OTHER

- Logistics - Continue development of CG-LIMS systems.
- Logistics - Begin work on MPA Hanger for CGAS Cape Cod.
- Logistics - Continue to support NSCs with facility upgrades in Alameda, CA and at the second NSC homeport; facility upgrades at the first three FRC homeports; construction of an FRC trainer at Yorktown, VA; environmental assessments of IDS homeports and aviation sites; and detailed engineering evaluations.
- C4ISR – Planned delivery of Segment 2, the second C4ISR baseline; begin Ku band upgrades on WHECs/WMECs; begin Integrated Waveform Military Satellite Communications upgrades on WMECs.

FY 2011 planned accomplishments:

AIRCRAFT

- HC-144A – Fund production of MPA #15. Accept delivery of MPAs #12 - #13.
- HH-65 – Use prior year appropriations to continue obsolete component upgrades.
- HH-60 – Continue a service-life extension to refurbish the airframe, wiring, and components; add new radar and C4ISR suite; and install an integrated cockpit.
- HC-130H – Continue avionics modernization and center wing box replacement to extend fleet service life.
- HC-130J – Order logistics spares to support 4,000 annual flying hours requirement.
- UAS – Continue pre-acquisition activities, such as UAS airspace safety, data management, and modeling/simulation studies.

SURFACE

- NSC – Fully fund production of NSC-5.
- OPC – Continue pre-acquisition work through the request for proposal (RFP).
- FRC – Fund contract option for LRIP hulls #9 - #12.
- MEP – Fund remainder of one 11-month 270 foot MEP availability, as well as two additional 270' MEPs. Unfunded in FY 2011, the 110-foot Patrol Boat MEP will execute prior year funds to complete the MEP on a total of 17 WPBs.

OTHER

- Logistics - Continue installation of CG-LIMS systems.
- Logistics - Continue construction work on aircraft hangar in Cape Cod, MA and build-out facility upgrades for FRC and NSC.
- C4ISR – Continue critical system updates for safety, Information Assurance (IA), and diminishing manufacturing source.

PPA IV: OTHER EQUIPMENT

	Perm Pos	FTE	Amount
2009 Actual	\$137,999
2010 Enacted	129,500
2011 Adjustments-to-Base
2011 Current Services	129,500
2011 Program Change	(93,500)
2011 Request	36,000
Total Change 2010-2011	(93,500)

The Coast Guard requests \$36.000 million, \$93.500 million less than FY 2010 enacted.

PROGRAM DESCRIPTION:

Primary operational resource supported: Command, Control, Communications, Computers and Information Technology

Funding procures hardware and software, including the initial acquisition, development or construction of any system, software or equipment costing over \$1 million per usable segment or item, or \$10 million total project cost. It also includes the improvement, renovation, upgrade, replacement or alteration of equipment or hardware that exceeds \$1 million per usable segment or item, or \$10 million total project cost, regardless of the cost per site. In FY 2011, funding will support continued progress on build-out of Rescue 21 (R21). Out-year funding for Nationwide Automatic Identification System (NAIS) and Interagency Operations Centers (IOCs) will further Administration goals of improving maritime safety, security and resiliency within the nation's ports. Using a combination of prior year and out-year funds, these projects will complete the deployment and standardization of information systems that will be used to enhance our knowledge of the vessels operating in and near U.S. waters and support collaboration with DHS and other entities through a shared common operating picture.

Significant accomplishments in FY 2009:

- Five R21 sectors deployed on time or early per the project schedule. At the end of September 2009, Rescue 21 is deployed to 21 of 39 Sectors for a total of 28,266 miles of coastline coverage.
- Continued work on remaining R21 Full Rate Production Sectors.
- Began work on R21 Western Rivers: proof of concept and development of prototype.
- Continued R21 work in Alaska: including completion of the Acquisition Plan, research and testing to develop components and configurations for the standard Remote Fixed Facility (tower) and Sector Command Center console.
- Awarded contract for the design and installation of the permanent core data network and infrastructure for NAIS.
- Conducted operational testing and evaluation on the WatchKeeper software for Interagency Operations Centers (IOCs) and deployed WatchKeeper to Charleston, SC.

FY 2010 planned accomplishments:

- Five additional R21 sectors are scheduled to be deployed (Southeastern New England; Northern New England; Corpus Christi, TX; San Francisco, CA and San Diego, CA). By September 30, 2010, Rescue 21 will be operational along 35,748 miles of coastline.
- Deploy the NAIS core system upgrade to the Coast Guard's Operations Systems Center, Navigation Center and three sectors: Mobile, AL; Hampton Roads, VA and Delaware Bay (Philadelphia, PA).
- Complete WatchKeeper Operational Testing and Evaluation and deploy to: Mobile, AL; Hampton Roads, VA and Delaware Bay (Philadelphia, PA)..

FY 2011 planned accomplishments:

- Six R21 sectors (Detroit, MI; Los Angeles/Long Beach, CA; Honolulu, HI; San Juan, PR; Guam; Buffalo, NY) are scheduled to be deployed. By September 30, 2011, Rescue 21 will be operational along 39,796 miles of U.S. coastline.
- Continue deployment of the R21 Western Rivers Subsystem.
- Complete site surveys for all R21 sites within two Sectors to co-locate NAIS equipment with R21 infrastructure

PPA V: SHORE FACILITIES AND AIDS TO NAVIGATION

	Perm Pos	FTE	Amount
2009 Actual	\$89,384
2010 Enacted	27,100
2011 Adjustments-to-Base
2011 Current Services	27,100
2011 Program Change	42,100
2011 Request	69,200
Total Change 2010-2011	42,100

The Coast Guard requests \$69.200 million, \$42.100 million more than FY 2010 enacted.

PROGRAM DESCRIPTION:

Primary operational resource supported: Shore units and Aids-to-Navigation (ATON)

The AC&I shore facilities, ATON capital investment and Military Housing program provides funding for the acquisition, construction, rebuilding, and improvement of the Coast Guard's shore facilities, ATON and related equipment.

Significant accomplishments in FY 2009:

- Completed initial survey and design for nine facilities/projects.
- Commenced Phase III of the Cordova, Alaska housing project which will complete 6 duplex units (12 housing units).
- Commenced the recapitalization of Chase Hall's North Annex A.
- Commenced the renovation of the runway lighting at Air Station Cape Cod (Massachusetts Military Reservation).
- Commenced construction of the addition to the Telecommunications Systems Directorate (TSD) building.

- Purchased housing for Station Montauk, NY.
- Commenced construction of a 23,000 square-foot consolidated Station, Aids to Navigation Team (ANT) and Coastal Patrol Boat (CPB) facilities for Station Cape May.
- Completed Phase II of the Rescue Swimmer Training Facility at Aviation Technical Training Center (ATTC), Elizabeth City, NC project by providing the Modular Egress Training Simulator (dunker); dunker tank; enclosure with deck space, mechanical support space; classrooms and labs.
- Completed Aids to Navigation work at the following sites: Pleasant River, ME, Port Canaveral and Port Manatee, FL, Mobile, AL, Gulfport, MS, Port Charles, LA, Anaheim Bay and Mission Bay, CA, Puget Sound, WA, and Sumner Strait, AK.

FY 2010 planned accomplishments:

- Complete initial survey and design for seven facilities/projects.
- Commence the renovation and construction of a new Station and Marine Safety Unit at Cleveland Harbor, OH.
- Commence survey and design project for the Coast Guard Academy pier.
- Complete Aids to Navigation work at the following sites: Port Canaveral, FL – Outbound Ranges; Belle Pass/Port Fuchon, LA – Inbound Ranges ; Anaheim Bay Ranges, CA; Anaheim Bay, CA – Buoys to Beacons; Napa River, CA; Sacramento/San Joaquin Rivers, CA; Houston Ship Channel Ranges, TX; St. Mary's River, MI – Buoys to Beacons; Mobile Channel Ranges, AL.

FY 2011 planned accomplishments:

- Construct minor AC&I shore facility projects.
- Commence renovations to Chase Hall Phase III – Annex B at the Coast Guard Academy in New London, CT.
- Commence renovations to Thrun Hall Phase II at Aviation Logistics Center in Elizabeth City, NC.
- Commence pier rehabilitation for the *Coast Guard Cutters JUNIPER, WILLOW, and IDA LEWIS* in Newport, RI.

PPA VII: PERSONNEL AND RELATED SUPPORT

	Perm Pos	FTE	Amount
2009 Actual	820	704	\$92,109
2010 Enacted	893	735	105,200
2011 Adjustments-to-Base
2011 Current Services	893	735	105,200
2011 Program Change	...	50	2,361
2011 Request	893	785	107,561
Total Change 2010-2011	...	50	2,361

The Coast Guard requests \$107.561 million, \$2.361 million more than FY 2010 enacted.

PROGRAM DESCRIPTION:

Primary operational resource supported: All

Acquisition, Construction and Improvements (AC&I) has a specific annual appropriation to fund “personnel compensation and benefits and related costs. Annual AC&I personnel compensation appropriation, rather than the multi-year project funds, must be used to fund all AC&I related personnel costs. The primary initiatives include contract support for financial management services, contracting support services, training and workforce certification. The funding allows the Coast Guard to maintain an effective acquisition process by providing AC&I resources that are not project-specific. Resources are needed to maintain core competencies and capabilities necessary to execute assigned workload while meeting various requirements established in the Chief Financial Officer Act, Clinger-Cohen Act, DHS certification level requirements and OMB Circular A-76.

PPA VIII: MILITARY HOUSING

	Perm Pos	FTE	Amount
2009 Actual
2010 Enacted
2011 Adjustments-to-Base
2011 Current Services
2011 Program Change
2011 Request	13,965
Total Change 2010-2011	13,965

PROGRAM DESCRIPTION:

Primary operational resource supported: All

This program provides funding from the Coast Guard Housing Fund to recapitalize and/or improve the Coast Guard’s military family housing facilities to enhance the quality of life of the workforce. These funds will be used to plan, execute, administer contracts, acquire, and construct military family housing to provide greater access to suitable and affordable housing for Coast Guard members and their families assigned to areas where there are documented shortages.

FY 2011 planned accomplishments:

- Commence projects to acquire Military Family Housing for members assigned to high-cost housing areas in Florida and New York.

IV. Program Justification of Changes

**Department of Homeland Security
U. S. Coast Guard
Acquisition Construction and Improvements
Justification of Program Changes
(Dollars in Thousands)**

Program Increase: Acquisition, Construction and Improvements

Strategic Goal(s) & Objective(s): 1.1, 1.3, 2.1, 2.2, 3.1, 3.2, 4.1, 4.2, 5.0,
PPA: Applies to all PPAs

Program Decrease/Increase: Positions FTE 50 Dollars -\$155,052

Funding Profile

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	820	704	1,229,101	820	735	1,536,280	893	735	1,536,280
Program Increase/decrease	-	-	-	73	-	-	-	50	-155,052
Total Request	820	704	\$1,229,101	893	735	1,536,280	893	785	1,381,228

Description of Item

Please see the following budget displays for detailed information: Summary of Requirements and Capital Investments and Construction Initiative Listing.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Department of Homeland Security
U. S. Coast Guard
Justification of Proposed Changes in Acquisition, Construction, and Improvements
Appropriation Language

For necessary expenses of acquisition, construction, renovation, and improvement of aids to navigation, shore facilities, vessels, and aircraft, including equipment related thereto; and maintenance, rehabilitation, lease and operation of facilities and equipment, as authorized by law; [~~\$1,537,080,000~~]**\$1,381,228,346**, of which \$20,000,000 shall be derived from the Oil Spill Liability Trust Fund to carry out the purposes of section 1012(a)(5) of the Oil Pollution Act of 1990 (33 U.S.C. 2712(a)(5)); *of which **\$13,965,546** shall be derived from the Coast Guard Housing Fund, established pursuant to 14 U.S.C. 687, and shall remain available until expended for military family housing*; of which [~~\$121,000,000~~]**\$42,000,000** shall be available until September 30, [2014]**2015**, to acquire, *effect major* repairs, renovate, or improve vessels, small boats, and related equipment; of which [~~\$129,500,000~~]**\$36,000,000** shall be available until September 30, [2012]**2013**, for other equipment; of which [~~\$27,100,000~~]**\$69,200,000** shall be available until September 30, [2012]**2013**, for shore facilities and aids to navigation facilities[, including not less than \$300,000 for the Coast Guard Academy Pier and not less than \$16,800,000 for Coast Guard Station Cleveland Harbor]; of which [~~\$105,200,000~~]**\$107,560,800** shall be available for personnel compensation and benefits and related costs; and of which [~~\$1,154,280,000~~]**\$1,112,502,000** shall be available until September 30, [2014]**2015**, for the Integrated Deepwater Systems program[: Provided, That of the funds made available for the Integrated Deepwater Systems program, \$269,000,000 is for aircraft and \$730,680,000 is for surface ships: Provided further, That the Secretary of Homeland Security shall submit to the Committees on Appropriations of the Senate and the House of Representatives, in conjunction with the President's fiscal year 2011 budget, a review of the Revised Deepwater Implementation Plan that identifies any changes to the plan for the fiscal year; an annual performance comparison of Integrated Deepwater Systems program assets to pre-Deepwater legacy assets; a status report of such legacy assets; a detailed explanation of how the costs of such legacy assets are being accounted for within the Integrated Deepwater Systems program; and the earned value management system gold card data for each Integrated Deepwater Systems program asset: Provided further, That the Secretary shall submit to the Committees on Appropriations of the Senate and the House of Representatives, in conjunction with the fiscal year 2011 budget request, a comprehensive review of the Revised Deepwater Implementation Plan, and every 5 years thereafter, that includes a complete projection of the acquisition costs and schedule for the duration of the plan: Provided further, That the Secretary shall annually submit to the Committees on Appropriations of the Senate and the House of Representatives, at the time that the President's budget is submitted under section 1105(a) of title 31, United States Code, a future-years capital investment plan for the Coast Guard that identifies for each capital budget line item_]

[(1) the proposed appropriation included in that budget;]

[(2) the total estimated cost of completion;]

[(3) projected funding levels for each fiscal year for the next 5 fiscal years or until project completion, whichever is earlier;]

[(4) an estimated completion date at the projected funding levels; and]

[(5) changes, if any, in the total estimated cost of completion or estimated completion date from previous future-years capital investment plans submitted to the Committees on Appropriations of the Senate and the House of Representatives:]

[Provided further, That the Secretary shall ensure that amounts specified in the future-years capital investment plan are consistent, to the maximum extent practicable, with proposed appropriations necessary to support the programs, projects, and activities of the Coast Guard in the President's budget as submitted under section 1105(a) of title 31, United States Code, for that fiscal year: Provided further, That any inconsistencies between the capital investment plan and proposed appropriations shall be identified and justified: Provided further, That subsections (a) and (b) of section 6402 of the U.S. Troop Readiness, Veterans' Care, Katrina Recovery, and Iraq Accountability Appropriations Act, 2007 (Public Law 110-28) shall apply to fiscal year 2010].(*Department of Homeland Security Appropriations Act, 2011.*)

Explanation of Changes:

Transfers **\$13,965,546** made available from the Coast Guard Housing Fund for the acquisition, construction, and maintenance of military family housing to improve the quality of life for military families.

Making AC&I available to “*effect major repairs*” keeps us from falling in to the trap that OE is not available for “minor repairs” associated with regular dockside and dry-dock availabilities.

B. FY 2010 to FY 2011 Budget

**Department of Homeland Security
U. S. Coast Guard
Acquisition Construction and Improvements
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2009 Actual	820	704	1,229,101
2010 Enacted	893	735	1,536,280
Adjustments-to-Base			
Total Adjustments-to-Base	-	-	-
2010 Current Services	893	735	1,536,280
Program Changes			
Program Increases/(Decreases)			
Vessels and Critical Infrastructure	-	-	(78,200)
Integrated Deepwater Systems	-	-	(41,778)
Other Equipment	-	-	(93,500)
Shore Facilities and Aids to Navigation	-	-	42,100
Personnel Related Support	-	50	2,361
Military Housing	-	-	13,965
Total Program Changes	-	50	(155,052)
2011 Request	893	785	1,381,228
2010 to 2011 Total Change	-	50	(155,052)

C. Summary of Requirements

**FY 2011-2015 Five Year Capital Investment Plan (CIP)
Acquisition, Construction & Improvement** ^(Note 1)

(Thousands of dollars, budget year dollars)	FY 2010 Enacted	FY 2011 President's Request	FY 2012	FY 2013	FY 2014	FY 2015	Total Acquisition Cost ^(Note 3)	Estimated Completion Date ^(Note 3)
Vessels and Critical Infrastructure Projects								
Survey and Design - Vessel and Boats	\$121,000	\$42,000	\$55,500	\$84,000	\$111,000	\$69,500		
In-Service Cutter Sustainment	\$0	\$0	\$1,500	\$3,000	\$2,000	\$4,500	N/A	
Response Boat - Medium (RB-M)	\$121,000	\$42,000	\$54,000	\$76,000	\$79,000	\$15,000	\$610,000	2015
Integrated Deepwater Systems ^(Note 2)								
<i>Aircraft</i>	\$1,122,980	\$1,112,502	\$1,177,000	\$1,185,000	\$1,195,000	\$1,266,000		
Maritime Patrol Aircraft (MPA)	\$269,000	\$101,000	\$102,000	\$117,000	\$122,000	\$197,000		
HH-60 Conversion Projects	\$138,500	\$40,000	\$40,000	\$45,000	\$50,000	\$125,000	\$2,222,600	2020
HH-65 Conversion/Sustainment Projects	\$45,900	\$32,000	\$17,000	\$17,000	\$17,000	\$17,000	\$451,000	2020
HC-130H Conversion/Sustainment Projects	\$38,000	\$0	\$25,000	\$25,000	\$25,000	\$25,000	\$1,133,600	2017
HC-130J Fleet Introduction	\$45,300	\$25,000	\$20,000	\$30,000	\$30,000	\$30,000	\$690,000	2017
<i>Surface</i> ^(Note 2)	\$1,300	\$4,000	\$0	\$0	\$0	\$0	\$162,500	2010
National Security Cutter (NSC)	\$699,380	\$856,002	\$955,000	\$938,000	\$938,000	\$913,000		
Offshore Patrol Cutter (OPC)	\$389,480	\$538,002	\$640,000	\$640,000	\$640,000	\$70,000	\$4,749,000	2016
Fast Response Cutter (FRC)	\$9,800	\$45,000	\$25,000	\$30,000	\$50,000	\$640,000	pre ADE-2	
IDS Small Boats	\$243,000	\$240,000	\$260,000	\$240,000	\$245,000	\$200,000	\$3,928,000	2022
Medium Endurance Cutter Sustainment	\$3,000	\$3,000	\$3,000	\$3,000	\$3,000	\$3,000	pre ADE-2	
Patrol Boats Sustainment	\$31,100	\$30,000	\$27,000	\$25,000	\$0	\$0	\$296,800	2016
<i>Other</i>	\$23,000	\$0	\$0	\$0	\$0	\$0	\$179,700	2013
Government Program Management	\$154,600	\$155,500	\$120,000	\$130,000	\$135,000	\$156,000		
Systems Engineering and Integration	\$45,000	\$45,000	\$35,000	\$35,000	\$35,000	\$35,000	N/A	
C4ISR	\$35,000	\$29,000	\$24,000	\$29,000	\$29,000	\$25,000	N/A	
Deepwater Logistics	\$37,700	\$30,500	\$26,000	\$26,000	\$26,000	\$26,000	APB under review	
Technology Obsolescence Prevention	\$1,900	\$1,000	\$35,000	\$40,000	\$45,000	\$70,000	pre ADE-2	
Other Equipment								
HF Recapitalization	\$129,500	\$36,000	\$33,000	\$30,000	\$33,000	\$15,000		
Nationwide Automatic Identification System (NAIS)	\$2,500	\$0	\$0	\$0	\$0	\$0		
Rescue 21	\$117,000	\$36,000	\$5,000	\$6,000	\$13,000	\$0	APB under review	2015
Interagency Operations Centers (IOCs)	\$10,000	\$0	\$3,000	\$4,000	\$5,000	\$0	\$1,066,000	2017
Shore Facilities and Aids to Navigation								
Shore and Aids to Navigation Projects	\$27,100	\$69,200	\$45,000	\$50,000	\$50,000	\$80,000	pre ADE-2	2015
Military Housing								
Personnel and Related Support								
AC&I Core	\$105,200	\$107,561	\$109,400	\$111,600	\$113,800	\$115,800		
Direct Personnel Costs	\$500	\$510	\$510	\$510	\$510	\$510		
High Endurance Cutter Sustainments ^(Note 2)	\$104,700	\$107,051	\$108,890	\$111,090	\$113,290	\$115,290		
Polar Icebreaker Sustainment ^(Note 2)	\$4,000	\$0	\$0	\$0	\$0	\$0		
TOTAL	\$1,537,080	\$1,381,228	\$1,419,900	\$1,460,600	\$1,502,800	\$1,546,300		

Note 1 - FY 2012-15 funding levels are subject to change based upon adjustments to our year fiscal guidance and finalization of the FY 2011-15 Future Year Homeland Security Program. FY 2010 Enacted total does not include rescission of \$800,000 per P.L. 111-83.

Note 2 - For display purposes of this exhibit, Polar Icebreaker Sustainment and HEC Sustainment, are shown as separate projects. Both of these projects were appropriated under the Surface category of Integrated Deepwater System Program per the FY 2010 Department of Homeland Security Appropriations Act, P.L. 111-83.

Note 3 - Total project costs and estimated completion dates based on DHS Acquisition Program Baseline (APB) when available. The pre ADE-2 designation denotes those individual projects that are in pre-acquisition phases and have not yet reached Acquisition Decision Event 2 (ADE-2), the point at which an individual APB is required.

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction & Improvements
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
11.1 Full-time permanent	34,503	39,974	43,771	3,797
11.3 Other than full-time permanent	189	219	237	18
11.5 Other personnel compensation	788	913	991	78
11.7 Military personnel	31,225	35,476	38,333	2,857
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	8,997	10,423	11,658	1,235
12.2 Military personnel benefits	4,399	5,019	5,421	402
13.0 Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits	\$ 80,101	\$ 92,024	\$ 100,411	\$ 8,387
Other Objects Classes:				
21.0 Travel	6,285	11,018	9,494	(1,524)
22.0 Transportation of things	2,022	4,407	3,796	(611)
23.1 GSA rent	-	-	-	-
23.2 Other rent	1,357	2,203	1,899	(304)
23.3 Communication, utilities, and misc charges	3,202	4,407	3,796	(611)
24.0 Printing and reproduction	44	-	-	-
25.1 Advisory and assistance services	281,147	467,137	402,498	(64,639)
25.2 Other services	369,550	612,566	527,806	(84,760)
25.3 Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	31	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	21	-	-	-
26.0 Supplies and materials	(67,528)	185,093	159,480	(25,613)
31.0 Equipment	471,922	782,233	673,996	(108,237)
32.0 Land and structures	80,946	134,411	115,817	(18,594)
41.0 Grants, subsidies and contributions	1	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ 1,149,000	\$ 2,203,475	\$ 1,898,582	\$ (304,893)
Total Direct Obligations	\$ 1,229,101	\$ 2,295,499	\$ 1,998,993	\$ (296,506)
Unobligated balance, start of year	(1,007,740)	(1,376,911)	(617,765)	
Unobligated balance, end of year	1,376,911	617,765	-	
Total Requirements	\$ 1,598,272	\$ 1,536,353	\$ 1,381,228	

Note 1: Unobligated balances include other funding sources.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements - Military
Permanent Positions by Grade**

Grade	2009	2010	2011	2010 - 2011
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	2	2	2	-
O-7	-	-	-	-
O-6	19	18	18	-
O-5	37	45	45	-
O-4	79	83	83	-
O-3	92	99	99	-
O-2	3	5	5	-
O-1	-	-	-	-
CWO	50	61	61	-
Cadet/OC	-	-	-	-
E-10	-	-	-	-
E-9	6	4	4	-
E-8	7	11	11	-
E-7	36	52	52	-
E-6	35	25	25	-
E-5	12	9	9	-
E-4	20	5	5	-
E-3	-	-	-	-
E-2	-	-	-	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	398	419	419	-
Unfilled Positions EOY	25	26	26	-
Total Perm. Employment EOY	373	393	393	-
FTE*	360	364	385	21
Headquarters	166	222	222	-
U.S. Field	232	197	197	-
Foreign Field	-	-	-	-
Total Permanent Positions	398	419	419	-
Position Data:				
Average Salary, Officer Positions**	\$ 97,412	\$ 98,794	\$ 101,867	\$ 3,073
Average Grade, Officer Positions	4	4	4	-
Average Salary, Enlisted Positions**	\$ 70,087	\$ 77,974	\$ 80,205	\$ 2,231
Average Grade, Enlisted Positions	6	7	7	-

*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

**The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements - Civilian
Permanent Positions by Grade**

Grade	2009	2010	2011	2010 - 2011
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
Total, SES	1	-	-	-
Total, EX	-	-	-	-
GS-15	36	31	31	-
GS-14	127	127	127	-
GS-13	174	221	221	-
GS-12	47	56	56	-
GS-11	13	14	14	-
GS-10	1	2	2	-
GS-9	5	4	4	-
GS-8	8	9	9	-
GS-7	4	4	4	-
GS-6	4	4	4	-
GS-5	2	2	2	-
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	422	474	474	-
Unfilled Positions EOY	56	63	63	-
Total Perm. Employment (Filled Positions) EOY	366	411	411	-
FTE	344	371	400	29
Headquarters	269	329	329	-
U.S. Field	153	145	145	-
Foreign Field	-	-	-	-
Total Permanent Positions	422	474	474	-
<u>Position Data:</u>				
Average Personnel Costs, ES Positions	\$ 204,300	\$ -	\$ -	\$ -
Average Personnel Costs, GS Positions	\$ 129,036	\$ 131,783	\$ 136,448	\$ 4,665
Average Grade, GS Positions	13	13	13	-

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

G. Capital Investment and Construction Initiative Listing

U. S. Coast Guard Acquisition, Construction and Improvements (Dollars in thousands)

Capital Investment Project	Congressional Request	Page Numbers
I. Vessels & Critical Infrastructure		
1. Response Boat - Medium (RB-M)	42,000	23-27
Subtotal - Vessels.....	42,000	
II. Deepwater New Asset Acquisition Project		
A. Aircraft		
1. Maritime Patrol Aircraft (MPA) HC-144	40,000	28-32
2. HH-60 Conversion and Sustainment Projects	32,000	33-38
3. HC-130H Conversion and Sustainment Projects	25,000	39-43
4. HC-130J Fleet Introduction	4,000	44-48
B. Surface		
1. National Security Cutter (NSC)	538,002	49-55
2. Offshore Patrol Cutter (OPC)	45,000	56-61
3. Fast Response Cutter (FRC)	240,000	62-66
4. Cutter Small Boats	3,000	67-70
5. Medium Endurance Cutter Sustainment	30,000	71-74
C. Other		
1. Government Program Management	45,000	75-78
2. Systems Engineering and Integration	29,000	79-82
3. C4ISR	30,500	83-86
4. Deepwater Logistics	50,000	87-94
5. Technology Obsolescence Prevention (TOP)	1,000	95-97
Subtotal - Deepwater Project.....	1,112,502	
IV. Other Equipment		
1. Rescue 21	36,000	98-102
Subtotal - Other Equipment.....	36,000	

Capital Investment Project	Congressional Request	Page Numbers
V. Shore Facilities & Aids to Navigation		
1. Minor AC&I Shore Construction Projects	3,300	103-104
2. Renovate Chase Hall Barracks Phase III, CG Academy	21,000	105-106
3. Shore Infrastructure Survey and Design	5,000	107-109
4. Thrun Hall Phase II	12,000	110-111
5. Shore AC&I Newport, RI Pier	23,500	112-113
6. Waterways ATON Infrastructure	4,400	114-115
Subtotal - Shore Facilities & Aids to Navigation Facilities.....	69,200	
VII. Personnel Related Support		
1. AC&I Core	510	116-117
2. Direct Personnel Costs	107,051	118-119
Subtotal - Personnel & Related Support.....	107,561	
VIII. Military Housing		
1. Military Housing	13,965	120-121
Subtotal - Military Housing.....	13,965	
Summary Capital Investments		
Total Non-IT Initiatives (all projects over \$5 million).....	1,309,728	
Total IT Initiatives.....	72,500	
Total FY 2011 Congressional Request:	1,381,228	

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Response Boat - Medium (RB-M)

\$42,000

Project Description, Justification and Scope

This funding places 10 boats on order, supports logistics development and continues the Response Boat-Medium project.

The Response Boat - Medium (RB-M) project was established to procure 180 new small boats to replace the aging 41-foot Utility Boats (UTB) (and other large non-standard boats) with assets more capable of meeting the Coast Guard's multi-mission operational requirements, including Search and Rescue; Marine Safety; Marine Environmental Protection; Living Marine Resources; Ports, Waterways, and Coastal Security; and Defense Readiness.



RB-M 45601 from Station Little Creek, VA on Potomac River, Sept 2008

The legacy 41' UTB, built by the Coast Guard from 1973 to 1980, is a key asset for multi-mission, station-based Coast Guard operations within coastal zones. Although designed specifically for Search and Rescue (SAR) missions, the 41' UTBs have been employed as multi-mission assets.

Coast Guard mission requirements, particularly in terms of maritime security have changed markedly since the 41' UTB was built. The RB-M offers a number of opportunities for improvements over the existing fleet of 41' UTBs and other boats in performance, human system interface and operational availability. Several program requirements and extensive field commander input indicates a need for an RB-M that is substantially faster (e.g., 40+ knots vs. 26 knots) than the 41' UTB to support new homeland security operations. Such capability will also improve multi-mission effectiveness for Search and Rescue, Undocumented Migrant Interdiction, Illegal Drug Interdiction, Other Law Enforcement, Ports, Waterways, and Coastal Security (PWCS) and Defense Readiness missions.

Integrated navigation and sensing systems compliant with modern international radio-telephone standards provide the RB-M with improved communications and search capability compared to the 41 foot UTB, improving mission effectiveness. Interoperability of the RB-M with Rescue 21 equipment enhances overall command and control as well as crew safety in coastal zones. Moreover, crew interface with the boat and equipment will be improved in a number of areas. For example,

- Self righting capability provides improved survivability in higher sea states
- Self-fendering allows more efficient boarding and towing operations
- Improved survivor recovery arrangement improves crew effectiveness
- Secure seating for each crewmember in an environmentally controlled cabin enables greater mission endurance with less crew fatigue

Methods to achieve the above include emphasizing the ability to maintain and replace RB-M components quickly by providing improved depot level maintenance support. Further efficiencies are gained by providing maintenance relief vessels to substitute for station boats during major maintenance and casualty repairs. The RB-M is also being built to dimensions that will allow for commercial

Response Boat - Medium (RB-M)

\$42,000

overland transportation to support deployed surge operations, and technical data will be formatted to support the ongoing organizational logistics transformation.

PROJECT HISTORY

The RB-M Acquisition Strategy is two-phased: Phase I – a full and open competitive Request For Proposal (RFP), selected three contractors to build test boats, followed by developmental testing and evaluation to validate RB-M requirements. Phase II – a competitive RFP limited to the three Phase I contractors, for production and logistics support for approximately 180 boats that meet the Coast Guard’s multi-mission requirements.

The RFP for the test boats was released August 9, 2002 and contracts for three test boats were awarded on May 2, 2003. The test boats were delivered October 29, 2003. The Coast Guard conducted extensive in-water developmental testing and evaluation after accepting the Phase I test boats. Personnel from Coast Guard multi-mission stations who operate and maintain small boats on a daily basis participated in the in-water testing. The Naval Surface Warfare Center Carderock Division – Combatant Craft Department – conducted the technical analysis of the data gathered from the acceptance, performance, mission effectiveness, and supportability testing. The evaluation results were used to validate government requirements and verify industry’s ability to meet those requirements using non-developmental state of the market technology at a reasonable price. Select portions of the Phase I test results were also furnished to the Phase I contractors for additional research and development, and for use in developing their Phase II proposals.

On June 21, 2006, the RB-M contract for Phase II of the acquisition, design, construction, outfit and delivery of the RB-M system, was awarded to Marinette Marine Corporation (MMC) of Marinette, WI. Marinette Marine’s primary subcontractor for design and construction of the initial RB-Ms is Kvichak Marine Industries (KMI) in Kent, WA. Detailed design was completed in June 2007 and construction started on the first RB-M in July 2007. The first boat was delivered in March 2008 initiating Operational Testing and Evaluation (OT&E).

During Low Rate Initial Production (LRIP) RB-Ms are delivered at a rate of approximately one per month to field units representing the most diverse operational and environmental conditions possible to ensure OT&E is representative of all conditions the RB-M will encounter once fully deployed. Preliminary OT&E results have shown that the LRIP assets meet all of the Critical Operational Parameters identified in the Operational Requirements Document (ORD).

The FY 2008 appropriation provided funding to place sufficient orders to warrant opening a second production facility in Green Bay, WI. This facility opened in September 2008 and delivered its first RB-M (hull # 11) in Q4 FY 2009. During OT&E RB-Ms remain in Low Rate Initial Production, delivering approximately one RB-M per month. Approval of the OT&E report, expected in early FY 2010, will mark the end of LRIP and the project will proceed into full production. When in full production both the MMC Green Bay, WI facility and the Kvichak Marine Kent, WA facility will deliver at least 15 RB-Ms annually for a total of no less than 30 boats per year.

U. S. Coast Guard - FY 2011 Congressional Justification

Response Boat - Medium (RB-M)

\$42,000

As of December 2009, 19 RB-Ms have been delivered to US Coast Guard Stations:

FY	Delivered	Location	¹OT&E primary asset
2008 (3)	Apr'08	Little Creek, VA ¹	¹ First six RB-Ms designated as primary OT&E assets
	Aug'08	Cape Disappointment, WA ¹	
	Sep'08	Key West, FL ¹	
2009 (11)	Oct'08	Milwaukee, WI ¹	
	Dec'08	New York, NY ¹ (1 st of 6)	
	Jan'09	Port Aransas, TX ¹	
	Feb'09	Boat Forces Center, Yorktown, VA	
	Mar'09	Boston, MA	
	May'09	San Juan, PR	
	Jul' 09	New York, NY (2 nd of 6)	
	Jul' 09	Port Aransas, TX – 1 st delivery from 2 nd production facility in Green Bay, WI	
	Aug' 09	New York, NY (3 rd of 6)	
		New York, NY (4 th of 6)	
	Sep' 09	Mauai, HI	
2010 (22)	Nov' 09	Little Creek, VA	
		Port Canaveral, FL	
		Castle Hill, RI	
	Dec' 09	New York, NY (5 th of 6)	
		New York, NY (6 th of 6)	

KEY EVENTS

Significant accomplishments in FY 2009 include:

- Ordered 36 RB-Ms (hulls #31-66)
- Received 11 RB-Ms ordered with prior funding and supported a total of 14 delivered RB-Ms
- Received the first RB-M from the second production facility in Green Bay in Q4 FY 2009
- Continued Operational Test and Evaluation (OT&E) focused on the first six RB-Ms purchased with prior funding
- Continued development and fielding of logistics system deferred in prior years to support placing sufficient boat orders to initiate the contractor opening the second production facility

FY 2010 planned accomplishments include:

- Order 39 RB-Ms (hulls #67-105)
- Receive 22 RB-Ms ordered with prior year funding and support a total of 36 delivered RB-Ms
- Complete OT&E, move out of LRIP and into full production, attain Initial Operating Capability with delivery of the first RB-M following completion of LRIP
- Reach a full production rate of at least 30 boats per year by the end of the fiscal year

FY 2011 planned accomplishments include:

- Order 10 RB-Ms (hulls #106-115)
- Receive 20-30 RB-Ms ordered with prior year funding and support a total of 56-66 delivered RB-Ms

U. S. Coast Guard - FY 2011 Congressional Justification

Response Boat - Medium (RB-M)

\$42,000

Significant Changes

No significant change. FY 2011 funding reflects anticipated procurement schedule.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2010					
Complete OT&E			FY08:Q2	FY10:Q1	500
Commence Full-Rate Production			FY10:Q1	FY15:Q4	120,500
<hr/>					
FY 2011					
Continue Production			FY10:Q1	FY15:Q4	42,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	127,413	108,000	121,000	42,000	398,413
Obligation	126,913	105,672	119,157	40,731	392,473
Expenditure	106,259	72,023	116,040	43,012	337,334
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	92,763	61,055	101,155	28,769	283,742
Project Management	10,269	10,832	14,684	14,128	49,913
Test & Evaluation	3,227	136	201	115	3,679

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
RB-Ms (10)	19,416
OT&E identified full production modifications	5,000
Logistics element development and fielding	2,341
Curriculum/training aide development	1,000
<u>Project Management</u>	
Project Management (Government)	8,076
Project Management (Contractor)	6,052
<u>Other Costs</u>	
Test and Evaluation	115
FY 2011 Cost Estimate Project Total:	42,000

Method of Performance

The RB-M Project Management Team has implemented an Earned Value Management System (EVMS) that meets ANSI/EIA Standard 748. During the Capability Development and Demonstration Phase of the acquisition process an earned value management framework was implemented for effective project

U. S. Coast Guard - FY 2011 Congressional Justification

Response Boat - Medium (RB-M)

\$42,000

management and controls. The RB-M Project is applying the lessons learned from other agency acquisition programs and using those insights in managing the cost, schedule, and technical performance during the project life-cycle.

The Project also requires Integrated Baseline Reviews (IBR) following boat orders. The first IBR was held jointly with the contractor in November 2006 to provide a mutual understanding of risks inherent in contractors' performance plans and underlying management control systems. Subsequent IBRs are held after each delivery order is placed to evaluate risk and determine an appropriate delivery schedule based on manufacturing capability. The IBR and EVMS are essential elements of the RB-M Project's risk management approach. The IBRs address the integrated master schedule (IMS), integrated master plan (IMP), and include discussions with contractor control account managers (CAM) to ensure alignment between the contractor and the Government. The most recent IBR was held in May 2009 to review and establish the production and delivery schedule for RB-Ms #31-36.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	26,893	9,334
Marine Safety	8,739	3,033
Aids to Navigation	1,677	583
Ice Operations	-	-
Marine Environmental Protection	671	233
Living Marine Resources	5,030	1,748
Drug Interdiction	1,760	596
Migrant Interdiction	1,677	583
Other Law Enforcement	-	-
Ports, Waterways & Coastal Security	73,883	25,657
Defense Readiness	670	233
Mission-Program Allocation Total:	121,000	42,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

Programmatic Environmental Assessment (PEA) conducted with Finding of No Significant Impact (FONSI) dated March 18, 2003.

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Maritime Patrol Aircraft (MPA) HC-144 **\$40,000**

Project Description, Justification and Scope

This request funds one (1) Maritime Patrol Aircraft (MPA) HC-144A. These funds will address the Coast Guard's MPA flight hour gap by providing 1,200 additional MPA hours every year per aircraft, once missionized.

CAPABILITY ACQUIRED/MAINTAINED:

The HC-144A is equipped with communication, navigation and surveillance systems allowing the aircraft to operate worldwide within the range of its performance parameters, in civilian and military airspace, in support of its Congressionally-mandated missions.

Purchased in compliance with the Buy American Act, the HC-144A is the perfect complement for the Coast Guard fleet of long-range, heavy-lift HC-130 aircraft. Its high-efficiency turbo prop design allows extended surveillance and quick response capability. The sophisticated surface search radar can detect targets of interest from over 100 miles away. Once closer to the target of interest, the Electro-Optical/Infrared (EO/ IR) sensor can further classify and identify it in virtually all weather conditions, allowing the Coast Guard to quickly locate high interest vessels and mariners in distress.

The modern cockpit design provides pilots with superior situational awareness, reduced workload and increased safety, allowing them to better concentrate on the mission. Human factors engineering is also evident in the tactical workstations of the mission system pallet. Systems operators can collect, compile, and transfer vital information in real time to operational commanders on ship or on shore hundreds of miles from the aircraft. Satellite radios provide for clear and uninterrupted voice and data exchange, and advanced electronic support measures that can automatically detect friendly / unknown vessels and their 'fingerprints' add another layer of defense to the homeland security mission.

The HC-144A also provides great mission flexibility. The hydraulically-operated rear ramp allows for easy roll-on/ roll-off provisions. This quick-change feature allows ground crews to re-configure the aircraft from maritime patrol to medical evacuation to passenger/ freight transport. Its medium size and high-lift wing design allow take-off and landing on short, unpaved landing areas, further enhancing the Coast Guard's abilities to aid first responders in all types of national, state and local emergencies.

PERFORMANCE:

The HC-144A is a transport and surveillance, fixed-wing aircraft that is used to perform Search and Rescue (SAR) missions, enforce laws and treaties, including illegal drug interdiction, marine environmental protection, military readiness, homeland security and International Ice Patrol missions, as well as cargo and personnel transport. It can perform aerial delivery of SAR equipment, such as rafts, pumps, and flares, and can be used as an On-Scene Commander platform. As the medium-range maritime patrol aircraft, the asset delivers maritime domain awareness essential to achieving mission success in the following Congressionally-mandated missions:

MARITIME SAFETY:

- Search and Rescue (SAR) – The aircraft is outfitted with a capable C4ISR suite that includes a multi-mode surface and air search radar (MMR), and an Electro Optical/Infrared (EO / IR) sensor device able

Maritime Patrol Aircraft (MPA) HC-144

\$40,000

to detect and observe a wide range of targets. The aircraft has a line-of-bearing indicator and distress call monitoring for all distress frequencies. It is also equipped with search windows, and the crew is outfitted with night vision devices to further enhance their ability to detect, classify, and identify targets. With a rear cargo loading ramp that can be opened in-flight, the HC-144A is capable of aerial delivery of equipment (i.e. life rafts, communications kits, and de-watering pumps) and personnel. With an endurance of 9 hours, the asset can also serve as an On-Scene Commander platform, guiding and assisting rotary wing assets.

- Marine Safety – International Ice Patrol (IIP) – Although the HC-144A does not have the extended range of the C-130 aircraft, it can remain airborne for 9 hours, and, utilizing the same sensors described above, is able to detect and relay the location of icebergs in support of the IIP mission.

MARITIME SECURITY:

- Undocumented Migrant Interdiction Operations (MIO) – The C4ISR suite, including the same sensors described in the SAR mission, are employed to provide surveillance, detection, classification and identification in the undocumented MIO mission. With multiple communications, including UHF/VHF, HF, MILSATCOM and INMARSAT, the asset can share important information with other operational units and command centers. This information contributes to the Common Tactical Picture (CTP) and Common Operating Picture (COP) through a networked Command and Control (C2) system that provides for data sharing via INMARSAT.

- Illegal Drug Interdiction (DRUG) – The same sensors and communications equipment is used to support undocumented MIO is also utilized to support the DRUG mission. Through effective use of the CTP/ COP, the HC-144A is able to direct Coast Guard surface assets to intercept and prosecute suspect vessels.

- Other Law Enforcement (OLE) – The use of all sensors and communications equipment are utilized for the OLE mission. The sharing of information and data through the use of the C2 system and the CTP/ COP results in increased maritime domain awareness.

PROTECTION OF NATURAL RESOURCES:

- Marine Environmental Protection (MEP) – Maritime Pollution Enforcement and Response – In conjunction with visual surveillance, the HC-144A C4ISR suite can be employed to monitor and map oil-covered water surfaces. The MMR can detect differences in backscatter between water and oil-covered water due to the dampening effects of oil on small wind-generated waves, while the EO/ IR sensor can detect the small temperature variation between clear and oil-covered water. The COP provides the capability to navigate to previously-marked pollution areas and update them based on current C4ISR and visual indications.

- MEP – Lightering Zone Enforcement (LZE) – Similarly, LZE is not a primary mission for the HC-144A, but it is capable of monitoring Lightering Zones for oil and other hazardous chemical discharges.

- Living Marine Resources Enforcement (LMR) – The HC-144A employs all sensors (MMR, EO, and IR) to provide surveillance of protected and/ or closed offshore areas to ensure the protection of LMR. In addition to the sensors and communications capabilities already described, the HC-144A is equipped with an Automatic Identification System (AIS) to monitor surface vessels. The AIS information

U. S. Coast Guard - FY 2011 Congressional Justification

Maritime Patrol Aircraft (MPA) HC-144

\$40,000

collected includes the ship's name, position, course, and speed. The use of AIS makes the job of vessel identification more efficient, permitting the aircraft to remain at altitude instead of having to make a low pass to visually identify a vessel.

NATIONAL DEFENSE:

• Defense Readiness - The HC-144A plays a limited role in current national defense missions but can provide support through surveillance and transport roles to the following areas:

- Port Operations, Security, and Defense (POSD)
- General Defense Operations (GDO)
- Peacetime Military Engagement (PME)
- Maritime Intercept Operations (MIO)
- Environmental Defense Operations (EDO)

OTHER:

• Non-IDS Aviation Demand (NDAD) – The HC-144A supports NDAD primarily in a logistics transport role.

COST ESTIMATE OF WORK TO BE FUNDED IN FISCAL YEAR 2011:

ITEM	QUANTITY	TOTAL (\$K)
MPA Aircraft	1	\$40,000
	Total	\$40,000

FUNDING HISTORY

	FY	TOTAL (\$K)
Conceptual Development/Design	2002	\$12,538
Procured MPA #1 and #2; three Mission System Pallets (MSP)	2003	\$141,443
Procured MPA #3	2004	\$24,853
Procured Initial Spares MPA #1 – #3	2005	\$5,250
Procured MPA #4 and #5; Initial Spares	2006	\$67,320
Procured MPA #6 - #8; Initial Spares	2007	\$148,616
Procure MPA #9 – #11; five MSP	2008	\$170,015
Procure MPA #12; four MSP; Initial Spares	2009	\$86,600
Procure MPA #13 and #14; Flight Simulator; Logistics	2010	\$138,500
Procure MPA #15	2011	\$40,000
	Total	\$835,135

Funding history is the available funding for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR:

To Be Determined (TBD)

Type of Contract: Fixed-price with economic price adjustment (FPEPA)

Contract options: Base year plus two option years

SUBCONTRACTORS:

U. S. Coast Guard - FY 2011 Congressional Justification

Maritime Patrol Aircraft (MPA) HC-144 **\$40,000**

Airframe: EADS CASA CN-235 300M (Madrid, Spain)
 Avionics: Rockwell Collins (Cedar Rapids, IA)
 Power Plant: General Electric CT7-9C3 engine (Lynn, MA)
 Propulsion: Hamilton Sundstrand 14RF-37 (Windsor Locks, CT)
 Sensors: Telephonics APS-143V3 Multi-Mode RADAR (Farmingdale, NY)
 FLIR Systems Star Sapphire III (Portland, OR)
 ITT ALR-95 (Morgan Hill, CA)
 Mission System: Lockheed Martin (Eagan, MN)
 Communications: Wulfsberg RT50000 (Prescott, AZ)
 Miscellaneous: CG Maritime Patrol Aircraft Conversion, ALC (Elizabeth City, NC)
 Mission System Integration: ARINC (Annapolis, MD)
 Mission System Operator
 Training and Maintenance: ProSoft (Phoenix, AZ)

KEY EVENT:	FY
MPA 1 – 3 Delivery	2007
MPA 4 – 5 Delivery	2009
MPA Initial Operating Capability (IOC)	2009
MPA 6 – 8 Delivery	2009
MPA 9 – 11 Delivery	2010/11
MPA 12 - 13 Delivery	2011/12
MPA 14 Delivery	2012
Flight Simulator Delivery	2012
MPA 15 Delivery	2013

Significant Changes

No significant change in unit costs. FY 2011 funding reflects anticipated procurement schedule.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2010					
Maritime Patrol Aircraft			FY10:Q2	FY13:Q1	138,500
FY 2011					
Maritime Patrol Aircraft			FY11:Q2	FY14:Q1	40,000

U. S. Coast Guard - FY 2011 Congressional Justification

Maritime Patrol Aircraft (MPA) HC-144

\$40,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	570,035	86,600	138,500	40,000	835,135
Obligation	566,479	64,950	103,875	30,000	765,304
Expenditure	479,291	21,650	34,625	10,000	545,566
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	479,291	21,650	34,625	10,000	545,566

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Maritime Patrol Aircraft (MPA) (1)	40,000
FY 2011 Cost Estimate Project Total:	40,000

Method of Performance

An Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data used to generate Cost Performance reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	27,401	7,914
Marine Safety	62	18
Aids to Navigation	249	72
Ice Operations	-	-
Marine Environmental Protection	3,737	1,079
Living Marine Resources	23,665	6,834
Drug Interdiction	21,174	6,115
Migrant Interdiction	31,137	8,993
Other Law Enforcement	747	216
Ports, Waterways & Coastal Security	30,328	8,759
Defense Readiness	-	-
Mission-Program Allocation Total:	138,500	40,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

HH-60 Conversion and Sustainment Projects **\$32,000**

Project Description, Justification and Scope

This request continues the funding of multiple conversion and sustainment projects for the Coast Guard's fleet of 42 HH-60J Jayhawk, Medium Range Recovery (MRR) helicopters. The individual project descriptions are as follows:

1. HH-60T Avionics Upgrade – Replaces obsolete HH-60J avionics with modernized electrical wiring, and electrical connectors. Upgrades include the addition of up to 5 Multi-Functional Displays (MFD) screens that increase pilots' situational awareness, a digital weather radar, a Traffic Collision Avoidance System (TCAS), the display of primary flight instruments on the Pilot's Flight Display (PFD), a radar altimeter with verbal low altitude alarm to enhance safety during night hovering, and improved Search and Rescue (SAR) software for hoist camera images. This project will have additional benefits in that the non-recurring engineering development costs on the HH-60T Avionics Upgrade will be reinvested in the HH-65C Avionics Upgrade project.
2. HH-60J Service Life Extension Project (SLEP) (Re-Wire) – Replaces legacy electrical wiring/connectors not addressed by the avionics upgrade in order to maintain structural and electrical integrity and remove any remaining Navy weapons systems wiring. This phase is performed when each aircraft is inducted into the third Programmed Depot Maintenance (PDM) cycle.
3. HH-60J Radar/ Electro Optical/Infra-Red (EO/IR) sensor – Replaces HH-60J RDR-1300 monochrome weather-search radar with a Multimode Radar (MMR) and an enhanced EO/IR sensor common to Coast Guard helicopter platforms. These systems will allow for common operational picture/maritime domain awareness data exchange capabilities.
4. HH-60J Engine Sustainment – Provides a targeted standardized configuration for the Auxiliary Power Units (APUs), Hydro-Mechanical Units (HMUs) and obsolescence/support issues associated with the Digital Electronic Control Unit to increase the projected mean time between engine failures. Project phase also initiates a performance-based logistics support system and the recapitalization of high-time engines that are beyond their economic overhaul limit.

CAPABILITY ACQUIRED/MAINTAINED:

The Sikorsky HH-60J Jayhawk is the Coast Guard's medium-range recovery helicopter. Two T700-GE-401C engines, each rated at around 1600 shaft horsepower, provide adequate power for a gross takeoff weight of 22,000 pounds. The HH-60J is very well-suited for operations in challenging weather conditions. A flight management and navigation system provides the aircrews with Global Positioning System (GPS) navigation and some auto-pilot capabilities. All-weather operation is rounded out with weather radar and an effective anti-ice system that allows cold weather operation in the Northeast U.S. and Alaska. The aircraft is also equipped with night-vision compatible displays that allow aircrews to complete missions in almost zero-light conditions.

The HH-60J is larger and more powerful than the Coast Guard's HH-65 helicopter. Because of the extended-capacity fuel tanks, the HH-60J is often called upon for SAR missions far offshore. It is capable of flying up to 300 miles offshore, staying on scene for approximately 45 minutes, picking up six or more survivors, and then returning to shore with adequate fuel to divert to another landing area if required. All weather flight capabilities are provided by a basic flight-management system.

HH-60 Conversion and Sustainment Projects

\$32,000

A complete replacement of the HH-60J avionics system is currently underway at the Coast Guard Aircraft Repair and Supply Center (AR&SC), Elizabeth City, NC. Taking advantage of the U.S. Army and U.S. Navy Common Avionics Architecture System (CAAS) cockpit, the HH-60J will receive the same capabilities as DoD and other components, enhancing interoperability with partners. The CAAS cockpit will integrate current technology to upgrade the flight-management, navigation, and automatic-pilot features. It will also increase operational availability and reduce maintenance and supply costs. Another project involves the installation of an upgraded multi-mode radar and EO/IR sensors that will provide the HH-60J with a common command, control and surveillance system to integrate with the Coast Guard's Common Operating Picture (COP).

PERFORMANCE:

Once converted, there will be 42 HH-60Js located within the continental United States and Alaska providing support to the following Congressionally-mandated missions:

MARITIME SAFETY:

- Search and Rescue (SAR) – The HH-60J will be outfitted with a capable C4ISR suite that includes a multi-mode surface and air search radar (MMR), and EO/IR sensor to find and observe a wide range of targets. The aircraft will have a line-of-bearing indicator and distress call monitoring on various distress frequencies. It will also be equipped with Global Positioning System (GPS) and the crew will be outfitted with night vision devices to further enhance the crew's ability to detect, classify, and identify targets.

MARITIME SECURITY:

- Undocumented Migrant Interdiction Operations (MIO) – The C4ISR suite, including the same sensors described in the SAR mission, will be employed to provide surveillance, detection, classification, and identification in the undocumented MIO mission. With multiple communications, including UHF/VHF, HF, the HH-60J will be able to share important information with other operational units and command centers. This information will contribute to a Common Tactical Picture (CTP) and COP through a networked Command and Control (C2) system that provides data sharing capability.

- Illegal Drug Interdiction (DRUG) – The same sensors and communications equipment that will support undocumented MIO will also be used to support the DRUG mission. Through effective use of the CTP/COP, the HH-60J will be able to direct Coast Guard surface assets to intercept and prosecute suspect vessels.

- Other Law Enforcement (OLE) – All sensors and communications equipment will be used for the OLE mission. Sharing information and data through the use of the C2 system and the CTP/COP will result in increased maritime domain awareness.

PROTECTION OF NATURAL RESOURCES:

- Marine Environmental Protection (MEP) – Maritime Pollution Enforcement and Response – Visual surveillance and the C4ISR suite on the HH-60J will be employed to monitor and map oil-covered water surfaces. The MMR can detect differences in backscatter between water and oil-covered water due to the dampening effects of oil on small wind-generated waves, while the EO/IR sensor can detect the small temperature variation between clear and oil-covered water. The COP provides the capability to

HH-60 Conversion and Sustainment Projects

\$32,000

navigate to previously-marked pollution areas and update them based on current C4ISR and visual indications.

- MEP – Lightering Zone Enforcement (LZE) – The HH-60J is capable of monitoring lightering zones for oil and other hazardous chemical discharges.
- Living Marine Resources Enforcement (LMR) – The HH-60J will employ all sensors (MMR, EO/IR) to provide surveillance of protected and/or closed offshore areas and ensure the protection of LMR.

NATIONAL DEFENSE:

- Defense Readiness – The HH-60J plays a limited role in current national defense missions but can provide support through surveillance and transport roles to the following areas:
 - Port Operations, Security, and Defense (POSD)
 - General Defense Operations (GDO)
 - Peacetime Military Engagement (PME)
 - Maritime Intercept Operations (MIO)
 - Environmental Defense Operations (EDO)

COST ESTIMATE OF WORK TO BE FUNDED IN FISCAL YEAR 2011:

ITEM	QUANTITY	TOTAL (\$K)
HH-60 Avionics Upgrade	8	\$8,600
HH-60 SLEP	8	\$1,300
HH-60 Radar/Electro Optical/Infra-Red sensor	8	\$22,100
	Total	\$32,000

FUNDING HISTORY

	FY	TOTAL (\$K)
HH-60T Avionics Upgrade	2002	\$35
HH-60T Avionics Upgrade	2003	\$5,800
HH-60J SLEP (Re-Wire)	2003	\$2,000
HH-60J Radar/FLIR	2003	\$600
HH-60T Avionics Upgrade	2004	\$10,000
HH-60T Avionics Upgrade	2005	\$15,000
HH-60T Avionics Upgrade	2006	\$24,750
HH-60J SLEP (Re-Wire)	2006	\$6,040
HH-60J Radar/ Electro Optical/Infrared sensor	2006	\$5,840
HH-60T Avionics Upgrade	2007	\$34,304
HH-60T SLEP (Re-Wire)	2007	\$3,366
HH-60T Radar/ Electro Optical/Infrared sensor	2007	\$8,316
HH-60T Engine Sustainment	2007	\$3,316
HH-60T Avionics Upgrade	2008	\$24,336
HH-60T SLEP (Re-Wire)	2008	\$6,100
HH-60T Radar/ Electro Optical/Infrared sensor	2008	\$19,100
HH-60T Engine Sustainment	2008	\$7,764

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HH-60 Conversion and Sustainment Projects **\$32,000**

HH-60T Avionics Upgrade	2009	\$27,119
HH-60T SLEP (Re-Wire)	2009	\$2,900
HH-60T Radar/ Electro Optical/Infrared sensor	2009	\$18,900
HH-60T Engine Sustainment	2009	\$3,781
HH-60T Avionics Upgrade	2010	\$29,178
HH-60T SLEP	2010	\$1,300
HH-60T Radar/Electro-Optical/Infra-Red sensor	2010	\$13,200
HH-60T Engine Sustainment	2010	\$2,222
	Total	\$275,267

Funding history is the available funding for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR(S):

Product Line: AR&SC/ Lear Siegler Services, Inc.
 Aircraft: Sikorsky, Stratford, CT
 Avionics: Rockwell Collins, Cedar Rapids, IA
 Power Plant: General Electric, Lynn, MA

KEY EVENT	FY
HH-60T Avionics Upgrade Preliminary Design	2004
HH-60T Avionics Upgrade Detail Design	2005
HH-60T Avionics Upgrade Installations Begin	2006
HH60T SLEP / Legacy Re-Wire Begin	2006
HH60T Radar / Electro-Optical Infrared Sensor Selection Begin	2007
HH60T Engine Sustainment Begin	2007
HH60T Engine Sustainment Full Production	2008
HH60T Milestone 3 Decision (Avionics Upgrade and EO/IR Sensor)	2010

Significant Changes

No significant change. FY 2011 funding reflects anticipated procurement schedule.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2010					
HH-60T Avionics			FY09:Q1	FY10:Q2	29,178
HH-60J SLEP			FY09:Q1	FY10:Q2	1,300
HH-60 Radar/FLIR Replacement			FY09:Q1	FY10:Q2	13,200
HH-60J Engine Sustainment			FY09:Q1	FY10:Q2	2,222
FY 2011					
HH-60T Avionics			FY10:Q1	FY11:Q2	8,600
HH-60J SLEP			FY10:Q1	FY11:Q2	1,300
HH-60 Radar/FLIR Replacement			FY10:Q1	FY11:Q2	22,100

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HH-60 Conversion and Sustainment Projects

\$32,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	176,667	52,700	45,900	32,000	307,267
Obligation	174,834	49,011	36,720	27,155	287,720
Expenditure	98,393	21,080	4,590	8,560	132,623
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	98,393	21,080	4,590	8,560	132,623

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
HH-60 Avionics	8,600
HH-60 SLEP	1,300
HH-60 Radar/FLIR Replacement	22,100
HH-60 Engine Sustainment	
FY 2011 Cost Estimate Project Total:	32,000

Method of Performance

The method of performance metrics has changed significantly due to the shift of the Lead System Integrator (LSI) responsibility to the U.S. Coast Guard. The USCG will now manage all H60 Conversion Projects system integration issues internally. An Earned Value Management System (EVMS) is currently being developed for use at AR&SC. As outlined in the H60 Conversion Projects and Avionics Program Management Plans, and until such time an EVMS is established at AR&SC, the Project Manager will use a mixture of monthly financial and project status reports, as well as weekly conference calls and project management staff meetings to measure project performance.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	14,674	10,230
Marine Safety	411	286
Aids to Navigation	3,052	2,128
Ice Operations	-	-
Marine Environmental Protection	1,291	900
Living Marine Resources	5,400	3,765
Drug Interdiction	10,096	7,038
Migrant Interdiction	2,935	2,046
Other Law Enforcement	235	164
Ports, Waterways & Coastal Security	7,571	5,279
Defense Readiness	235	164
Mission-Program Allocation Total:	45,900	32,000

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HH-60 Conversion and Sustainment Projects

\$32,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

HC-130H Conversion and Sustainment Projects **\$25,000**

Project Description, Justification and Scope

This request funds the following projects:

- 1) HC-130H Avionics I Upgrade
- 2) Center Wing Box (CWB) replacement

The Lockheed HC-130H is the Coast Guard's long-range surveillance aircraft. This four-engine, turbo-prop aircraft is used extensively throughout the United States, the Pacific, and the Caribbean in support of search and rescue, homeland security, law enforcement, pollution prevention, and ice patrol missions.

FY 2011 funding will continue the development of the new digital cockpit, with multi-function displays that will provide aircrews with increased situational awareness and reduced cockpit workload. Additionally, funding will provide two replacement center wing boxes, which is critical for extending the aging asset's service life.

CAPABILITY ACQUIRED/MAINTAINED:

The HC-130H is powered by four Allison T56-A15 engines driving Hamilton Standard four-bladed propellers. When all fuel tanks are filled, the aircraft is capable of extended range (>2600 miles in low-altitude flight). With reduced fuel loads, the aircraft can carry a 40,000 pound payload. A large cargo compartment area, easily accessed through a large rear ramp, can accommodate a wide range of cargo. The aircraft's high-lift capability allows takeoff and landings from short, unimproved runways.

To keep the HC-130H fleet in service, upgrades to the avionics, sensors and fuselage are required. The avionics suite on the HC-130H has been in service since the aircraft were delivered in the early 1980s. A digital cockpit with multi-function displays and reliable engine and propeller indicators will provide aircrews with increased situational awareness and reduced cockpit workload; critical for long range operations.

PERFORMANCE:

With its flight-management and sensor systems, the HC-130H is a very capable maritime patrol aircraft, equipped with a powerful surface search radar that can detect surface targets from over 50 miles away. Once closer to a target, the sensor operator uses the Forward-Looking Infrared Radar (FLIR) and Electro Optical (EO) sensor to classify and identify the target, even in night or low-light conditions. A flight-management system that includes an automatic-pilot and precise Global Positioning System (GPS) navigation equipment allows the pilot to concentrate on the details of the mission while being ensured of pinpoint accuracy of position and the position of the target vessels. Large scanner windows on either side of the cargo compartment provide aerial observers with a bird's eye view of the search areas during visual conditions. The HC-130H supports the following Congressionally-mandated missions:

MARITIME SAFETY:

- Search and Rescue (SAR) – The HC-130H has a C4ISR suite that includes a multi-mode surface and air search radar (MMR), EO device, and Infrared (IR) sensor to find and observe a wide range of targets. The aircraft has a line-of-bearing indicator and distress call monitoring on various distress frequencies.

HC-130H Conversion and Sustainment Projects

\$25,000

It is also equipped with search windows and the crew has night vision devices to further enhance their ability to detect, classify, and identify targets.

- Marine Safety – International Ice Patrol (IIP) – A side-looking radar installed on the aircraft maps the location and movement of ice flows and icebergs. This information is calculated and transmitted to commercial vessels to increase maritime safety during the winter and spring months in the North Atlantic regions.

MARITIME SECURITY:

- Undocumented Migrant Interdiction Operations (MIO) – The C4ISR suite, including the same sensors described in the SAR mission, is employed to provide surveillance, detection, classification, and identification in the undocumented MIO mission. With multiple communications, including UHF/VHF and HF, the HC-130H can share important information with other operational units and command centers.

- Illegal Drug Interdiction (DRUG) – The same sensors and communications equipment that support undocumented MIO are also utilized to support the DRUG mission. With its interoperable communications suite, the HC-130H can direct Coast Guard surface assets to intercept and prosecute suspect vessels.

- Other Law Enforcement (OLE) – All sensors and communications equipment are used for the OLE mission.

PROTECTION OF NATURAL RESOURCES:

- Marine Environmental Protection (MEP) – Maritime Pollution Enforcement and Response – Visual surveillance and the side-looking radar on the HC-130H are employed to monitor and map oil-covered water surfaces. The MMR can detect differences in backscatter between water and oil-covered water due to the dampening effects of oil on small wind-generated waves, while the EO/IR sensor can detect the small temperature variation between clear and oil-covered water.

- MEP – Lightering Zone Enforcement (LZE) – The HC-130H is capable of monitoring lightering zones for oil and other hazardous chemical discharges.

- Living Marine Resources Enforcement (LMR) – The HC-130H employs all sensors (MMR, EO, and IR) to provide surveillance of protected and/or closed offshore areas and ensure the protection of LMR.

NATIONAL DEFENSE:

- Defense Readiness – The HC-130H typically plays a limited role in current national defense missions but can provide support through surveillance and transport roles for the following areas:

- Port Operations, Security, and Defense (POSD)
- General Defense Operations (GDO)
- Peacetime Military Engagement (PME)
- Maritime Intercept Operations (MIO)
- Environmental Defense Operations (EDO)

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HC-130H Conversion and Sustainment Projects **\$25,000**

COST ESTIMATE OF WORK TO BE FUNDED IN FISCAL YEAR 2011:

ITEM	QUANTITY	TOTAL (\$K)
HC-130H Avionics I Development & Testing	1 Lot	\$15,000
HC-130H Center Wing Box (CWB)	2	\$10,000
	Total	\$25,000

FUNDING HISTORY

	FY	TOTAL
HC-130H Design Development	2003	\$3,500
HC-130H Surface Search Radar	2005	\$9,000
HC-130H Surface Search Radar	2006	\$4,950
HC-130H Avionics	2006	\$5,940
HC-130H Avionics Modernization Program (AMP)	2007	\$15,700
HC-130H Surface Search Radar	2007	\$24,255
HC-130H AMP and Surface Search Radar	2008	\$18,900
HC-130H AMP and Surface Search Radar	2009	\$24,500
HC-130H AMP, CWB and Surface Search Radar	2010	\$45,300
	Total	\$152,045

Funding history is the available funding for this item based on past appropriations, rescissions and other changes.

CONTRACTOR:

To Be Determined (currently engaged in full and open competition)

Contract Type:

Anticipate Commercial Firm-Fixed Price

SUBCONTRACTORS:

Aircraft	Lockheed Martin Aero, Marietta, GA
Engines	Rolls Royce (Allison), Indianapolis, IN
Avionics	Rockwell Collins, Cedar Rapid, IA
FLIR/EO	L3 Wescam, Burlington, Canada

KEY EVENT:

	FY
HC-130H Radar Replacement Project Contract Award	2005
Radar Preliminary Design Review	2006
Radar Critical Design Review	2006
Prototype Delivery	2006
APS-137 Radar Replacement Developmental Test & Evaluation Complete	2007
APS-137 Radar Replacement Installs Complete on 10 Aircraft	2008
APS-137 Radar Replacement Installs complete	2009
Avionics I Upgrade 1st flight prototype	2009
Production initiation for Avionics I Upgrade and CWB	2010

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HC-130H Conversion and Sustainment Projects **\$25,000**

Commence non-recurring engineering work on Avionics II Upgrade and Missionization

2011

Significant Changes

No significant change. FY 2011 funding reflects anticipated procurement schedule.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total
	Design Work		Project Work		Estimate
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	<u>Cost</u>
FY 2010					
Avionics I			FY10:Q1	FY10:Q4	19,000
HC-130H Center Wing Box (CWB)			FY10:Q1	FY10:Q4	24,000
SELEX Pre-Planned Product Improvement			FY10:Q1	FY10:Q4	2,300
<hr/>					
FY 2011					
Avionics I			FY11:Q1	FY11:Q4	15,000
HC-130H Center Wing Box (CWB)			FY11:Q1	FY11:Q4	10,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	82,245	24,500	45,300	25,000	177,045
Obligation	59,169	47,576	45,300	25,000	177,045
Expenditure	59,169	8,453	18,175	26,997	112,794
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	59,169	8,453	18,175	26,997	112,794

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Avionics I	15,000
HC-130H Center Wing Box (CWB)	10,000
FY 2011 Cost Estimate Project Total:	25,000

Method of Performance

An Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data used to generate Cost Performance reports. For

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HC-130H Conversion and Sustainment Projects **\$25,000**

example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	11,182	6,266
Marine Safety	1,211	679
Aids to Navigation	1,566	877
Ice Operations	-	-
Marine Environmental Protection	447	251
Living Marine Resources	4,547	2,548
Drug Interdiction	1,557	8,334
Migrant Interdiction	3,727	2,088
Other Law Enforcement	2,609	1,462
Ports, Waterways & Coastal Security	4,156	2,329
Defense Readiness	298	166
Mission-Program Allocation Total:	31,300	25,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

HC-130J Fleet Introduction

\$4,000

Project Description, Justification and Scope

The requested \$4.0M will fund the initial logistics needed to support 4,000 annual program flight hours for the six C130J's that will be operating by FY2011. The Coast Guard has six C-130J aircraft in its inventory, three of which have been converted to the USCG-specific HC-130J Maritime Patrol configuration and the remaining three will be completed in FY 2009 through FY 2010.

The Lockheed C-130J is the Coast Guard's long-range surveillance aircraft. This four-engine, turbo-prop aircraft is used extensively throughout the United States, the Pacific Ocean and the Caribbean Sea in support of search and rescue, homeland security, law enforcement, pollution prevention, logistics and personnel transport.

CAPABILITY ACQUIRED/MAINTAINED:

The Coast Guard's C-130J is based on the proven C-130 series aircraft design. The C-130J's new engines, propellers, avionics and cargo handling equipment set this new aircraft apart from its predecessor. The C-130J will assume the traditional duties of the C-130H, which include search and rescue, homeland security, pollution prevention, logistics and personnel transport.

With Allison AE2100 engines and Dowty six-bladed propellers, the C-130J boasts advanced performance over the H model, including a 20 percent increase in speed, a 40 percent increase in range and a 40 percent higher cruising altitude. It can climb higher and faster than the H model, yet takeoff and land on shorter runways.

A completely redesigned cockpit with an integrated digital flight management system allows the C130J to be operated by a two-person flight deck crew as compared to the four to five person crew in the C-130H model. Dual heads up displays provide pilots with essential flight information and increase aircraft safety during low-level maneuvers, including takeoffs and landings in reduced visibility. A high-resolution ground mapping radar, integrated with on-board Global Positioning System (GPS) and inertial navigation system, provides aircrews with precise navigation and situational awareness. An enhanced cargo handling system provides loadmasters the ability to automatically calculate weight and balance data and quickly change cargo compartment configuration to accommodate different payloads.

The C-130J Missionization project configures the aircraft with equipment needed to perform traditional Coast Guard operational missions. The C-130J Missionization Project leverages the technology developed by Integrated Coast Guard Systems for the HC-144A Maritime Patrol Aircraft (MPA). The missionization suite includes a surface search radar, a Forward-Looking Infrared (FLIR)/Electro Optical (EO) sensor, and satellite and emergency response radios; all controlled through a flight-deck mounted operator station.

PERFORMANCE:

With its flight management and sensor systems, the C-130J is a very capable maritime patrol aircraft. It is equipped with a powerful surface search radar that can detect surface targets from over 50 miles away. Once closer to the target, the sensor operator will use the FLIR/EO sensor to classify and identify the target, even in night or very low-light conditions. A flight management system that includes an

HC-130J Fleet Introduction

\$4,000

automatic-pilot and precise GPS navigation equipment allows the pilot to concentrate on the details of the mission, while being ensured of pinpoint accuracy of the aircraft position and the position of the target vessels. The C-130J supports the following strategic goals and mission programs:

MARITIME SAFETY:

- Search and Rescue – The C-130J is outfitted with a comprehensive Command, Control, Communications, Computers, Intelligence, Surveillance and Reconnaissance (C4ISR) suite that includes a multi-mode surface and air search radar (MMR), Electro-Optical (EO) device, and Infrared (IR) sensor to find and observe a wide range of targets. The aircraft will have a Line of Bearing indicator and Distress Call Monitoring for distress frequencies.

MARITIME LAW ENFORCEMENT:

- Illegal Migrant Interdiction Operations (MIO) – The C4ISR suite, including the same sensors described in the Search and Rescue mission, provide surveillance, detection, classification, and identification. With multiple communications, including UHF/VHF and HF, the C-130J will be able to share important information with other operational units and command centers. This information will contribute to a Common Tactical Picture (CTP) and Common Operational Picture (COP) through a networked Command and Control (C2) system that provides for data sharing.

- Illegal Drug Interdiction (DRUG) – The same sensors and communications equipment that will support undocumented migrant interdictions are also used to support the counter drug mission. Through effective use of the CTP/COP, the C-130J is able to direct Coast Guard surface assets to intercept and prosecute suspect vessels.

- Living Marine Resources (LMR) Enforcement – The C-130J employs all sensors (MMR, EO, and IR) to provide surveillance of protected and/or closed offshore areas and ensure the protection of LMR.

- Other Law Enforcement (OLE) – All sensors and communications equipment are used for the OLE mission. Sharing information and data, through the use of the C2 system and the CTP/COP, results in increased Maritime Domain Awareness.

MARITIME SAFETY AND ENVIRONMENTAL PROTECTION:

- Marine Environmental Protection (MEP) – Visual surveillance and the C4ISR suite on the C-130J are employed to monitor and map oil-covered water surfaces. The MMR can detect differences in backscatter between water and oil-covered water due to the dampening effects of oil on small wind-generated waves, while the EO/IR sensor can detect the small temperature variation between clear and oil-covered water. The COP provides the capability to navigate to previously marked pollution areas and update them based on current C4ISR and visual indications.

- Ports, Waterways, and Coastal Security (PWCS) – The C-130J is able to conduct thorough and sustained surveillance of an assigned area of operations, and dispatch appropriate assets to investigate any threat to security. The C-130J participates in maritime interdiction operations, provides outer-harbor security, conducts search and rescue, and other operations in support of PWCS.

NATIONAL DEFENSE – The C-130J plays a limited role in current National Defense Missions but can provide support through surveillance and transport roles in the following areas:

U. S. Coast Guard - FY 2011 Congressional Justification

HC-130J Fleet Introduction

\$4,000

- Port Operations, Security, and Defense (POSD)
- General Defense Operations (GDO)
- Peacetime Military Engagement (PME)
- Maritime Intercept Operations (MIO)
- Environmental Defense Operations (EDO)

COST ESTIMATE OF WORK TO BE FUNDED IN FISCAL YEAR 2011:

ITEM	QUANTITY	TOTAL (\$K)
C-130J Fleet Introduction	Lot	\$4,000
FUNDING HISTORY	FY	TOTAL (\$K)
C-130J Missionization (of previously procured aircraft)	2004	\$ 60,000
C-130J Missionization	2005	\$ 59,050
C-130J Fleet Introduction	2007	\$ 13,950
C-130J Fleet Introduction	2008	\$ 5,800
C-130J Fleet Introduction	2009	\$ 13,250
C-130J Fleet Introduction	2010	\$ 1,300
	Total:	\$153,350

Funding history is the available funding for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR

TBD

Type of Contract: Firm-Fixed-Price

SUBCONTRACTORS

Aircraft	Lockheed Martin Aero, Marietta, GA
Engines	Rolls Royce (Allison), Indianapolis, IN
Avionics/Systems	Lockheed Martin, Eagan, MN
Radar	Elta/EDO, Israeli Aircraft Industries
FLIR/EO	FLIR Systems, Portland, OR

KEY EVENT

	FY
Definitized Contract signed for C-130J Missionization	2005
Preliminary Design Review	2006
Critical Design Review	2006
First Aircraft Enters Modification	2007
Aircraft 1 through 3 Delivered	2008
Aircraft 1 through 3 Operational Deployments	2009
Aircraft 5 and 6 Enter Modification	2009
Aircraft 4 Delivered	2009
Aircraft 4 Operational Deployments	2009

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HC-130J Fleet Introduction **\$4,000**

Aircraft 5 and 6 Delivered	2010
Aircraft 5 and 6 Operational Deployments	2010

Significant Changes

No significant changes. FY 2011 funding reflects anticipated procurement schedule.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total
	Design Work		Project Work		Estimate
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	<u>Cost</u>
FY 2010					
FY2010 HC-130J Upgrade Project			FY05:Q1	FY10:Q4	1,300
FY 2011					
FY2011 HC-130J Upgrade Project			FY05:Q1	FY11:Q4	4,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	138,800	13,250	1,300	4,000	157,350
Obligation	138,014	14,036	1,300	4,000	157,350
Expenditure	138,014	9,658	4,499	1,549	153,720
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	138,014	9,658	4,499	1,549	153,720

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Logistics Support	4,000
FY 2011 Cost Estimate Project Total:	4,000

Method of Performance

An Earned Value Management System (EVMS) is used for the system integrator contract work under each of the various Delivery Task Orders (DTOs). The Dekker Trakker software program that meets ANSI/EIA Standard 748 is being used. Dekker Trakker is the tool that is used by the Systems Integrator to resource load schedules, track progress and record expenses. An additional Earned Value viewing tool also being used is Dekker iPursuit which allows personnel to see monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data used to generate the Cost Performance Reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

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HC-130J Fleet Introduction

\$4,000

Budget Allocation to Mission-Program

U. S. Coast Guard Mission-Program	Budget Allocation	
	FY 2010	FY 2011
Search and Rescue	321	1,002
Marine Safety	35	109
Aids to Navigation	45	140
Ice Operations	-	-
Marine Environmental Protection	13	40
Living Marine Resources	130	408
Drug Interdiction	446	1,333
Migrant Interdiction	107	334
Other Law Enforcement	75	234
Ports, Waterways & Coastal Security	119	373
Defense Readiness	9	27
Mission-Program Allocation Total:	1,300	4,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

National Security Cutter (NSC)

\$538,002

Project Description, Justification and Scope

This request funds contract award for NSC #5. The Legend Class NSCs will replace the fleet of 378' High Endurance Cutters (WHEC), which are operating beyond their economic service life and are increasingly more expensive to maintain. The NSC will provide enhanced capability that is essential for prosecuting missions in today's threat environment.

CAPABILITY ACQUIRED/MAINTAINED:

The NSC is a critical surface component of the Coast Guard's asset recapitalization that will be capable of an extended on-scene presence, long transits and forward deployment. It will be equipped with communication, navigation and surveillance systems that allow the cutter and its deployed air and boat assets to operate worldwide within the range of its performance parameters, and conduct a daily search of potentially 56,000 square miles of ocean in support of all Congressionally-mandated missions.

The NSC is the largest of the new surface assets (418' length overall) with vastly improved capabilities over the legacy 378' High Endurance Cutter, and will be the most sophisticated and capable cutter the Coast Guard has ever operated. It will have a range of approximately 12,000 nautical miles (NM) and an underway endurance of 60 days. The cutter will be capable of patrolling alone or with multiple U.S. Coast Guard vessels, U.S. Navy vessels, or vessels from other nations' navies or coast guards.

The NSC will conduct patrols on the high seas and coastal approaches employing a robust command and control capability for the task unit commander or on-scene commander. The cutter will be capable of performing all maritime DHS missions, defense operations with the U.S. Navy, such as Ports, Waterways and Coastal Security, as well as maritime intercept operations, port operations, security and defense operations, and peacetime military engagements. When engaged in these missions, the NSC will be capable of detecting, classifying, and tracking surface Targets of Interest (TOI) in sizes ranging from makeshift rafts to large commercial vessels, and air TOIs as small as single-engine civil aircraft.

The NSC's capabilities include the ability to:

- Provide anti-terrorism/force protection;
- Carry and deploy multiple airframes;
- Carry and deploy multiple Short Range Prosecutor (SRP) and Long Range Interceptor (LRI) cutter boats;
- Conduct boat and flight operations in higher sea states due to improved sea-keeping capability;
- Support the full range of Coast Guard missions and intelligence element operations through greatly improved intelligence gathering and C4ISR capabilities, including use of a Sensitive Compartmented Information Facility (SCIF), all of which enhance the NSC's self-defense capabilities and facilitate operations with networked DHS, DoD, and national assets;
- Maintain presence and perform limited command and control operations in contaminated environments for up to 36 hours;
- Operate with U.S. Navy battle groups with a maximum sustained speed of 28 knots.

National Security Cutter (NSC)

\$538,002

PERFORMANCE:

The NSC is a major contributor to overall Coast Guard performance, particularly when operating at the hub of a cutter/small boat/aircraft force package. NSC intelligence collection, analysis and dissemination, and C4ISR capabilities improve system responsiveness and help to prevent security incidents from developing. NSCs will serve as the hub of multi-unit, multi-mission operations and will be essential to achieving mission success in the following Congressionally-mandated missions:

MARITIME SAFETY:

- Search and Rescue (SAR) – The NSC will permit the search for and location of mariners in distress, enabling their recovery from positions of peril; provision of medical advice, assistance, or evacuation; and when necessary, provide them safe transport to shore-side locations. The NSC will also be able to support recovery or control of damage to distressed vessels and other property by controlling or terminating flooding, fighting fires, dewatering, providing mechanical assistance, and towing stricken vessels. The NSC will have stern ramps and a side davit to rapidly launch and retrieve small boats. The NSC will have a Rescue Access Station to embark and load a non-stern ramp capable boat, to deploy a rescue swimmer, and to pick survivors from the water. With a sustained presence, the NSC can also serve as a platform for an on-scene commander guiding and assisting rotary wing assets.

MARITIME LAW ENFORCEMENT:

- Undocumented Migrant Interdiction Operations – The NSC C4ISR suite will be employed to provide surveillance, detection, classification, and identification in the undocumented migrant interdiction mission. Through sustained on-scene presence, the NSC will also have the capability of prosecuting TOI, including interdiction, embarkation, and disembarkation, as well as allowing for rescue of a large number of people when an unseaworthy or overloaded craft sinks or capsizes. These rescue situations require the ability to retain persons onboard (sheltering, feeding, and providing basic sanitation and medical services; as well as administrative processing and ensuring security for all concerned).

- Illegal Drug Interdiction (DRUG) – The same sensors and communications equipment that will support undocumented migrant interdiction operations will also be used for the DRUG mission. Through effective use of the Common Operating Picture (COP), Multi-mission Cutter Helicopter (MCH) aircraft, and the Long Range Interceptor (LRI)/small boats, the NSC will be able to intercept and prosecute suspect vessels.

- Other Law Enforcement (OLE) – The NSC will conduct proactive patrols as well as reactive response to intelligence information, using all sensors and communications equipment to fulfill this mission. Sharing information and data through the use of the Command and Control (C2) system and the COP will result in increased maritime domain awareness. The NSC will have both active and passive sensors to detect and track vessels or aircraft engaged in, or suspected of, illegal activities. It will identify, classify and sort TOIs. After interdicting suspicious vessels, it will enable at-sea boardings and performance of custodial functions associated with seizing vessels or making at-sea arrests.

- Foreign Vessel Inspection – The NSC will conduct surveillance of all operating areas. The installed Automatic Identification System (AIS) will permit rapid identification of foreign vessels, allowing the NSC to inspect foreign vessels at sea for compliance with applicable marine safety requirements and regulators.

National Security Cutter (NSC)

\$538,002

PROTECTION OF NATURAL RESOURCES:

- Marine Environmental Protection (MEP) – Maritime Pollution Enforcement and Response – The NSC will be able to detect maritime pollution in the U.S. Exclusive Economic Zone (EEZ), based on verification of the type of material in the water, evidence gathering, and documentation. It will allow response to 29 CFR 1910.120 Hazardous Material accidents. Additionally, the NSC will conduct surveillance operations to detect significant discharges of oil or hazardous substances for subsequent monitoring, mitigation, and removal actions. The COP will provide the capability to navigate to previously marked pollution areas and update them based on current C4ISR and visual indications.
- Lightering Zone Enforcement (LZE) – The NSC will survey maritime petroleum cargo lightering zones and lightering operations, enabling the conduct of boardings to enforce applicable lightering regulations.
- Living Marine Resources Enforcement (LMR) – The NSC will aid enforcement of laws and treaties pertaining to LMR, including fisheries and marine mammal protection. The cutter will be able to provide sustained presence throughout the U.S. EEZ and along its boundary, as well as in international maritime areas of interest to the U.S. It will allow for at-sea boardings and inspections to deter illegal or unauthorized LMR activity to document violations and, if directed, arrest and seize vessels engaged in LMR violations. The NSC will also be equipped with AIS to monitor surface vessels that will provide a ship's name, position, course, and speed, and facilitate the job of vessel identification.

NATIONAL DEFENSE:

- Defense Readiness – The NSC's defense and security-related capabilities and long range and endurance makes it particularly well-suited for deployments overseas and in regions where it can disrupt security incidents well before they threaten U.S. coastlines.
 - Port Operations, Security, and Defense (POSD) – The NSC will enable the conduct of thorough and sustained surveillance of an assigned area of operations, allowing dispatch of appropriate assets to investigate any threat to security. The NSC will engage in maritime interdiction operations, provide outer-harbor security, escort high-value assets, and conduct SAR and other operations in support of the POSD mission. The primary objective is to ensure that port and harbor areas are maintained free of threats and to support re-supply of other deployed forces. The protection of logistics in support of contingency operations is one of the NSC's highest priorities.
 - General Defense Operations (GDO) – The NSC will integrate with the DoD over the full range of maritime operations including surveillance, visit, board, search, seize and unit defense. It will be capable of operating worldwide with sustained presence resulting from its capability for underway replenishment, including Aircraft Vertical Replenishment. The cutter will provide hard-kill of subsonic anti-ship cruise missiles with Close-in-Weapon-Systems, and soft-kill capability, reduced radar cross-section, reduced infrared signature, and electronic sensor capability. The NSC will employ the 57 mm gun weapons system with optical and infrared fire control to achieve mission kill on high-speed patrol craft beyond intermediate caliber effective range. The NSC will be able to provide berthing and logistics support for additional personnel deployed for defense operations. The NSC will also have the ability to maintain station for an aircraft carrier conducting flight operations and to take station on, maneuver around, and escort commercial shipping steaming at

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National Security Cutter (NSC)

\$538,002

operational speed. The cutter will have the ability to launch, recover and fuel U.S. Navy and NATO Vertical Take-Off and Landing (VTOL) aircraft, including armed helicopters.

- Peacetime Military Engagement (PME) – The NSC will be able to maintain forward presence, render humanitarian assistance, conduct professional exchanges, and participate in combined operations, training, exercises and other military or diplomatic activities. The PME mission may involve long transits and extended operations with deployments of two to four months, for which the NSC will be well-suited.
- Maritime Intercept Operations (MIO) – The NSC will conduct thorough and sustained surveillance of an assigned area of responsibility and detect and intercept all shipping, operating either independently or integrated with DoD and other agency assets. Additionally, the cutter will be able to dispatch trained boarding or inspection teams, providing for their logistics, support, transportation and protection.
- Environmental Defense Operations (EDO) – The NSC will be able to detect potential threats to the physical environment and investigate those threats. The cutter will conduct operations to mitigate known environmental harm and intercept persons suspected of causing such harm, including mitigation of environmental exploitation designed to disrupt defense operations.

COST ESTIMATE OF WORK TO BE FUNDED IN FISCAL YEAR 2011:

ITEM	QUANTITY	TOTAL (\$K)
NSC #5 Production	1	\$538,002
	Total	\$538,002

FUNDING HISTORY:

	FY	TOTAL
Conceptual Development/Design	2002	\$7,869
Detailed Design and NSC #1 LLTM	2003	\$136,937
NSC #1 Production	2004	\$204,093
NSC #2 Production and LLTM	2005	\$264,100
NSC #3 Production and LLTM	2006	\$489,054
Consolidated Contracting Action NSC 1-3 ¹	2007	\$386,299
NSC #4 LLTM ¹	2007	\$24,100
NSC #4 LLTM ²	2008	\$72,500
NSC #3-4 GFE, Certifications, and Logistics ²	2008	\$93,470

¹ Funding History for FY 2007 reflects changes from the Consolidated Contracting Action.

² Funding History for FY 2008 reflects changes from the Consolidated Contracting Action.

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National Security Cutter (NSC) \$538,002

NSC #1-3 Completion ³	2009	\$159,100
NSC #4 Production ³	2009	\$196,900
NSC #1-2 Structural Retrofit Planning/Analysis ³	2009	\$7,100
NSC #4 Production	2010	\$281,480
NSC #5 LLTM	2010	\$108,000
	Total	\$2,431,002

Funding history is the available funding for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR:

Northrop Grumman Shipbuilding, Pascagoula, MS

Type of Contract: Production: Fixed Price Incentive (Firm Target)

Type of Contract: Long-lead time material: Firm Fixed Price

Contract options: None.

SUBCONTRACTORS:

Lockheed Martin Company Moorestown, NJ (Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance systems)

KEY EVENT	FY
Preliminary/Contract Design	2003
Detail Design	2003
Start Construction, Lead Cutter	2004
Start Construction, NSC #2	2006
Start Construction, NSC #3 ⁴	2008
Delivery, NSC #2	2009
Start Construction, NSC #4	2010
Start Construction, NSC #5	2011
Initial Operating Capability (IOC) for NSC #2	2011
Delivery, NSC #3	2011

Significant Changes

No significant change. FY 2011 funding reflects anticipated procurement schedule.

³ Funding History for FY 2009 reflects \$9.4M included for, "necessary expenses related to the consequences of 2008 natural disasters," per P.L. 110-329.

⁴ NSC #3 was awarded in 4th quarter FY 2007; however, design work to incorporate structural changes to address fatigue life concerns was accomplished prior to the actual start of production in FY2008.

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National Security Cutter (NSC)

\$538,002

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				<u>Total Estimate Cost</u>
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2010					
NSC #4 Production	FY02:Q4	FY04:Q1	FY04:Q3	FY14:Q4	281,480
NSC #5 LLTM	FY02:Q4	FY04:Q1	FY04:Q3	FY14:Q4	108,000
FY 2011					
NSC #5 Production	FY02:Q4	FY04:Q1	FY04:Q3	FY15:Q4	538,002

Schedule of Project Funding

	Project Funds				<u>Total</u>
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	1,678,422	363,100	389,480	538,002	2,969,004
Obligation	1,675,000	307,000	311,584	527,886	2,821,470
Expenditure	1,605,000	288,580	222,003	263,943	2,379,526
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	1,460,194	288,580	222,003	263,943	2,234,720
Survey, Design & Engineering	144,806				144,806

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
NSC #5 Production	538,002
FY 2011 Cost Estimate Project Total:	538,002

Method of Performance

An Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly cost performance reports. The iPursuit program also allows for extensive insight into the data used to generate cost performance reports. For example, it can provide a breakdown of cost and schedule variances by work breakdown structure (WBS).

U. S. Coast Guard - FY 2011 Congressional Justification

National Security Cutter (NSC)

\$538,002

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	16,757	23,148
Marine Safety	-	-
Aids to Navigation	-	-
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	89,372	123,453
Drug Interdiction	170,112	234,981
Migrant Interdiction	23,359	32,266
Other Law Enforcement	30,468	42,086
Ports, Waterways & Coastal Security	10,156	14,029
Defense Readiness	49,256	68,039
Mission-Program Allocation Total:	389,480	538,002

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Offshore Patrol Cutter (OPC)

\$45,000

Project Description, Justification and Scope

This request supports continued initial acquisition work for the Offshore Patrol Cutter (OPC) to replace the Coast Guard's in-service Medium Endurance Cutter (WMEC) fleet. Funding will permit pre-acquisition activity, to include: awarding Preliminary Contract Designs (PCD) and conducting evaluations, completing request for proposals, commencing proposal evaluations, and completing various trade-off, requirements validation, life-cycle cost, facilities, and training studies. The concept/preliminary designs will be solicited from industry, allowing the Coast Guard to reach DHS Acquisition Decision Event (ADE)-2A (Analyze/Select Phase) during early FY 2011 to support ship production as soon as possible thereafter.

The OPC will be procured using guidance from the Coast Guard's Major Systems Acquisition Manual. Under this process, the OPC reached DHS ADE-0 (Project Authorization Phase) in January 2008 and has entered the Need Phase. Appropriations through FY2010 are being used to fund the following activities: preparation of the Concept of Operations (CONOPS), Operational Requirements Document (ORD), Project Management Plan (PMP), Acquisition Plan (AP), Integrated Logistics System (ILS) Plan, Technology Plan, requirements validation, and initiation of an Alternatives Analysis. This work will define and validate required OPC capabilities, ascertain if they are achievable, and begin to examine alternative solutions for the OPC design. A recommended method of acquisition will also be developed, followed by a clear and rigorous plan to manage the project.

CAPABILITY ACQUIRED/MAINTAINED:

The OPC is the second largest cutter the Coast Guard will acquire to recapitalize its surface fleet and will conduct Coast Guard missions on the high seas and coastal approaches. The OPC will eventually replace and enhance the current capability of the Coast Guard Medium Endurance Cutter (WMEC) fleet. The OPC will provide a robust command and control capability for duties as Commander Task Unit (CTU) and On-Scene Commander (OSC), through a Command, Control, Communications, Computers, Intelligence, Surveillance and Reconnaissance (C4ISR) suite, while also meeting homeland security mission requirements in place since 9/11. Capabilities and improvements may include:

- Enhanced sea-keeping to permit flight and small boat operations in higher sea states than currently possible with the existing MECs
- Flight support for multiple airframes and accommodations for all variants of DHS and DoD HH-60 helicopters to provide enhanced interoperability with interagency and inter-service counter-terrorism teams
- Advanced communications to facilitate interoperability with DHS, State and local responders as well as DoD and international partners
- Over-the-Horizon (OTH) cutter boat deployment to expand the cutter's ability to carry-out law enforcement boardings and migrant and drug interdictions on the high seas
- Intelligence collection and information sharing equipment
- Full integration with the National Distress Response System modernization program, known as Rescue 21, to provide port commanders with both real-time tracking of the OPC and seamless Common Operational Picture (COP)-Maritime Domain Awareness (MDA) data-sharing, including the Automatic Identification System (AIS).

Offshore Patrol Cutter (OPC)

\$45,000

- Integrated weapons, including a medium caliber deck gun, and command and control suites to enhance law enforcement and homeland security missions.

PERFORMANCE:

The OPC will be a major contributor to overall Coast Guard performance, particularly when operating as the nucleus of a cutter/small boat/aircraft force package. Intelligence collection, analysis and dissemination, and C4ISR capabilities will improve system responsiveness and help to prevent and mitigate security threats. As a multi-mission platform, the OPC will be able to perform all required missions, capable of steaming long transit distances and maintaining an extended on-scene presence, due to an integrated logistics system. These characteristics are well-suited for maritime homeland security roles as well as for performing the full spectrum of law enforcement missions (living marine resources, drug interdiction, and migrant interdiction) and search and rescue operations.

The use of well-equipped aircraft and small boats coupled with increased cutter speed will allow greater capacity for intercept and prosecuting more Targets of Interest (TOI). The OPC's operational capabilities, long range, and endurance make them particularly suited for deployments to remote regions and approaches to the U.S. coastlines, such as the eastern Pacific, Gulf of Alaska, Caribbean Sea and North Atlantic, where they can prevent security incidents and perform Coast Guard missions.

MARITIME SAFETY:

- Search and Rescue (SAR) – The OPC will be able to search for and locate distressed mariners and recover them from positions of peril, provide medical advice, assistance, or evacuation, and when necessary, provide subjects safe transport to shore side locations. The OPC will also be able to support recovery or control of damage to distressed vessels and other property by controlling or terminating flooding, fighting fires, dewatering, providing mechanical assistance, and towing stricken vessels. The OPC will have a stern ramp to rapidly launch and retrieve small boats. With a sustained presence, the OPC can also serve as an OSC platform, guiding and assisting rotary wing assets.

MARITIME SECURITY:

- Undocumented Migrant Interdiction (MIO) – The OPC C4ISR suite will be employed to provide surveillance, detection, classification, and identification in the undocumented MIO mission. Through a sustained on-scene presence, the OPC will also have the capability of prosecuting TOI, including interdiction, embarkation, and disembarkation, and rescuing a large number of people when an unseaworthy or overloaded craft sinks or capsizes. These rescue situations require administrative processing and the ability to retain persons onboard (sheltering, feeding, and to provide basic sanitation and medical services, as well as security for all concerned).

- Illegal Drug Interdiction (DRUG) – The same sensors and communications equipment that will support undocumented MIO will also be used for the DRUG mission. Through effective use of the COP, MCH aircraft, and the LRI/small boats, the OPC will be able to intercept and prosecute suspect vessels.

- Other Law Enforcement (OLE) – The OPC will conduct proactive patrols and respond to intelligence information, using all sensors and communications equipment to fulfill this mission. Sharing information and data through the use of the C2 system and the COP will result in increased MDA. The OPC will have both active and passive sensors to detect and track vessels or aircraft engaged in, or

Offshore Patrol Cutter (OPC)

\$45,000

suspected of, illegal activities. It will identify, classify and sort TOIs. After interdicting suspicious vessels, it will permit at-sea boardings and ease performance of custodial functions associated with seizing vessels or making at-sea arrests.

PROTECTION OF NATURAL RESOURCES:

• Marine Environmental Protection (MEP) – Maritime Pollution Enforcement and Response – The OPC will be able to detect maritime pollution in the U.S. Exclusive Economic Zone (EEZ), based on verification of the type of material in the water, evidence gathering, and documentation. It will enable response to 29 CFR 1910.120 Hazardous Material accidents. Additionally, the OPC will conduct surveillance operations to detect significant discharges of oil or hazardous substances for subsequent monitoring, mitigation, and removal actions. The COP will provide the capability to navigate to previously-marked pollution areas and update them based on current C4ISR and visual indications.

• MEP – Lightering Zone Enforcement (LZE) – The OPC sensors will survey maritime petroleum cargo lightering zones and lightering operations, enabling boardings to enforce applicable lightering regulations.

• Living Marine Resources Enforcement (LMR) – The OPC will enable enforcement of laws and treaties pertaining to LMR, including fisheries and marine mammal protection. The cutter will be able to provide sustained presence throughout the U.S. EEZ and along its boundary, as well as in international areas of interest to the U.S. Through at-sea boardings and inspections OPC crews will deter illegal or unauthorized LMR activity, document violations, and provide the capability to arrest and seize vessels engaged in LMR violations. The OPC will also be equipped with AIS to monitor surface vessels. The information will provide a ship’s name, position, course and speed, and will make the job of vessel identification easier.

NATIONAL DEFENSE:

• Defense Readiness – The OPC is anticipated to play a significant role in current national defense missions including:

- Port Operations, Security, and Defense (POSD)
- General Defense Operations (GDO)
- Peacetime Military Engagement (PME)
- Maritime Intercept Operations (MIO)
- Environmental Defense Operations (EDO)

COST ESTIMATE OF WORK TO BE FUNDED IN FISCAL YEAR 2011:

ITEM	QUANTITY	TOTAL (\$K)
Preliminary & Contract Design	1	\$36,000
Program Management Support	1	\$4,000
Trade-Off Studies	1	\$1,000
Requirements Validation Studies	1	\$1,000
Life-Cycle Cost Analysis	1	\$1,000
Facilities Analysis	1	\$1,000
Training Studies	1	\$1,000
Total		\$45,000

U. S. Coast Guard - FY 2011 Congressional Justification

Offshore Patrol Cutter (OPC)

\$45,000

FUNDING HISTORY:

	FY	TOTAL (\$K)
Preliminary alternative and requirement development	2004	\$15,558
Requirement and concept refinement	2005	\$1,788
Continuing design development (stop-work issued)	2006	\$10,039
Requirements Analysis, initial Concept/Preliminary Design	2009	\$3,003
Milestone 2 Preparation & Completion	2010	\$9,800
	Total	\$40,188

Funding history shows available funding for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR: TBD

SUBCONTRACTORS: TBD

KEY EVENTS:

	FY
Release of Concept/Preliminary Design Request for Proposal	2010
Award Concept/Preliminary Design contracts	2011
Preliminary Design Review	2011
Award Detail Design	2012

Significant Changes

The increased funds reflect the increase in pre-acquisition activities in accordance with the OPC acquisition plans.

U. S. Coast Guard - FY 2011 Congressional Justification

Offshore Patrol Cutter (OPC)

\$45,000

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				<u>Total Estimate Cost</u>
	<u>Design Work</u>		<u>Project Work</u>		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2010					
Program Management/Technical Support	FY10:Q1	FY10:Q4			3,051
Life Cycle Cost Estimating Update	FY10:Q1	FY10:Q4			400
Engineering Studies	FY10:Q1	FY10:Q4			3,250
RFP and Proposal Prep/Evaluation	FY10:Q1	FY10:Q4			1,760
Logistics/Maintenance Studies	FY10:Q1	FY10:Q4			750
Operational/Training Studies	FY10:Q1	FY10:Q4			589
FY 2011					
Preliminary & Contract Design 3 Team	FY11:Q2	FY12:Q3			36,000
Program Management Support 15-18 FTEs	FY11:Q1	FY11:Q4			4,000
Trade Off Studies	FY11:Q1	FY11:Q4			1,000
Requirements Validation Studies	FY11:Q1	FY11:Q4			1,000
Life-Cycle Cost Analysis	FY11:Q1	FY11:Q4			1,000
Facilities Analysis	FY11:Q1	FY11:Q4			1,000
Training Studies	FY11:Q1	FY11:Q4			1,000

Schedule of Project Funding

	Project Funds				<u>Total</u>
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	27,385	3,003	9,800	45,000	85,188
Obligation	24,986	5,336	9,800	45,000	85,122
Expenditure	21,129	9,193	9,800	45,000	85,122
<u>Breakdown of Project Expenditures</u>					
Survey, Design & Engineering	21,129	9,193	9,800	45,000	85,122

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Preliminary & Contract Design 3 Team Support	36,000
Program Management Support 15-18 FTEs	4,000
Trade Off Studies	1,000
Requirements Validation Studies	1,000
Life-Cycle Cost Analysis	1,000
Facilities Analysis	1,000
Training Studies	1,000
FY 2011 Cost Estimate Project Total:	45,000

Offshore Patrol Cutter (OPC)

\$45,000

Method of Performance

The project uses an Earned Value Management System (EVMS) to track contract work under contracted Task Orders. Specifically, the project use an EVMS software program, which meets ANSI/EIA Standard 748, to monitor progress, resource loads/schedules and record expenses. In addition, the project uses Dekker iPursuit to view monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data used to generate Cost Performance reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	169	726
Marine Safety	4	21
Aids to Navigation	2	8
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	2,116	10,077
Drug Interdiction	3,873	16,898
Migrant Interdiction	2,753	13,464
Other Law Enforcement	9	43
Ports, Waterways & Coastal Security	393	1,579
Defense Readiness	481	2,184
Mission-Program Allocation Total:	9,800	45,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act.

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Fast Response Cutter (FRC)

\$240,000

Project Description, Justification and Scope

This request funds option period 3, production of FRC hulls #9 - #12, associated contract line items, insurance spares and project management costs. Continued acquisition of the Sentinel Class Patrol Boat is imperative to replacing the aging 110-foot patrol boat fleet and filling the critical patrol boat mission hour gap. The acquisition strategy is structured with annual options for procurement of four or six cutters. The schedule provides for the lead cutter delivery in FY 2011.

CAPABILITY ACQUIRED/MAINTAINED:

Patrol boats are a critical Coast Guard response and prosecution asset for all mission areas, and are an integral component to our suite of capabilities. The FRC will provide valuable new capabilities not found on the legacy 110' WPB, including an enhanced command, control, communications, intelligence, surveillance and reconnaissance (C4ISR) suite, and an improved quality of life. The FRC will also have enhanced maritime security capabilities that will support homeland security and homeland defense missions. The FRC will be capable of reaching speeds of approximately 28 knots, providing enhanced response and reaction capability. The FRC will also have critical DHS and DOD communications interoperability improvements, including Military Satellite Communications (MILSATCOM), and local first responder-interoperable radio communications. Where increased weapons capability and deterrence are required, the main gun of the FRC will be used to enhance mission execution.

PERFORMANCE:

The FRC sustains a critical part of Coast Guard missions and will be a maritime security workhorse, patrolling in both coastal and high seas areas. Improved interoperability, C4ISR, common operating picture (COP), and sensors enhance surveillance and identification performance over existing capabilities of the legacy 110' patrol boat. With its high readiness, speed, adaptability, and endurance, the FRC will respond quickly and effectively to emerging security and safety issues, essential to achieving mission success in the following Congressionally-mandated missions:

MARITIME SAFETY:

- Search and Rescue (SAR) – The FRC will provide the ability to search for and locate distressed mariners and recover them from positions of peril, provide medical assistance or evacuation, and provide safe transport. The FRC will provide the ability to control damage to distressed vessels and other property, provide dewatering equipment and mechanical assistance, and tow stricken vessels. The FRC will allow commanders to integrate, coordinate and assist a large number of SAR assets during surge events during weather anomalies (such as hurricanes or gale-force winds), ocean liner rescue operations, and downed airline rescue operations.

MARITIME SECURITY:

- Undocumented Migrant Interdiction (MIO) – The FRC will provide the ability to conduct shipboard migrant interdiction evolutions, including detection, tracking, interdiction, embarkation and disembarkation, rescue administrative processing, and retention onboard. Targets include slow-moving rafts, small sailing vessels, small sport fishing vessels, high-speed, “go fast” type vessels, and small motor freighters attempting to make the voyage to the United States, Puerto Rico, or other U.S. territories. The FRC will be capable of patrolling areas where suspected illegal migration may occur,

Fast Response Cutter (FRC)

\$240,000

dispatching boarding teams to suspect vessels and subsequently escorting them to their final disposition. When conducting interdiction operations, both proactive and reactive, the FRC will be capable of a sustained presence and have the capability to rescue and shelter a large number of people in the event that the typical unseaworthy or overloaded craft sinks or capsizes during the attempted voyage. The FRC will be capable of embarking a large number of migrants for at least one day, providing physical security, food, water, sanitation, basic medical services, shelter (separate from the ship's crew), and enable administrative processing.

- **Illegal Drug Interdiction (DRUG)** – The FRC will have the capability to conduct illegal drug interdiction, including surveillance, visible deterrence in areas where the possibility of contraband smuggling exists, response to intelligence information and known incidents of drug smuggling, and the ability to dispatch a boarding team. The cutter will be able to intercept and take possession of contraband and the smuggling vessel, allowing the crew to arrest, detain, and transport suspects for further transfer ashore. The FRC will possess the capability for integration and interoperability in communications, speed, sensors, and endurance with DOD and other government agencies. The cutter will have an approximate 28 knot speed capability for rapid interdiction of suspected targets of interest, and be equipped with a deck-mounted gun and small arms.

- **Other Law Enforcement (OLE)** – The FRC will provide enforcement of laws additional to those inherent in the primary mission areas of migrant interdiction, illegal drug interdiction, environmental defense, lightering zone enforcement, living marine resources enforcement and maritime pollution enforcement. This capability will include proactive patrols as well as reactive response to intelligence information. The sensors will be effective both day and night, and in all weather and sea conditions. The FRC will provide the capability to conduct at-sea boardings and, if necessary, taking possession of a suspect vessel and escorting or towing it to port. The cutter will have an integrated architecture of surveillance sensors, operational databases, decision support systems, and communication equipment to collect, process, and disseminate operational information to other Coast Guard units, as well as other agencies in a timely manner.

- **Protecting the U.S. Exclusive Economic Zone (EEZ) from foreign encroachment** – The FRC will have the capability of conducting surveillance of foreign vessels in operating areas and the ability to conduct at-sea boardings.

PROTECTION OF NATURAL RESOURCES:

- **Marine Environmental Protection (MEP) – Maritime Pollution Enforcement and Response** – The FRC will be capable of conducting surveillance and inspection operations to detect significant discharges of oil, hazardous substances, debris, and ballast water for subsequent monitoring, mitigation, and removal actions in the U.S. EEZ. These operations involve verification of type of material in the water, evidence gathering and documentation, and are limited to visual determination of the type of pollutant, thickness, and extent, day or night and in moderate weather conditions.

- **Lightering Zone Enforcement (LZE)** – The FRC will have the capability to survey lightering zones and lightering operations and conduct boardings as necessary.

- **Living Marine Resources (LMR)** – The FRC will enable enforcement of laws and treaties pertaining to LMR, including fisheries and marine mammal protection. The FRC will have the capability of a

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Fast Response Cutter (FRC)

\$240,000

sustained presence within the U.S. EEZ, enabling at-sea boardings and inspections to deter illegal or unauthorized activity by documenting violations. The FRC may take possession of a suspect vessel and then escort or tow it to port, allowing the crew to arrest, detain, and transport suspects for further transfer ashore.

NATIONAL DEFENSE:

• Defense Readiness – The FRC will be designed to provide support to the DOD in a variety of roles and missions. The FRC will have the capability to integrate with the DOD in the full range of maritime operations, including surveillance, visit, board, search, seize, and unit defense. The FRC will conduct national defense maritime operations worldwide in low threat environments.

FRC support for national defense missions will be provided through the following six mission areas:

- Ports, Waterways and Coastal Security (PWCS)
- General Defense Operations (GDO)
- Maritime Interception Operations (MIO)
- Coastal Sea Control Operations (CSCO)
- Military Environmental Response Operations (MERO)
- Theatre Security Cooperation (TSC)

Representative activities that the FRC will be able to conduct in support of national defense include:

- Limited military sealift and commercial shipping escort
- Limited combat search and rescue
- Surveillance and interdiction
- Visit, board, search and seizure
- Force protection of military shipping at U.S. seaports of embarkation and overseas ports of debarkation
- Domestic port security and coastal defense, providing part of the overall capability for the defense of the U.S. homeland
- Other duties as may be assigned; e.g., coastal/riverine interdiction, Special Operations Forces (SOF) insertion/support.

COST ESTIMATE OF WORK TO BE FUNDED IN FISCAL YEAR 2011:

ITEM	QUANTITY	TOTAL (\$K)
Contract Option 3 - FRC hulls #9-12(construction)	4	\$154,000
Associated CLINs, Insurance spares & program costs		\$86,000
	Total	\$240,000

FUNDING HISTORY:

	FY	TOTAL (\$K)
Base contract option (lead plus design & contract line items)	2007 & Prior	\$152,248
Option period 1 (hulls #2-4) plus associated CLINs	2009	\$115,300
Insurance spares and program management costs		
Option period 2 (hulls 5-8) plus associated CLINs	2010	\$243,000
Insurance spares and program management costs		
	Total	\$510,548

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Fast Response Cutter (FRC)

\$240,000

CONTRACTOR: Bollinger Shipyards Inc.

Type of Contract: Firm-fixed Price – Economic Price Adjustment

KEY EVENTS	FY
Contract Award	2008
Critical Design Review	2009
Start Production	2009
Lead Ship Delivery	2011

Significant Changes

No significant change. FY 2011 funding reflects anticipated procurement schedule.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total
	Design Work		Project Work		Estimate
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	<u>Cost</u>
FY 2010					
Funds option period 2, hulls 5 - 8 and			FY10:Q3	FY12:Q2	243,000
FY 2011					
Option period 3, hulls 9-12 construction			FY11:Q2	FY13:Q2	154,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	152,248	115,300	243,000	240,000	750,548
Obligation	94,465	17,382	398,701	240,000	750,548
Expenditure	2,808	24,444	80,036	131,416	238,704
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition		8,820	51,538	101,848	162,206
Project Management	2,808	15,624	28,498	29,568	76,498

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Option period 3 hulls 9 - 12 construction CLIN	154,000
Associated CLINs, Insurance Spares and programmatic costs	86,000
FY 2011 Cost Estimate Project Total:	240,000

Method of Performance

This contract is a firm-fixed price with EPA contract that has a set delivery schedule.

U. S. Coast Guard - FY 2011 Congressional Justification

Fast Response Cutter (FRC)

\$240,000

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	7,749	7,490
Marine Safety	4,400	4,595
Aids to Navigation	288	301
Ice Operations	-	-
Marine Environmental Protection	58	60
Living Marine Resources	43,441	45,360
Drug Interdiction	36,903	27,205
Migrant Interdiction	106,279	110,974
Other Law Enforcement	2,304	2,406
Ports, Waterways & Coastal Security	33,879	33,671
Defense Readiness	7,699	7,938
Mission-Program Allocation Total:	243,000	240,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being completed in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)**

Cutter Small Boats

\$3,000

Project Description, Justification and Scope

This request continues to fund the production of the small boats that will be fielded on the surface assets being acquired through Coast Guard recapitalization. Funding will acquire one Long Range Interceptor (LRI #4) and one Short Range Prosecutor (SRP #11).



CAPABILITY ACQUIRED/MAINTAINED:

The LRI is a 36-foot cutter small boat carried by each National Security Cutter (NSC) and Offshore Patrol Cutter (OPC). The LRI provides enhanced capabilities, compared to the legacy cutter boats, such as higher speeds, extended range, better sea-keeping, and greatly improved communications and connectivity to the parent cutter. The LRI can operate beyond sight of the cutter (over the horizon) to deploy boarding parties, pursue and interdict targets of interest, and perform Search and Rescue operations.

The SRP is a 25-foot cutter small boat that also provides enhanced capabilities compared to legacy cutter small boats. The SRP will be carried by the NSC, the OPC, and potentially the Fast Response Cutter (FRC) surface platforms.

PERFORMANCE:

Assigned small boats allow a cutter to conduct search and rescue operations, such as removing migrants from an overloaded boat, and law enforcement operations, such as placing a boarding team on a high interest vessel. The LRI provides significantly improved performance over existing cutter small boats based on increased speed, increased passenger (boarding team) carrying capacity, communications, endurance and range. By operating beyond the line of sight of the cutter, the LRI acts as a significant force multiplier, enabling improved identification and prosecution of targets of interest.

COST ESTIMATE OF WORK TO BE FUNDED IN FISCAL YEAR 2011:

ITEM	QUANTITY	TOTAL (\$K)
LRI #4	1	\$2,500
SRP #11	1	\$500
	Total	\$3,000

FUNDING HISTORY:

	FY	TOTAL
Design SRP/Start construction of SRP-1 through SRP-2	2002	\$945
Construct SRP-3 through SRP-8 ¹	2003	\$2,710

¹ SRPs #1-8 were built for the 123' Patrol Boats (WPB).

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Cutter Small Boats **\$3,000**

SRP Mods and LRI FAT Tech Support; LRI-1 Partial Production and Deployment	2004	\$1,408
Design LRI/Construction of LRI-1 starts; SRP Mods, Repairs, and Studies	2005	\$2,300
Complete construction of LRI-1; BCA for Follow-On LRI Procurements	2006	\$693
SRP-9 Proposal Prep Repricing, Acquisition Planning for LRI & SRP Program restarts	2007	\$1,188
Acquisition Planning for LRI & SRP Program restarts and Launch and recovery interface studies	2008	\$2,700
Engineering and Production of LRI-2 and SRP-9	2009	\$2,400
Construction of LRI #3 and SRP #10	2010	\$3,000
	Total	\$17,344

Funding History is the funding available for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR:

SRP #1-8: Lead: Zodiac of North America, Stevensville, MD
 Production Subcontractor: Adrenalin Marine, Ferndale, WA
 Assembly Subcontractor: Zodiac Hurricane Technologies, Delta, British Columbia, Canada
 LRI #1: Willard Marine. Anaheim, California

KEY EVENTS:	FY
Delivery SRP-1 through SRP-8	2006 & Prior
Delivery LRI Lead Boat	2007
Delivery SRP-9	2010
Delivery LRI-2	2009
Delivery LRI-3	2011
Delivery SRP-10	2011
Delivery LRI-4	2012
Delivery SRP-11	2012
Delivery LRI-5	2013
Delivery SRP-12	2013
Delivery LRI-6	2014
Delivery SRP-13	2014

Significant Changes

No significant changes.

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Cutter Small Boats

\$3,000

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2010					
Long Range Interceptor (LRI #3)			FY10:Q2	FY11:Q1	2,500
Short Range Prosecutor (SRP#10)			FY10:Q2	FY11:Q1	500
FY 2011					
Long Range Interceptor (LRI #4)			FY11:Q2	FY12:Q4	2,500
Short Range Prosecutor (SRP #11)			FY11:Q2	FY12:Q4	500

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	11,386	2,400	3,000	3,000	19,786
Obligation	9,215	2,400	3,000	3,000	17,615
Expenditure	8,773	2,400	3,000	3,000	17,173
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	8,773	2,400	3,000	3,000	17,173

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Short Range Prosecutor (SRP #11)	500
Long Range Interceptor (LRI #4)	2,500
FY 2011 Cost Estimate Project Total:	3,000

Method of Performance

An Earned Value Management System (EVMS) is used for the system integrator contract work under each of the various Delivery Task Orders (DTOs). The Dekker Trakker software program that meets ANSI/EIA Standard 748 is being used. Dekker Trakker is the tool that is used by the Systems Integrator to resource load schedules, track progress and record expenses. An additional Earned Value viewing tool also being used is Dekker iPursuit which allows personnel to see monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data that was used to generate the Cost Performance Reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS). An Earned Value Management System (EVMS) is used for the system integrator contract work under each of the various Delivery Task Orders (DTOs). The Dekker Trakker software program that meets ANSI/EIA Standard 748 is being used. Dekker Trakker is the tool that is used by the Systems Integrator to resource load schedules, track progress and record expenses. An additional Earned Value viewing tool also being used is Dekker iPursuit which allows personnel to see monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the

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Cutter Small Boats

\$3,000

data that was used to generate the Cost Performance Reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	129	129
Marine Safety	-	-
Aids to Navigation	-	-
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	689	689
Drug Interdiction	1,310	1,310
Migrant Interdiction	180	180
Other Law Enforcement	235	235
Ports, Waterways & Coastal Security	78	78
Defense Readiness	379	379
Mission-Program Allocation Total:	3,000	3,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Medium Endurance Cutter Sustainment

\$30,000

Project Description, Justification and Scope

This request funds Long Lead Time Material (LLTM) and the Mission Effectiveness Project (MEP) on the 270-foot Medium Endurance Cutter (WMEC) class. Funding will complete MEP work on three 270' cutters. The project includes replacing major sub-systems, such as small boat davits, oily water separators, air conditioning and refrigeration plants, and evaporators. The main propulsion control and monitoring systems will also be upgraded. This work will be performed by the Coast Guard's skilled workforce at the Coast Guard Yard, Curtis Bay, MD. LLTM for 270' WMECs will be procured to ensure subsequent MEP availabilities maintain schedule.

The 270' WMEC cutter class MEP was originally developed as a two-phase project totaling approximately \$14M per cutter (estimated at \$6.5-7.5M per phase). To expedite the project and improve cutter operational availability, the 270' WMEC cutters will have either two-six month availabilities (one six-month dry dock phase followed later by a six-month dockside phase), or one 11-month availability combining both phases. Seven cutters will complete one 11-month availability and six cutters, having already completed phase one, will complete the final 6-month dockside availability.



At project inception, work on 210' and 270' WMECs was planned to be conducted concurrently, however, to maximize the operational capability and safety of the 210s, the decision was made to modify the original schedule by halting the induction of 270s to complete MEPs on the remainder of the 210s. The last 210' will enter the yard for MEP in FY2010, leaving work on the 270s as the primary focus in FY2011.

CAPABILITY ACQUIRED/MAINTAINED:

This funding will improve the overall mission effectiveness of the 270' and 210' WMEC cutter classes until they are replaced by applicable assets through Coast Guard recapitalization. Since these cutter classes are not being replaced one for one, they must be retained in operational service until replacement assets become available for missions. Each 270' and 210' WMEC provides 185 days of mission performance; a loss of that capability puts achievement of long-term DHS performance goals at risk. Additionally, the WMEC Mission Effectiveness Project will improve the cutter's operating and cost performance by replacing equipment that has the highest failure rate with more reliable equipment.

PERFORMANCE:

Mission Level Performance: With the capabilities previously described, the 270' and 210' WMECs will be used to achieve success in the following Congressionally-mandated mission areas:

Medium Endurance Cutter Sustainment

\$30,000

- Search & Rescue
- Defense Readiness
- Ports, Waterways and Coastal Security
- Illegal Drug Interdiction
- Undocumented Migrants
- Living Marine Resources

System Level Total Ownership Cost: Replacing obsolete equipment will result in greater standardization, capability, and reliability across the two cutter classes. Each cutter will complete the program with new equipment and improved logistical support that will allow for the continued operation of the current WMEC fleet in a more economical manner until their replacements are delivered.

COST ESTIMATE OF WORK TO BE FUNDED FOR FISCAL YEAR 2011:

ITEM	QUANTITY	TOTAL (\$K)
270' WMEC Mission Effectiveness Project	3 ¹	\$25,500
270' MEP Long Lead Time Material (LLTM)	Lot	\$4,500
	Total	\$30,000

FUNDING HISTORY:

	FY	TOTAL (\$K)
Legacy Cutter Sustainment Appropriation ²	2002	\$8,686
WMEC Maintenance Sustainment Availability Project Initiation	2003	\$3,675
WMEC Maintenance Sustainment Availability	2004	\$6,793
WMEC Mission Effectiveness Projects	2005	\$12,500
WMEC Mission Effectiveness Projects	2006	\$24,750
WMEC Mission Effectiveness Projects	2007	\$45,318
WMEC Mission Effectiveness Projects	2008	\$34,500
WMEC Mission Effectiveness Projects	2009	\$35,500
WMEC Mission Effectiveness Projects	2010	\$31,100
	Total	\$202,822

Funding history is the funding available for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR:

Coast Guard Yard, Curtis Bay, MD
 Type of Contract: Government Work Order

KEY EVENTS:

FY

¹ Quantity for the 270s was originally defined in phases (each cutter was to undergo two phases). Those cutters that have not undergone any work via MEP are now scheduled for one 11-month availability, vice two separate work phases. This number reflects the remainder of an 11-month availability, plus two complete 11-month availabilities (previously four separate phases), for a total of three 270-foot cutters undergoing MEP.

² Not included in the IDS Acquisition Program Baseline; tracked for historical purposes only.

U. S. Coast Guard - FY 2011 Congressional Justification

Medium Endurance Cutter Sustainment **\$30,000**

Gyro Compass, P-250 Pumps, Garbage Pulpers, ALEX HALEY Upgrade	2002
WMEC Maintenance Sustainment Availability Project Initiation	2003
Delivered 270' Phase One WMEC Mission Effectiveness Project Lead Vessel – TAMPA	2006
Delivered 210' WMEC Mission Effectiveness Project Lead Vessel – DEPENDABLE	2006
Delivered 270' Phase One WMEC Mission Effectiveness Project Vessel – HARRIET LANE	2006
Delivered 270' Phase One WMEC Mission Effectiveness Project Vessel - FORWARD	2007
Delivered 210' WMEC Mission Effectiveness Project Vessel – CONFIDENCE	2007
Delivered 210' WMEC Mission Effectiveness Project Vessel – VENTUROUS	2008
Delivered 210' WMEC Mission Effectiveness Project Vessel - VIGOROUS	2008
Delivered 210' WMEC Mission Effectiveness Project Vessel - DECISIVE	2008
Delivered 270' Phase One WMEC Mission Effectiveness Project Vessel - SENECA	2008
Delivered 210' WMEC Mission Effectiveness Project Vessel - ACTIVE	2009
Delivered 210' WMEC Mission Effectiveness Project Vessel - RESOLUTE	2009
Delivered 210' WMEC Mission Effectiveness Project Vessel - VALIANT	2009
Delivered 210' WMEC Mission Effectiveness Project Vessel - VIGILANT	2009
Deliver 210' WMEC Mission Effectiveness Project Vessel - DAUNTLESS	2009
Deliver 210' WMEC Mission Effectiveness Project Vessel - ALERT	2010
Deliver 210' WMEC Mission Effectiveness Project Vessel - RELIANCE	2010
Deliver 210' WMEC Mission Effectiveness Project Vessel – DILIGENCE	2010
Deliver 210' WMEC Mission Effectiveness Project Vessel – STEADFAST	2010
Deliver 270' WMEC Mission Effectiveness Project Vessel – NORTHLAND	2011
Deliver 270' WMEC Mission Effectiveness Project Vessel – TAMPA	2011
Deliver 270' WMEC Mission Effectiveness Project Vessel – LEGARE	2011

Significant Changes

No significant change.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2010					
270' WMEC MEP			FY06:Q1	FY13:Q4	21,100
210' WMEC MEP			FY06:Q1	FY10:Q4	10,000
FY 2011					
270' WMEC MEP			FY06:Q1	FY13:Q4	30,000

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Medium Endurance Cutter Sustainment

\$30,000

Schedule of Project Funding

	Project Funds				<u>Total</u>
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	136,222	35,500	31,100	30,000	232,822
Obligation	135,722	35,500	31,600	30,000	232,822
Expenditure	135,722	34,680	31,100	30,000	231,502
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	134,722	34,180	30,600	29,500	229,002
Project Management	1,000	500	500	500	2,500

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
270' MEP	25,000
Long Lead Time Materials (LLTM)	4,500
<u>Project Management</u>	
Project Management Support	500
FY 2011 Cost Estimate Project Total:	30,000

Method of Performance

The Project Management Team is committed to using an Earned Value Management System (EVMS) that follows ANSI/EIA Standard 748.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	535	484
Marine Safety	14	14
Aids to Navigation	6	6
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	6,714	6,718
Drug Interdiction	12,291	11,265
Migrant Interdiction	8,736	8,976
Other Law Enforcement	29	28
Ports, Waterways & Coastal Security	1,247	1,053
Defense Readiness	1,528	1,456
Mission-Program Allocation Total:	31,100	30,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Government Program Management

\$45,000

Project Description, Justification and Scope

This request provides funding for government program management and oversight. Program management funds provide support for government administration, technical reviews, technology analysis, performance monitoring of the Program, Operational Test and Evaluation, Transition Management and Risk Management. This activity, originally established under the Integrated Deepwater System (IDS) construct, provides support to all Coast Guard Deepwater projects and has become increasingly more critical since the Coast Guard assumed the role of lead system integrator from IDS.

CAPABILITY ACQUIRED/MAINTAINED:

The Coast Guard is responsible for ensuring the products delivered by contractors and suppliers meet performance specifications. This requires sound management policies and the processes needed to implement them. Specifically, program management funds provide the Coast Guard with the capability to protect the government's interests during the acquisition and ensure contractors and suppliers deliver required products and services meeting prescribed terms and conditions. The Coast Guard accomplishes this management and oversight through staff located at the Program Management Office and at other contractor/government sites. Personnel working on the CG-9 Acquisition Directorate projects include a mix of military, civilian, and support contractors experienced in all phases of large, complex acquisition programs.

Technology is constantly changing and several technology refreshes or upgrades are planned over the projected life cycle of the Coast Guard Acquisition Projects. Government program management personnel analyze the capability and applicability of these replacement technologies. Support contractors assist this effort and gather and assemble data into the government-designated format to aid informed government decision-making.

Government program management funding also supports performance monitoring of all contracts. This is accomplished through the use of a variety of tools such as the Earned Value Management System (EVMS), periodic reports to DHS and Congress, and use of the Acquisition Performance Management System (APMS). EVMS permits the Coast Guard to closely follow cost and schedule performance of the projects by asset, while the reports and APMS data allow for periodic internal and external reviews of program cost, schedule, and performance criteria.

APMS provides web-based reporting of program performance in all aspects on a near real-time basis, depending upon the particular metric used. In addition, risk management provides the Coast Guard the opportunity to forecast future performance of various assets and the operational performance of the Acquisition Directorate projects from a "what if" perspective. This important analysis is aided by the development of various scenarios by experienced government employees and support contractors based on multiple past acquisition programs as well as operational experience and forecasts.

Government program management funding also supports the Operational Tests and Evaluation (OT&E) done with the U.S. Navy's Commander Operational Test and Evaluation Forces (COMPOPTEVFOR) for the execution of project operational testing. While Developmental Test and Evaluation (DT&E) is

U. S. Coast Guard - FY 2011 Congressional Justification

Government Program Management

\$45,000

the responsibility of the contractor, OT&E is an inherently governmental responsibility. The U.S. Navy's testing organization, COMOPTEVFOR, serves as the technical advisor to Coast Guard and is responsible for overseeing and contributing to the conduct of tests for the early involvement, review, and assessment of system and asset operational performance. Modeling is one of the methodologies used to monitor system-level performance. Government program management funding is used to fund designated modeling activities. Modeling is also used as a means to assess different alternatives as well as to assess the impact on system-level performance to determine the best mix of asset capability to meet mission objectives.

Government program management funding supports the transition of the assets to the Coast Guard. The government staff serves a liaison during the transition period between the prime contractor's delivery of an asset when it is ready for operational testing up through the time the asset is transferred to the operational user and the Coast Guard support community.

New initiatives have been implemented to improve the investment/acquisition metrics and ensure appropriate internal controls are in place while complying with increasingly complex financial management controls and processes. As an example, all CG-9 program/project managers have developed annual project performance plans detailing key events and success criteria for assessing risk and performance against approved documents and plans. The analysis of these plans are funded by the government program management request.

This request also funds administrative, travel and training costs directly associated with government personnel working on the acquisition projects in the CG-9 Acquisition Directorate.

COST ESTIMATE OF WORK TO BE FUNDED IN FISCAL YEAR 2011:

ITEM	QUANTITY	TOTAL (\$K)
Government Program Management	Job	\$45,000

FUNDING HISTORY

	FY	TOTAL (\$K)
Government Program Management	2002	\$28,988
	2003	\$27,818
	2004	\$33,521
	2005	\$38,000
	2006	\$38,114
	2007	\$45,625
	2008	\$50,475
	2009	\$57,850
	2010	\$45,000
	Total	\$365,391

Funding history is the funding available for this item based on past appropriations, rescissions, and other changes.

U. S. Coast Guard - FY 2011 Congressional Justification

Government Program Management

\$45,000

Significant Changes

No significant changes.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2010					
Government Program Management			FY10:Q2	FY23:Q4	45,000
<hr/>					
FY 2011					
Government Program Management			FY11:Q1	FY23:Q4	45,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	262,542	57,850	45,000	45,000	410,392
Obligation	262,542	58,000	45,000	40,500	406,042
Expenditure	261,280	55,100	38,250	11,250	365,880
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Project Management	261,280	55,100	38,250	11,250	365,880

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Project Management</u>	
Government Program Management	45,000
FY 2011 Cost Estimate Project Total:	45,000

Method of Performance

An Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data used to generate Cost Performance reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

U. S. Coast Guard - FY 2011 Congressional Justification

Government Program Management

\$45,000

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	7,486	7,777
Marine Safety	361	387
Aids to Navigation	755	798
Ice Operations	383	421
Marine Environmental Protection	994	1,061
Living Marine Resources	7,263	7,269
Drug Interdiction	12,094	11,906
Migrant Interdiction	7,082	7,490
Other Law Enforcement	1,219	1,126
Ports, Waterways & Coastal Security	4,908	5,001
Defense Readiness	2,455	1,764
Mission-Program Allocation Total:	45,000	45,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Systems Engineering and Integration **\$29,000**

Project Description, Justification and Scope

This request funds system engineering design and integration work across all of the Coast Guard's recapitalization projects. This request impacts every aspect of the Coast Guard enterprise—encompassing the integration of human capital management; information technology; capital investment planning for air and surface platforms; logistics; command, control, computers, intelligence, surveillance, and reconnaissance and most importantly the fleet operator. Systems Engineering and Integration (SE&I) includes the following activities:

- Systems Engineering
 - o System architecture development
 - o Operational performance analysis
 - o Cost reduction efforts
 - o Enterprise level requirements management
- Enterprise level system integration
- Interface management
- Configuration management
- Technical data management
- Technical assessment
- Decision analysis

CAPABILITY ACQUIRED/MAINTAINED:

Systems Engineering and Integration (SE&I) is essential for interoperability at the unit, system and organizational levels, both internal and external to the Coast Guard. Effective systems integration ensures systems can operate together while minimizing the cost of asset acquisition, operations and maintenance, and the risk inherent in a complex acquisition program. Additionally, SE&I maximizes the ability of assets to interoperate with each other and with those of other agencies (i.e., DHS, DoD, other government agencies, and state and local responders).

The Coast Guard is fielding an integrated system of aviation, cutter, and shore assets that are interoperable through a comprehensive C4ISR detection and communications structure. Without SE&I these assets and sub-systems would be implemented in an inefficient and ineffective manner. One example demonstrating the need for SE&I involves the delivery of upgraded capabilities to in-service cutters, including a Classified Local Area Network (CLAN), upgraded satellite communications, Automatic Identification System (AIS), and law enforcement radios, providing significantly increased capabilities and Maritime Domain Awareness to in-service cutters. SE&I properly applied to these upgrades emphasizes a system-wide view of the project, resulting in recognition of corresponding upgrades to be accomplished at shore-side command centers. This approach to integration ensures the cutters can send and receive important operational information, further improving Maritime Domain Awareness and Operational Performance. Failure to utilize SE&I could have potentially resulted in upgrading the cutters alone, marginalizing the benefits of the C4ISR upgrades.

System engineering evaluations will be performed across system, subsystem, and component levels to analyze products and capabilities for interoperability, integration, modularity, and system commonality.

U. S. Coast Guard - FY 2011 Congressional Justification

Systems Engineering and Integration **\$29,000**

These efforts culminate in the ability to determine and document predicted total system performance for numerous configurations and scenarios. Systems engineering has the responsibility for the overall technical configuration development process.

PERFORMANCE:

SE&I is essential to improving operational performance of all Coast Guard assets and directly supports mission success in all Congressionally-mandated missions. SE&I also provides identification of possible cost reduction approaches.

COST ESTIMATE OF WORK TO BE FUNDED IN FISCAL YEAR 2011:

ITEM	QUANTITY	TOTAL (\$K)
Systems Engineering and Integration	Job	\$29,000

FUNDING HISTORY	FY	TOTAL (\$K)
Overall Contractor Management of the Systems Engineering Process	2002	\$63,330
	2003	\$45,626
	2004	\$42,105
	2005	\$43,000
	2006	\$36,403
	2007	\$34,517
	2008	\$35,145
	2009	\$33,141
	2010	\$35,000
	Total	\$368,267

Funding History is the funding available for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR:

Various and TBD.

Type of Contract: Various including time and materials, Firm-Fixed price, and cost-plus fee contracts.

Contract options: Various

KEY EVENTS:

System Increment 1 – Integrated Product Environment	FY
	2002
System Increment 2 – Initial Integrated Product & Process Development Team Training	2003
System Increment 3 – System Architecture Plan	2004
Prime Contractor’s Program Management, Systems Engineering & Integration Transfer	2005-2007
System Increment, Prime Contractor’s Program Management.	
Transition to Government Lead Systems Integration Role	2008-2011

Significant Changes

The FY 2011 funding level reflects the Coast Guard’s continuing assumption of the lead systems integrator role from industry contractor ICGS.

U. S. Coast Guard - FY 2011 Congressional Justification

Systems Engineering and Integration

\$29,000

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2010					
Systems Engineering & Integration			FY2002:Q2	FY2026:Q4	35,000
<hr/>					
FY 2011					
Systems Engineering & Integration			FY2002:Q2	FY2026:Q4	29,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	300,125	33,141	35,000	29,000	397,266
Obligation	299,736	33,141	28,000	24,000	384,877
Expenditure	289,381	33,141	7,000	5,000	334,522
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Survey, Design & Engineering	289,381	33,141	7,000	5,000	334,522

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
Survey, Design & Engineering	
Systems Engineering & Integration	29,000
FY 2011 Cost Estimate Project Total:	29,000

Method of Performance

An Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed by Deepwater to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly cost performance reports. The iPursuit program also allows for extensive insight into the data used to generate cost performance reports. For example, it can provide a breakdown of cost and schedule variances by work breakdown structure (WBS).

U. S. Coast Guard - FY 2011 Congressional Justification

Systems Engineering and Integration

\$29,000

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	5,823	5,012
Marine Safety	281	249
Aids to Navigation	587	514
Ice Operations	298	271
Marine Environmental Protection	773	683
Living Marine Resources	5,649	4,685
Drug Interdiction	9,406	7,673
Migrant Interdiction	5,508	726
Other Law Enforcement	948	4,827
Ports, Waterways & Coastal Security	3,817	3,223
Defense Readiness	1,910	1,137
Mission-Program Allocation Total:	35,000	29,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

C4ISR

\$30,500

Project Description, Justification and Scope

This request funds design and development of C4ISR (Command, Control, Computers, Communications, Intelligence, Surveillance, and Reconnaissance) integrated hardware and software systems on a multiple asset basis, e.g., NSC (National Security Cutter), FRC (Fast Response Cutter), MPA (Maritime Patrol Aircraft), and MSP (Mission System Pallet).

C4ISR is the eyes, ears and cognitive recognition system allowing the Coast Guard to see, hear, comprehend and communicate what is happening in America's maritime regions. This is accomplished using modern electronic components, such as interoperable radio and satellite communication systems and improved optical/radar sensors, that can improve sightings in total darkness and detect maritime targets in all weather conditions. In addition, it uses an interoperable network to bring all operational and intelligence data together, transforming the data into a Common Operating Picture (COP).

This request funds the following in support of C4ISR hardware and software design for the NSCs, FRCs, MPAs, and MSPs:

- *Initial development* of hardware and software command and control upgrades for in-service cutters.
- *Labs*, which are necessary for the Coast Guard to continue development of Segment 2 already on contract, assume the Systems Integrator (SI) role and provide proper oversight and integration. They also reduce lifecycle costs by controlling configuration management, decrease impacts to users by reducing or eliminating tests on operational platforms, and reduce schedule by providing a dedicated platform. Labs include: (1) development labs; (2) acceptance and test labs and (3) support labs for both air and surface assets.
- *Execution Support*. As the Coast Guard continues to increase oversight and manage systems integration with multiple vendors, execution support is needed to continue to assist government personnel in overseeing software development, synthesizing requirements, and other program management and systems engineering functions.
- *Information Assurance*, including TEMPEST (i.e. electronic emission certification) and conformance with the DoD Information Assurance Certification and Accreditation Process (DIACAP). Due to emerging threats and global increase in information warfare threats, information assurance is critical for new and continued connection to both the DoD and DHS networks.
- *Engineering Change Proposals/Updates*. These efforts provide updated software loads for NSC1 and 2, as well as needed upgrades to the Mission Systems Pallets. Software loads need continual grooming due to impacts of external changes such as Information Assurance (IA), interoperability architecture changes and to protect against diminished manufacturing sources, hardware changes, and interface changes. This also provides for needed changes to the communications suite for cutters and aircraft that have been delivered or are in the production phase.

U. S. Coast Guard - FY 2011 Congressional Justification

C4ISR

\$30,500

KEY EVENTS

Significant accomplishments in FY 2009 include:

- Authority to Operation (ATO) Classified Systems on NSC-1 and for Mission System Pallet on MPA.
- Awarded contract for Segment 2 (Migrate system integrator role from ICGS to the Coast Guard).

FY 2010 planned accomplishments include:

- Deliver Segment 2 design requirements.
- Begin Ku band upgrades on High and Medium Endurance Cutters (HECs/MECs).
- Begin Integrated Waveform Military Satellite Communications upgrades on MECs.

FY 2011 planned accomplishments include:

- Critical system updates for safety, IA, and diminishing manufacturing source.

SUMMARY OF FUNDING HISTORY

C4ISR ACQUISITION INCREMENTS		SEGMENTS 1, 2, 3, 4*	SEGMENT 5: Upgrades (to existing)**	
C4ISR Project Components		New Vessels / Aircraft	In-Service Cutters	Infrastructure
ICGS as Lead System Integrator		(S1:FY'02-09; S2:FY'06-11)		
USCG as System Integrator (SI)		(S3:FY'11-tbd; S4: tbd outyrs)	✓	✓
Design - Hardware / Software		✓	✓	✓
Deploy - Hardware / Software		via asset PPA	✓	✓
Information Assurance (IA)		✓	✓	✓
Labs ***		✓		
FY Totals (\$000)	Recipients:	NSC, FRC, OPC / MPA, MSP	Legacy MEC, HEC	Shore Facilities
FY 2002	\$125,502	\$110,255	\$12,961	\$2,286
FY 2003	\$22,445	\$10,782	\$6,282	\$5,381
FY 2004	\$101,134	\$72,222	\$7,058	\$21,854
FY 2005	\$53,600	\$32,326	\$1,500	\$19,774
FY 2006	\$47,520	\$45,764	\$464	\$1,292
FY 2007	\$50,000	\$39,552	\$331	\$10,117
FY 2008	\$89,630	\$83,730	\$400	\$5,500
FY 2009	\$88,100	\$77,600	\$10,500	
FY 2010	\$35,000	\$35,000		
Grand Totals	\$612,931	\$507,231	\$39,496	\$66,204
C4ISR SEGMENTS . . .				
*1 -Baseline core system capability, Integrated CG Sys. (ICGS) as Lead System Integrator (LSI) on NSC, MPA, MSP				
*2 -Improved interoperability, transition from ICGS to gov't provided software (CG as SI) on NSC, FRC, MPA, MSP				
*3 -Continue open system architecture transition; USCG as SI on NSC, FRC, OPC, MPA (MRS, LRS), MSP (MRS only)				
*4 -Continue open system, add network centric design solution; USCG as SI on NSC, FRC, OPC, MPA, MSP				
**5 -Upgrades to in-service/legacy endurance cutters and shore facilities (training & cmd ctrs, comms stations)				
*** Labs: simulators, initial training, testing & support (for new vessel and aircraft assets)				

U. S. Coast Guard - FY 2011 Congressional Justification

C4ISR

\$30,500

Significant Changes

No significant changes.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2010					
Segment 2 (NSC, FRC, MPA, MSP)			FY10:Q2	FY12:Q4	35,000
FY 2011					
Segment 2 (NSC, FRC, MPA, MSP)			FY11:Q1	FY12:Q4	30,500

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	489,831	88,100	35,000	30,500	643,431
Obligation	476,951	70,480	71,600	24,400	643,431
Expenditure	462,427	17,620	17,900	6,100	504,047
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	397,727	17,620	17,900	6,100	439,347
Survey, Design & Engineering	64,500				64,500
Project Management	200				200

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Segment 2 (NSC, FRC, MPA, MSP)	30,500
FY 2011 Cost Estimate Project Total:	30,500

Method of Performance

An Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data used to generate Cost Performance reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

C4ISR

\$30,500

Budget Allocation to Mission-Program

U. S. Coast Guard Mission-Program	Budget Allocation	
	FY 2010	FY 2011
Search and Rescue	5,823	5,271
Marine Safety	281	262
Aids to Navigation	587	541
Ice Operations	298	285
Marine Environmental Protection	773	719
Living Marine Resources	5,649	4,927
Drug Interdiction	9,406	8,070
Migrant Interdiction	5,508	5,077
Other Law Enforcement	948	763
Ports, Waterways & Coastal Security	3,817	3,389
Defense Readiness	1,910	1,196
Mission-Program Allocation Total:	35,000	30,500

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Deepwater Logistics

\$50,000

Project Description, Justification and Scope

This request supports the delivery of new and modernized ships, aircraft, and information systems through the continued development of logistics across Coast Guard platforms and shore commands, the Coast Guard Logistics Information Management System, as well as the funding of shore facility upgrades necessary to field and support these assets. The funding request includes three significant areas: 1) Integrated Logistics Support (ILS); 2) CG-LIMS development; and 3) Facilities upgrades (in preparation of receiving new and modernized assets).

Integrated Logistics Support (ILS) – \$3,800 will continue the process of confirming all logistics functional elements (e.g., Maintenance Planning, Supply Support, Facilities, Support Equipment, Packaging, Handling Storage & Transportation, Manpower/Personnel, Training & Training Support, Technical Data, Computer Resources, and Design Interface) for Deepwater Projects are considered and addressed to ensure mission readiness and overall supportability for the life cycle of delivered assets. This system support development effort is necessary for the successful fielding of assets and achievement of targeted operational effectiveness goals. Funding will support the execution of tailored asset Logistics Readiness Reviews (LRR) for the Fast Response Cutter (FRC) Sentinel Class Patrol Boat and CG-C2 systems.

Coast Guard Logistics Information Management System (CG-LIMS) – \$6,000 will continue CG-LIMS development and phased deployment to Coast Guard operational assets and support facilities. CG-LIMS is planned for phased implementation by increments. Increment 1 provides configuration and maintenance management functionality for the HC-144A Maritime Patrol Aircraft (MPA) aviation product line. Once fully implemented, this and subsequent increments will replace subsystems of the legacy Aviation Logistics Management Information System (ALMIS). Each increment will have a low rate initial production phase limiting the number of product lines at implementation, followed by full rate production to incorporate the remaining product lines as appropriate until CG-LIMS fully replaces the functionality of each legacy system.

Facility and Infrastructure Upgrades – \$40,200 funds the completion of upgrades associated with construction of a new hangar to accommodate four Maritime Patrol Aircraft (MPA) at Air Station Cape Cod, MA, and maintenance support facilities for the MPA's Mission System Pallet, as well as critical hangar modifications at Air Station Miami, FL to support MPA systems. In addition, this line item funds necessary infrastructure improvements (e.g., pier and shore power modifications) in Miami, FL and Key West, FL to support the homeporting of six new Sentinel Class cutters at each location. The infrastructure improvements for the second National Security Cutter (NSC) and third FRC homeports are also funded. Finally, this request funds projects critical to supporting the development and fielding of new assets, such as the expansion of the Coast Guard Command and Control Center (C2CEN) to accommodate personnel associated with Deepwater system maintenance and operations and construction of a new building at Coast Guard Training Center Yorktown, VA to house hull, mechanical, and electrical training systems for the NSC and FRC.

CAPABILITY ACQUIRED/MAINTAINED:

Deepwater Logistics

\$50,000

Establishing a responsive ILS system will benefit the organization by reducing life cycle costs and increasing operational effectiveness. To achieve these goals, the Coast Guard must continue with a two-part development approach: 1) integrating enterprise-wide processes across the logistics functional elements to assist in moving the Coast Guard towards an efficient centralized business model; 2) incorporating sound Human Systems Integration (HSI) processes to improve human performance and reduce operational costs.

Investing in CG-LIMS is central to the Coast Guard's enterprise-wide system. CG-LIMS can provide the ability, using collected data, to bring the right information to the right people at the right time. It is intended to streamline parts ordering and management, facilitate maintenance functions, sustain configuration control, and provide an innovative training delivery system. Interconnected processes accessed via an on-line support infrastructure will improve each Coast Guard unit's operational effectiveness by providing responsive maintenance support, establishing and maintaining inventory levels, and facilitating automation in spare parts ordering, all while remaining CFO compliant.

Capabilities being acquired through CG-LIMS include:

- Tracking assets
- Identifying and Documenting Corrective Maintenance
- Scheduling Maintenance
- Performing Maintenance
- Conducting Supply Operations
- Managing Inventory Control Point Activity
- Effecting Engineering Changes
- Conducting Enterprise Data Mining
- Technical Information Management
- Total Asset Visibility Reporting

Another significant component of logistics is the physical facilities and infrastructure preparation necessary for home sites and support infrastructures for these assets. These facilities fall into two categories: 1) current Coast Guard or other existing facilities requiring modification to be used for new or converted assets; and 2) newly-acquired facilities, including land and the associated buildings for crew offices, training buildings, and hangars to house and support the new ships, aircraft, and their crews.

PERFORMANCE:

ILS planning and implementation is essential to achieving mission success and life cycle supportability in all statutory missions. By ensuring the proper support infrastructure is in place, new assets will be able to perform as designed and maintain their operational capabilities in a cost effective manner.

A centrally-managed, integrated, enterprise-wide logistics information management system that leverages government and industry standards and best practices will provide a hard link between mission support and mission performance. By implementing a logistics system capable of supporting improved business processes and organizational structures, the Coast Guard will optimize operational support, reduce costs across the organization, provide real time financial data, and align with DHS Enterprise Architecture. CG-LIMS is necessary for the Coast Guard to continue to accomplish its missions and remain agile in an ever-changing operational environment. It will assist the Coast Guard in achieving a

U. S. Coast Guard - FY 2011 Congressional Justification

Deepwater Logistics

\$50,000

clean financial audit opinion by providing transparent, traceable financial information from a single logistics system interfaced with the core accounting system.

The shore facility upgrade projects listed are each critical to the overall success of the respective asset system. These time-critical projects for new or upgraded facilities will enable recapitalized assets to be housed in their intended locations and permit the necessary support of the assets and training of assigned personnel. These schedules may have to be adjusted to accommodate any changes to the delivery schedules for the supported asset.

COST ESTIMATE OF WORK TO BE FUNDED IN FISCAL YEAR 2011:

ITEM	QUANTITY	TOTAL (\$K)
Integrated Logistics Support (ILS) Continuation	Job	\$3,800
CG-LIMS Development and Installation	Job	\$6,000
Facilities Engineering Studies & Environmental Analyses	1	\$2,000
MPA Hangar Electrical Upgrade Cape Cod, MA	1	\$2,700
FRC Homeport Upgrades Miami, FL	1	\$2,800
FRC Homeport Upgrades Key West, FL	1	\$6,500
MPA Hangar Upgrade Miami, FL	1	\$5,000
Facility Upgrade C2CEN, Portsmouth, VA	1	\$2,000
FRC Training Building Training Center Yorktown, VA	1	\$5,200
NSC Training Building Training Center Yorktown, VA	1	\$5,200
FRC Homeport Upgrades - Homeport #3	1	\$8,100
NSC Homeport Upgrades - Homeport #2	1	\$ 700
	Sub Total Facilities	\$40,200
	Total	\$50,000

FUNDING HISTORY

FUNDING HISTORY	FY	TOTAL (\$K)
Integrated Logistics Support (ILS) Business Process Development, C4ISR Support, and LIMS Iteration 0	2002	\$19,858
Business Process Development, C4ISR Support, and LIMS Iteration 1	2003	\$16,550
Business Process Development, C4ISR Support, and LIMS Iteration 1	2004	\$20,567
Business Process Development, C4ISR Support, and LIMS/C4ISR Increment 1	2005	\$15,100
Business Process Development, C4ISR Support, and LIMS/C4ISR Increment 1	2006	\$11,700
Business Process Development, C4ISR Support, and LIMS/C4ISR Increment 1	2007	\$19,703

U. S. Coast Guard - FY 2011 Congressional Justification

Deepwater Logistics **\$50,000**

ILS, C4ISR Support, CG-ILS Interim Support of NSC Logistics Readiness Reviews (LRR)	2008	\$18,542
ILS, C4ISR Support, Development Continuation	2009	\$11,900
ILS, Systems Support Planning & Execution	2010	\$3,700
	Subtotal	\$137,620

Shore (LIMS deployment/CG-LIMS Development)

LIMS Deployment and Installation at: Engineering Logistics Center (ELC), Operations Support Center (OSC), Aviation Repair and Supply Center (AR&SC)	2002	\$37
Maintenance and Logistics Command Atlantic, Naval Engineering Support Unit Miami (NESU), Electronic Support Unit (ESU) Miami	2003	\$971
Command and Control Center (C2Cen), Maintenance and Logistics Command (MLC) Pacific, Training Center (TRACEN) Yorktown	2004	\$19,470
Deployment of LIMS at seven units		
LIMS Deployment and Installation at Aviation Training Center (ATC) Mobile, AL, MLCPAC, OCCSU Alameda	2005	\$1,600
TRACEN Petaluma, NESU/ESU Alameda	2007	\$850
CG-LIMS Development	2008	\$2,400
CG-LIMS Development	2009	\$3,000
CG-LIMS Development	2010	\$6,000
	Subtotal	\$34,328

Facilities Upgrades

Facility Assessment Ventura, CA	2002	\$100
Design for Hangar, OCCSU building & pier upgrades	2004	\$5,414
ATC Mobile Hangar Construction (Phase I)		
NBVC Facility Assessment Study		
Environmental Assessment for Alameda, CA		
CAMSLANT Facility Expansion Design		
TRACEN Petaluma Building Rehab (Phase 1)	2005	\$23,100
ATC Mobile Hangar Construction (Phase 1 cont'd)		
PACAREA/D11 Command Center Facility Upgrades		
CAMSLANT Facility Expansion Construction		
Pier/shore tie upgrades at Alameda, CA		
ATC Mobile Hangar Construction (Phase 2)	2006	\$7,138
TRACEN Petaluma Bldg 500 rehab (Phase 1 cont'd)		
Various facility upgrades for C4ISR equipment installs	2007	\$16,375
Completion of Phase 1 Bldg 500 rehab @ TRACEN Petaluma		
Updated to Deepwater PEIS Environmental document		
Design of OCCSU bldg @ Alameda, CA		
Upgrade of NSC shore ties @ Alameda, CA		

U. S. Coast Guard - FY 2011 Congressional Justification

Deepwater Logistics **\$50,000**

Upgrade of NSC pier facilities @ Alameda, CA		
Construct MPA Simulator Building ATC Mobile AL	2008	\$15,558
Engineering/Environmental Assessments of DW Sites		
Upgrade/dredging of NSC waterfront @ Alameda, CA		
Stand-up of DW Facility at TISCOM		
Stand-up of DW Facility at C2CEN		
SIPO Move to Jemal		
Construct NSC Crew Building Exterior at Alameda	2009	\$22,800
Engineering/Environmental Assessments of DW Sites		
FRC Miami Homeport Preparations – Phase 1		
Construct MPA Hangar-Air Station Cape Cod, MA	2010	\$28,000
Engineering Assessments of DW Homeports & Aviation Sites		
	Subtotal	\$118,485
	Total	\$290,434

Funding history is the available funding based on past appropriations, rescissions, and other changes.

CONTRACTORS:

Integrated Logistics Support
Various services contractors/Government Support Activities
Type of Contract: Fixed Price/MIPR
CG-LIMS
QSS Group Incorporated, Kearneysville, WVA
Executive Information Services, Bethesda, MD

Facilities

All Shore Facility projects are executed by the Coast Guard using the field units associated with the Office of Civil Engineering (CG-43), typically Facility Design and Construction Centers (FDCCs) located in Norfolk, Virginia and Seattle, Washington, or one of several regional Coast Guard Civil Engineering Units. Each project is contracted to an Architectural/Engineering (A/E) firm and/or a construction contractor for completion.

SUBCONTRACTORS:

Integrated Logistics Support - Business Process Development
MA&D - Crew Modeling, Boulder, CO
Mincom - ILS Process Re-engineering, Englewood, CO
NGDMS – HSI, Reston, VA
LM Technical Services – Process Integration, Cherry Hill, NJ
Pittiglio Rabin Todin & McGrath (PRTM) - Supply Chain Logistics, Washington, DC
Prosoft – Training, Virginia Beach, VA
Sigmon - ILS Process Re-engineering, Norfolk, VA

CG-LIMS Development

LM Technical Services – LIMS Integration, Cherry Hill, NJ
Dimension Technology Solutions - LIMS Interface, Boulder, CO

Deepwater Logistics

\$50,000

Mincom - LIMS Software, Englewood, CO
 LM Technical Services – LIMS Integration, Cherry Hill, NJ
 Spectrum - Learning Mgt. System, Vienna, VA
 Sum Total (Docent) - Learning Mgt. System, Mountain View, CA

C4ISR Support

EADS GmbH - NSC Air Search Radar, Ulm, Germany
 FLIR Systems - Various EO/FLIR, Portland, OR
 L3 Communications - Integrated COMMS Int/Ext., Camden, NJ
 LM Eagan - MPA Mission Pallet, Eagan, MN
 LM IS&S - Intel, Enterprise SATCOM / INTEL, Valley Forge, PA
 LM Technical Services - C4 Installs, Tech Docs, Provisioning, Sustainment, Cherry Hill, NJ
 Sierra Nevada - Surface UCARS, Sparks, NV

KEY EVENTS:

FY

Integrated Logistics Support	
Business Process Development, C4ISR Support	2002
Business Process Development, C4ISR Support	2003
C4ISR Support Development	2004
C4ISR Support Development	2005
C4ISR Support Development	2006
C4ISR Support Development	2007
C4ISR Support Development	2008

Shore/CG-LIMS

Initial LIMS Installation at 1st Shore Site	2004
Development/Deployment of LIMS to NESU (two), OSC, ELC, ESU, TRACEN	2005
Completion of C4ISR Training Suite @ TRACEN Petaluma	2007
CG-LIMS development shifted to OSC Martinsburg	2008
CG-LIMS Milestone One Approved	2008

Facilities

Completion of Programmatic Environmental Impact Statement (PEIS)	2002
Completion of SENT and OPC Site Studies	2004
Completion of VUAV Naval Base Ventura County Site Study	2006
Completion of D11 Command Center C4ISR Support Upgrades	2006
Completion of Environmental Analysis for NSC Homeport Alameda	2008
Completion of NSC Homeport Alameda Pier, Shore Ties, & Dredging	2008
Completion of MPA Hangar ATC Mobile, AL	2008
Completion of NSC C4ISR Trainer Petaluma, CA	2008
Completion of D14 Command Center C4ISR Support Upgrades	2008
Completion of D8 Command Center C4ISR Support Upgrades	2008
Completion of CAMSPAC C4ISR Support Upgrades	2008
Completion of CAMSLANT C4ISR Support Upgrades	2008

U. S. Coast Guard - FY 2011 Congressional Justification

Deepwater Logistics

\$50,000

Significant Changes

No significant changes.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2010					
Integrated Logistics Support			FY2002:Q2	FY2015:Q4	3,700
CG-LIMS			FY2002:Q2	FY2017:Q4	6,000
Facilities			FY2002:Q2	FY2024:Q4	28,000
FY 2011					
Integrated Logistics Support			FY2002:Q2	FY2015:Q4	3,800
CG-LIMS			FY2002:Q2	FY2017:Q4	6,000
Facilities			FY2002:Q2	FY2024:Q4	40,200

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	215,034	37,700	37,700	50,000	340,434
Obligation	199,815	37,331	29,143	38,000	304,289
Expenditure	173,575	10,481	8,182	30,649	222,887
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	144,856	10,481	8,182	30,649	194,168
Survey, Design & Engineering	28,719				28,719

Deepwater Logistics

\$50,000

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Acquisition ILS Support	3,800
CG-LIMS Configuration & Installation	6,000
MPA Hangar Electrical Upgrade Cape Cod MA	2,700
FRC Homeport Upgrades Miami FL	2,800
FRC Homeport Upgrades Key West FL	6,500
MPA Hangar Upgrade Miami FL	5,000
C2CEN Expansion Portsmouth VA	2,000
FRC HM&E Training Building Yorktown VA	5,200
NSC HM&E Training Building Yorktown VA	5,200
FRC Homeport Upgrades - FRC Homeport #3	8,100
NSC Homeport Upgrades - NSC Homeport #2	700
<u>Survey, Design & Engineering</u>	
Engineering Studies/Environmental Analyses	2,000
FY 2011 Cost Estimate Project Total:	50,000

Method of Performance

IMS or EVM tools are not used to monitor schedule performance during this and upcoming acquisition phases. Schedule performance is tracked through review of monthly progress reports and the conduct of monthly progress review meetings. In addition, for Facilities efforts, each CEU is expected to follow its own Cost Performance Strategy, according to the type of asset that is built.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	<u>Budget Allocation</u>	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	6,272	8,641
Marine Safety	303	430
Aids to Navigation	632	887
Ice Operations	321	468
Marine Environmental Protection	833	1,178
Living Marine Resources	6,084	8,077
Drug Interdiction	10,132	13,229
Migrant Interdiction	1,021	8,323
Other Law Enforcement	5,933	1,251
Ports, Waterways & Coastal Security	4,112	5,556
Defense Readiness	2,057	1,960
Mission-Program Allocation Total:	37,700	50,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Technology Obsolescence Prevention (TOP) **\$1,000**

Project Description, Justification and Scope

This request funds the program management portion of the Technological Obsolescence Program for two National Security Cutters, 39 in-service WHECs/WMECs, one Fast Response Cutter, and eight Mission Systems Pallets. Technological obsolescence results when newer technologies appear and older technologies become unsupported or unavailable. Unless planned for and managed, obsolescence emerges suddenly and solutions are thus more costly due to lack of proper systems engineering and alternative analysis. Thus, a Technical Obsolescence Prevention program serves as a cost avoidance measure, saving design, development and integration costs while avoiding sudden loss of mission capability.

Technical obsolescence includes both hardware and software. Rapid changes of technology include new media for storing digital information, software operating systems, and communications equipment. Once obsolescence is identified, the TOP Program analyzes alternatives and costs. Some factors include upgrade costs, interfacing system constraints, training concerns, forecasted next upgrade, and time to implement.

In general, TOP supports enterprise Command, Control, Computers, Communications, Intelligence, Surveillance, and Reconnaissance (C4ISR) systems on Coast Guard enterprise assets. The TOP program generally adheres to industry-based replacement rates for system types. For example, if a certain computer that has a five-year cycle is placed in service in 2005, it would be slated for replacement in 2010.

TOP Replacement Periods

Replacement Period	5 Years	10-15 Years	15-20 Years
Equipment Description	Software; Computers and Networking Equipment	Communication Equipment	Sensors and Weapon Systems

Performance: TOP minimizes or eliminates the impact that hardware and/or software obsolescence can have on performance by identifying and managing risks that result from obsolescence. TOP maintains or improves the technology performance level with indifference to changes at the hardware/software level.

Funding History

Fiscal Year	2008	2009	2010	Total
Funding (\$K)	\$700	\$1,500	\$1,900	\$4,100

Contract(s): TBD – Contractor and Subcontractors; Various – Type of Contract and Contract Options.

Significant Changes

No significant change. FY 2011 funding reflects anticipated procurement schedule.

U. S. Coast Guard - FY 2011 Congressional Justification

Technology Obsolescence Prevention (TOP)

\$1,000

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2010					
Technology Refreshment			FY10:Q2	FY11:Q4	1,900
<hr/>					
FY 2011					
Technology Refreshment			FY11:Q2	FY12:Q4	1,000

Schedule of Project Funding

	Project Funds				<u>Total</u>
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	700	1,500	1,900	1,000	5,100
Obligation	610	326	3,000	1,164	5,100
Expenditure	140	300	380	200	1,020
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	140	300	380	200	1,020

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Technology Refreshment	
Identification of critical system obsolescence for NSC/MPSs/WHECs/WMECs	700
Obsolescence alternative analysis and resolution	300
FY 2011 Cost Estimate Project Total:	1,000

Method of Performance

An Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed by CG-9 to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data used to generate Cost Performance reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

U. S. Coast Guard - FY 2011 Congressional Justification

Technology Obsolescence Prevention (TOP)

\$1,000

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	316	173
Marine Safety	15	9
Aids to Navigation	32	18
Ice Operations	16	9
Marine Environmental Protection	42	24
Living Marine Resources	307	161
Drug Interdiction	511	265
Migrant Interdiction	51	166
Other Law Enforcement	299	25
Ports, Waterways & Coastal Security	207	111
Defense Readiness	104	39
Mission-Program Allocation Total:	1,900	1,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

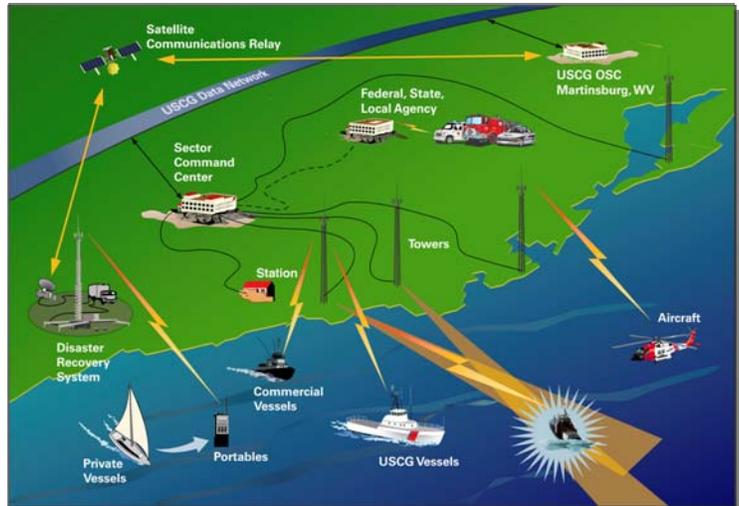
Rescue 21

\$36,000

Project Description, Justification and Scope

This request funds continuation of the Full Rate Production contract with General Dynamics C4 Systems (GDC4S). At the end of December 2009, Rescue 21 was deployed to 24 of 39 planned Sectors/Groups, standing watch and saving lives along 34,912 miles of U.S. coastline.

The Rescue 21 project replaces the U.S. Coast Guard's legacy National Distress and Response System (NDRS), which enhances the U.S. Coast Guard's mission execution through improved communications, command and control capabilities in the coastal zone. The basic NDRS components include radios, transceivers, towers for antennas, and an interconnecting network. It is the foundation for coastal Search and Rescue (SAR), and is a critical enabler of efficient and effective command and control for all missions in coastal zones.



Benefits of Rescue 21 include:

- Eliminates many existing communication coverage gaps ("dead zones") while ensuring continuous, enhanced VHF-FM marine radio coverage out to 20 nautical miles from shore within the coastal zone;
- Features digital voice recording capability with immediate playback, improving the ability to review and resolve garbled or unclear transmissions - critical to search and rescue planning and response;
- Provides improved direction finding capability for more timely response to mariners in distress and an ability to distinguish "hoax" calls from actual distress calls;
- Increases the number of voice channels from one to five, allowing watch standers to conduct multiple operations, while offering protected (secure) communications for homeland security missions when needed;
- Enhances Maritime Domain Awareness (MDA) by maintaining communications with mariners, and facilitating the timely flow of information between the Coast Guard and other government and law enforcement agencies; and
- Supports DHS Goal 4: Build a nimble, effective emergency response system and a culture of preparedness.
- Provides Digital Selective Calling capability to meet the international Global Maritime Distress and Safety System (GMDSS) requirements for Sea Area 1 per the Safety of Life at Sea (SOLAS) treaty.

FY 2011 will specifically accomplish the following work:

Rescue 21 Ground Subsystem (GSS) Deployment (partial) – Full Rate Production (FRP) Group III, Western Rivers (partial)

- Outside Continental U.S. Islands and Continental U.S., including Great Lakes, Sectors

Rescue 21

\$36,000

- Completes deployment at Sectors Detroit, MI; Los Angeles/Long Beach, CA; Honolulu, HI; San Juan, PR; Guam; and Buffalo, NY
- Continues deployment at Sectors Lake Michigan and Sault Ste Marie, MI
- Western Rivers
 - Continues deployment at Sectors Ohio River Valley, Upper Mississippi River, and Lower Mississippi River

At the end of December 2009, Rescue 21 is operational in 24 of 39 Sectors and is standing watch and saving lives along 34,912 miles of U.S. coastline at the following Sectors/Groups:

- | | |
|-------------------------|----------------------------|
| – Seattle, WA | – Northern New England |
| – Port Angeles, WA | – Boston, MA |
| – Astoria, OR | – Southeastern New England |
| – Portland, OR | – Long Island NY/CT |
| – North Bend, OR | – New York, NY |
| – Humboldt Bay, CA | – Delaware Bay |
| – Corpus Christi, TX | – Baltimore, MD |
| – Houston-Galveston, TX | – Hampton Roads, VA |
| – New Orleans, LA | – North Carolina |
| – Mobile, AL | – Charleston, SC |
| – St. Petersburg, FL | – Jacksonville, FL |
| – Key West, FL | – Miami, FL |

At the end of FY 2010, the following additional Sectors/Groups are scheduled to be operational, for a total of 35,748 miles of Rescue 21 coastline coverage:

- | | |
|---------------------|-----------------|
| – San Francisco, CA | – San Diego, CA |
|---------------------|-----------------|

At the end of FY 2011, the following additional Sectors are scheduled to be operational, for a total of 39,796 miles of Rescue 21 coastline coverage:

- | | |
|----------------|------------------------------|
| – Detroit, MI | – Los Angeles/Long Beach, CA |
| – Honolulu, HI | – San Juan, PR |
| – Guam | – Buffalo, NY |

Production Contractor:

- General Dynamics C4 Systems (GDC4S) of Scottsdale, AZ is the Rescue 21 Phase II Contractor. The Phase II contract is a delivery order based Indefinite Delivery, Indefinite Quantity (IDIQ) contract with award term incentives. The contract has a base period of eight years, plus one five-year award terms and one six-year award term. GDC4S is responsible for complete system maintenance and operates a 24/7 Customer Care Center (CCC) to respond to system discrepancies.

Subcontractors:

- Motorola, Inc. (Schaumburg, IL) – Radio subsystems
- Consolidate Analysts Centers, Federal, Inc (CACI) (Manassas, VA) – Direction finding subsystems
- General Dynamics Information Technology (GDIT) (Needham, MA) – Remote fixed facilities planning team member and construction management
- Stanley Associates, Inc. (Charleston, SC) – Fixed facility infrastructure and cutover

U. S. Coast Guard - FY 2011 Congressional Justification

Rescue 21

\$36,000

- Chelton Inc. (Lewisville, TX) – Co-site interference mitigation subsystems
- CellXion (Bossier City, LA) – RFF shelters
- MWH Americas, Inc. (Farmington Hills, MI) – Environmental services, planning team member
- Rhode & Schwarz (Columbia, MD) – Direction finding subsystems
- Western Maritime (San Diego, CA) – Direction finding calibration vessel testing
- Andrew Systems (IL) – Third party inspections and system support and maintenance
- MJM (TN) – Third party inspections and system support and maintenance

Significant Changes

No significant change. FY 2011 funding reflects anticipated procurement schedule.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2010					
Rescue 21 Ground Subsystem Deployment			FY10:1Q	FY10:4Q	88,835
Rescue 21 Alaska Subsystem			FY10:1Q	FY10:4Q	7,955
Rescue 21 Vessel Subsystem			FY10:1Q	FY10:4Q	1,500
Rescue 21 Western Rivers Subsystem			FY10:1Q	FY12:4Q	5,108
Project Technical Support			FY10:1Q	FY10:4Q	9,203
Project Org Support (training, travel, misc.)			FY10:1Q	FY10:4Q	599
Commercial Tower Leases			FY10:1Q	FY10:4Q	3,000
Environmental			FY10:1Q	FY10:4Q	800
FY 2011					
Rescue 21 Ground Subsystem Deployment			FY11:1Q	FY11:4Q	24,336
Rescue 21 Alaska Subsystem			FY11:1Q	FY11:4Q	0
Rescue 21 Vessel Subsystem			FY11:1Q	FY11:4Q	0
Project Technical Support			FY11:1Q	FY11:4Q	7,722
Project Org Support (training, travel, misc.)			FY11:1Q	FY11:4Q	610
Commercial Tower Leases			FY11:1Q	FY11:4Q	3,332

U. S. Coast Guard - FY 2011 Congressional Justification

Rescue 21

\$36,000

Schedule of Project Funding

	Project Funds				<u>Total</u>
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	553,356	73,000	117,000	36,000	779,356
Obligation	549,519	49,289	116,000	30,000	744,808
Expenditure	488,888	19,621	98,600	25,100	632,209
Breakdown of Project Expenditures					
Construction / Acquisition	393,638	14,065	77,132	15,807	500,642
Project Management	61,820	5,104	14,208	9,293	90,425
Rescue 21 Phase I Contract	31,262				31,262
CG VSS Installation	200	452	7,260		7,912
CG Anuenue Project	1,968				1,968

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Rescue 21 Ground Subsystem Deployment	24,336
Leases (towers, etc.)	3,332
<u>Project Management</u>	
Project Technical Support	7,722
Project Org Support (training, travel, misc)	610
FY 2011 Cost Estimate Project Total:	36,000

Method of Performance

The project manager uses an approved Earned Value Management System, which allows the Coast Guard to examine cost and schedule estimates, variances, and projections for completion.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	13,568	4,248
Marine Safety	10,274	3,297
Aids to Navigation	19,665	6,262
Ice Operations	2,237	720
Marine Environmental Protection	2,831	903
Living Marine Resources	10,870	3,307
Drug Interdiction	13,842	4,151
Migrant Interdiction	8,326	2,648
Other Law Enforcement	1,702	470
Ports, Waterways & Coastal Security	26,112	7,838
Defense Readiness	7,573	2,156
Mission-Program Allocation Total:	117,000	36,000

U. S. Coast Guard - FY 2011 Congressional Justification

Rescue 21

\$36,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Minor AC&I Shore Construction Projects **\$3,300**

Project Description, Justification and Scope

This program provides funds to complete minor AC&I shore facility construction projects. These projects are typically less complex and require less advance planning than major shore projects. These funds will be used to complete minor projects that have costs estimates which exceed the construction authority provided in the Operating Expense (OE) appropriation. For example, this may include:

- emergency repair projects which have cost estimates that are greater than 50% of the plant replacement value;
- minor facility improvements, which cost more than one million dollars, that are needed to adapt to changing/increased missions (FY09 Marine Inspector Billet Growth).

Significant Changes

The minor AC&I shore construction projects program was last funded in FY2005.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total
	Design Work		Project Work		Estimate
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	<u>Cost</u>
FY 2011					
Minor AC&I Shore Construction	FY11:Q1	FY11:Q3	FY11:Q2	FY11:Q4	3,300

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	23,880			3,300	27,180
Obligation	23,880			3,300	27,180
Expenditure	23,880			3,300	27,180
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	21,810			3,300	25,110
Survey, Design & Engineering	2,070				2,070

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011</u> <u>Cost Estimate</u>
<u>Construction / Acquisition</u>	
Minor AC&I Shore Construction	3,300
FY 2011 Cost Estimate Project Total:	3,300

U. S. Coast Guard - FY 2011 Congressional Justification

Minor AC&I Shore Construction Projects

\$3,300

Method of Performance

Construction contract will be monitored by the project manager to ensure compliance with the requirements stated in the performance work statement of the contract.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation <u>FY 2011</u>
Search and Rescue	389
Marine Safety	302
Aids to Navigation	574
Ice Operations	66
Marine Environmental Protection	83
Living Marine Resources	303
Drug Interdiction	381
Migrant Interdiction	243
Other Law Enforcement	43
Ports, Waterways & Coastal Security	718
Defense Readiness	198
Mission-Program Allocation Total:	3,300

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project will comply with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Renovate Chase Hall Barracks Phase III, CG Academy **\$21,000**

Project Description, Justification and Scope

This project continues prior efforts to renovate and improve the Chase Hall Barrack by improving habitability and bringing them into compliance with fire and life-safety standards. Chase Hall has significant life-safety issues that must be addressed. In addition, this comprehensive renovation enhances enrollment efforts, modernizes the campus and ensures the Academy remains competitive with other institutions of higher learning. This phase will specifically renovate Annex B.

In June 2008, the Coast Guard Academy completed the new Chase Hall E Annex, the first stage of a comprehensive mid-life renovation project to Chase Hall which provided the living space necessary to continue with renovations of Annexes A thru D. Each phase of renovation addresses significant life-safety deficiencies such as new fire detection and fire suppression systems, new fire rated doors, ceiling and wall assemblies, improved paths of egress with new lighting horns and strobes and new electrical and mechanical rooms. In addition, each phase of renovation introduces modern amenities to include IT upgrades, public address speakers, new interior finishes and new heating, ventilation and air conditioning (HVAC). The total area for all phases is approximately 343,000 GSF.

Significant Changes

No significant change.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	<u>Cost</u>
FY 2011					
Design	FY11:Q1	FY11:Q3			1,260
Chase Hall Renovate Annex B			FY11:Q2	FY12:Q2	19,740

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	15,850			21,000	36,850
Obligation	15,850			21,000	36,850
Expenditure	15,850			21,000	36,850
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	15,850			19,740	35,590
Survey, Design & Engineering				1,260	1,260

U. S. Coast Guard - FY 2011 Congressional Justification

Renovate Chase Hall Barracks Phase III, CG Academy

\$21,000

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Chase Hall Renovate Annex B	19,740
<u>Survey, Design & Engineering</u>	
Design	1,260
FY 2011 Cost Estimate Project Total:	21,000

Method of Performance

Construction contracts will be monitored by the project manager to ensure compliance with the requirements stated in the performance statement of work.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	<u>Budget Allocation FY 2011</u>
Search and Rescue	2,478
Marine Safety	1,923
Aids to Navigation	3,653
Ice Operations	420
Marine Environmental Protection	527
Living Marine Resources	1,929
Drug Interdiction	2,422
Migrant Interdiction	1,545
Other Law Enforcement	274
Ports, Waterways & Coastal Security	4,572
Defense Readiness	1,257
Mission-Program Allocation Total:	21,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project will comply with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Shore Infrastructure Survey and Design **\$5,000**

Project Description, Justification and Scope

The Coast Guard's FY 2011 Survey and Design (S&D) budget request includes funding essential to future year Acquisition, Construction and Improvement (AC&I) shore projects. Coast Guard shore facility AC&I funding has only a three-year period of availability. A pre-project survey and design ensures timely execution of shore facility AC&I appropriations.

Funding will provide in-house capability for planning and engineering studies, project design, master plans, appraisals, real property requirements and other architectural/engineering efforts. Completing proper planning and design helps to ensure AC&I projects are properly assessed, planned and prioritized prior to seeking project appropriations. The projects supported by this request contribute to the long-range plans and support of operational units.

Significant Changes

No significant changes.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total
	Design Work		Project Work		Estimate
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	<u>Cost</u>
FY 2010					
Survey & Design Admin	FY10:Q1	FY10:Q4			600
Academy Chase Hall/ Sector Buffalo	FY10:Q1	FY10:Q4			3,360
Petaluma Water Main/ Cape D. Firing Range	FY10:Q1	FY10:Q4			840
Sitka Housing/Honolulu UPH	FY10:Q1	FY10:Q4			1,200
FY 2011					
Survey & Design Admin	FY11:Q1	FY11:Q4			171
Sector Sault Ste Marie/Station Maui	FY11:Q1	FY11:Q4			980
Sector Guam Recap	FY11:Q1	FY11:Q4			1,150
Port Angeles SAFR	FY11:Q1	FY11:Q4			357
Station Vallejo/Sector Field Office Valdez	FY11:Q1	FY11:Q4			484
Station Kauai/CG Academy New Pier	FY11:Q1	FY11:Q4			714
Sector New England Ops/Admin	FY11:Q1	FY11:Q4			1,144

U. S. Coast Guard - FY 2011 Congressional Justification

Shore Infrastructure Survey and Design

\$5,000

Schedule of Project Funding

	Project Funds				<u>Total</u>
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	24,172	2,050	6,000	5,000	37,222
Obligation	24,172	2,050	6,000	5,000	37,222
Expenditure	24,172	2,050	6,000	5,000	37,222
<u>Breakdown of Project Expenditures</u>					
Survey, Design & Engineering	24,172	2,050	6,000	5,000	37,222

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Survey, Design & Engineering</u>	
Survey & Design Admin	171
Sector Sault Ste Marie/Station Maui	980
Sector Guam Recap	1,150
Port Angeles SAFR	357
Station Vallejo/Sector Field Office Valdez	484
Station Kauai/CG Academy New Pier	714
Sector New England Ops/Admin	1,144
FY 2011 Cost Estimate Project Total:	5,000

Method of Performance

Construction contracts will be monitored by the project manager to ensure compliance with the requirements stated in the performance statement of work for each.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	696	590
Marine Safety	527	458
Aids to Navigation	1,009	870
Ice Operations	115	100
Marine Environmental Protection	145	125
Living Marine Resources	557	459
Drug Interdiction	710	577
Migrant Interdiction	427	368
Other Law Enforcement	87	65
Ports, Waterways & Coastal Security	1,339	1,089
Defense Readiness	388	299
Mission-Program Allocation Total:	6,000	5,000

U. S. Coast Guard - FY 2011 Congressional Justification

Shore Infrastructure Survey and Design

\$5,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project will comply with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Thrun Hall Phase II

\$12,000

Project Description, Justification and Scope

This project will complete the replacement of the Unaccompanied Personnel Housing (UPH) at Support Center Elizabeth City, NC. This UPH is functionally obsolete; is in poor condition, beyond economic rehabilitation; and is located within the airstation's runway "object free zone". Built in 1966 as a 500 person barracks, Thrun Hall does not meet current life-safety codes and berthing standards. Further, the co-located Coast Guard Aviation Technical Training Center (ATTC) training mission is currently limited by the capacity of the Thrun Hall barracks. The project will construct a new UPH building of adequate capacity in a more suitable location within the ATTC portion of the Elizabeth City complex.

This phase of the project will provide facilities for the Electronics Support Detachment (ESD) and Personnel Support that were located in the existing UPH and will demolish existing facilities.

Significant Changes

No significant changes.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total
	Design Work		Project Work		Estimate
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	<u>Cost</u>
FY 2011					
Design	FY11:Q1	FY11:Q3			1,000
Construction			FY11:Q2	FY11:Q4	11,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation		36,000		12,000	48,000
Obligation			36,000	12,000	48,000
Expenditure			1,000	12,000	13,000
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition				11,000	11,000
Survey, Design & Engineering			1,000	1,000	2,000

Thrum Hall Phase II

\$12,000

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Construction of Electronic and Personnel Support Division workspaces	11,000
<u>Survey, Design & Engineering</u>	
Design	1,000
FY 2011 Cost Estimate Project Total:	12,000

Method of Performance

Construction contracts will be monitored by the project manager to ensure compliance with the requirements stated in the performance statement of work for each.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	<u>Budget Allocation FY 2011</u>
Search and Rescue	3,580
Marine Safety	149
Aids to Navigation	393
Ice Operations	209
Marine Environmental Protection	527
Living Marine Resources	1,279
Drug Interdiction	2,418
Migrant Interdiction	1,180
Other Law Enforcement	226
Ports, Waterways & Coastal Security	1,943
Defense Readiness	96
Mission-Program Allocation Total:	12,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project will comply with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Shore AC&I Newport, RI Pier **\$23,500**

Project Description, Justification and Scope

This funding will rehabilitate an existing pier face to provide over 800+ linear feet of moorings for the Coast Guard Cutters *JUNIPER*, *WILLOW* and *IDA LEWIS*. In addition to the waterfront improvements, this project will create the necessary pierside support facilities including: parking lot, buoy lay-down area, office, maintenance storage and fencing.

The U.S. Navy is in the process of condemning the cutters' current moorings due to progressive deterioration. By co-locating these buoy tenders, and their supporting functions, at the new pier location, the Coast Guard will be able to achieve operations and maintenance benefits through proximity to support and supplies. In addition, this project will preserve current synergies achieved by co-locating these assets with the Navy. This funding leverages a separate US Navy project to stabilize the wharf.

Significant Changes

No significant changes.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total
	Design Work		Project Work		Estimate
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	<u>Cost</u>
FY 2011					
Survey and Design	FY 11: Q1	FY 11: Q2			2,000
Construction			FY 11: Q2	FY 11: Q4	21,500

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation				23,500	23,500
Obligation				23,500	23,500
Expenditure				23,500	23,500
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition				21,500	21,500
Survey, Design & Engineering				2,000	2,000

U. S. Coast Guard - FY 2011 Congressional Justification

Shore AC&I Newport, RI Pier

\$23,500

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Construction	21,500
<u>Survey, Design & Engineering</u>	
Survey and Design	2,000
FY 2011 Cost Estimate Project Total:	23,500

Method of Performance

Construction contract will be monitored by the project manager to ensure compliance with the requirements stated in the performance statement of work for each.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	<u>Budget Allocation FY 2011</u>
Search and Rescue	700
Marine Safety	114
Aids to Navigation	14,937
Ice Operations	228
Marine Environmental Protection	319
Living Marine Resources	2,646
Drug Interdiction	-
Migrant Interdiction	1,369
Other Law Enforcement	152
Ports, Waterways & Coastal Security	1,468
Defense Readiness	1,567
Mission-Program Allocation Total:	23,500

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project will comply with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Waterways ATON Infrastructure **\$4,400**

Project Description, Justification and Scope

This request provides funding to establish, repair and improve Aids to Navigation on Federal waterways. Funding from this project enhances interstate transportation and waterway recreation through lower cost preventative maritime safety measures. Regular annual project funding enables the Coast Guard to be proactive in planning AtoN replacements as well as be responsive to emergent needs.

This request will help fund projects that are critical to safe and efficient maritime transportation.

Significant Changes

No significant changes.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	<u>Cost</u>
FY 2010					
Construction and Acquisition	FY10: Q1	FY10: Q2	FY10: Q3	FY10: Q4	3,180
Survey and Design	FY10: Q1	FY10: Q2	FY10: Q3	FY10: Q4	800
Project Management	FY10:Q1	FY10: Q2	FY10: Q3	FY10: Q4	20
FY 2011					
Construction and Acquisition	FY11: Q1	FY11: Q2	FY11: Q3	FY11: Q4	4,070
Survey and Design	FY11: Q1	FY11: Q2	FY11: Q3	FY11: Q4	310
Project Management	FY11: Q1	FY11: Q2	FY11: Q3	FY11: Q4	20

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	30,296	4,000	4,000	4,400	42,696
Obligation	28,682	4,000	4,000	4,400	41,082
Expenditure	28,682	4,000	4,000	4,400	41,082
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	26,529	3,575	3,180	4,070	37,354
Survey, Design & Engineering	1,323	400	800	310	2,833
Project Management	830	25	20	20	895

Waterways ATON Infrastructure

\$4,400

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Construction of fixed structures/acquisition of equipment	4,070
<u>Survey, Design & Engineering</u>	
Fixed structures	310
<u>Project Management</u>	
Inspections	20
FY 2011 Cost Estimate Project Total:	4,400

Method of Performance

This construction project will be monitored by the project officer to ensure compliance with the requirements stated in the performance work statement of the contract.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	-	-
Marine Safety	-	-
Aids to Navigation	4,000	4,400
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	-	-
Drug Interdiction	-	-
Migrant Interdiction	-	-
Other Law Enforcement	-	-
Ports, Waterways & Coastal Security	-	-
Defense Readiness	-	-
Mission-Program Allocation Total:	4,000	4,400

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

AC&I Core

\$510

Project Description, Justification and Scope

This funding is necessary to cover costs associated with project overhead activities for major acquisition projects. The primary initiatives include contractor support services, records storage and training. The funding allows the Coast Guard to maintain an effective acquisition process by providing AC&I resources that are not project-specific. Resources are needed to maintain core competencies and capabilities necessary to execute assigned workload while meeting various requirements established in the Chief Financial Officer Act, Clinger-Cohen Act and OMB Circular A-76.

Significant Changes

No significant changes.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	<u>Cost</u>
FY 2010					
Management Support			FY10:Q1	FY10:Q4	350
Human Resource Requirements			FY10:Q1	FY10:Q4	75
Project Record Storage			FY10:Q1	FY10:Q4	60
FY 2011					
Management Support			FY11:Q1	FY11:Q4	375
Human Resource Requirements			FY11:Q1	FY11:Q4	75
Project Record Storage			FY11:Q1	FY11:Q4	60

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	7,960	500	500	510	9,470
Obligation	7,960	500	500	510	9,470
Expenditure	7,960	500	500	510	9,470
<u>Breakdown of Project Expenditures</u>					
Project Management	7,960	500	500	510	9,470

AC&I Core

\$510

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Contractor Support	350
Human Resource Requirements	75
Project Record Storage	60
Management Travel, Support and Supplies	25
FY 2011 Cost Estimate Project Total:	510

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	57	43
Marine Safety	11	7
Aids to Navigation	13	16
Ice Operations	11	1
Marine Environmental Protection	6	4
Living Marine Resources	79	95
Drug Interdiction	119	147
Migrant Interdiction	80	86
Other Law Enforcement	15	21
Ports, Waterways & Coastal Security	80	53
Defense Readiness	29	37
Mission-Program Allocation Total:	500	510

Compliance with Public Laws, Regulations, Standards & Executive Orders

This funding request lists requirements that are in accordance with Appropriations laws and the Chief Financial Officer Act.

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Direct Personnel Costs **\$107,051**

Project Description, Justification and Scope

This request funds the salaries, compensation and support costs (including annual pay raise and COLA) for personnel who manage, execute and administer multi-year funded projects within the Acquisition, Construction and Improvements (AC&I) Program. The personnel will support projects requested in this budget submission, as well as prior year funded AC&I projects, by performing planning, design, engineering, contracting, project management, quality assurance and logistics support activities. This ensures the products and services acquired through the AC&I program are completed on time, on budget and in compliance with performance requirements.

The requested funding level will support a total of 785 FTE (an increase of 50 FTE from the FY2010 Enacted level). The additional FTE will be used to implement management, project staff and technical authorities as the Coast Guard takes on the systems integrator role for the Deepwater program. These positions are critical to enhance the Coast Guard's acquisitions program as it continues to implement strategies in the Coast Guard's *Blueprint for Acquisition Reform* and the *Blueprint for Continuous Improvement*.

Significant Changes

No significant change.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2010					
Direct Personnel Costs			FY10:Q1	FY10:Q4	104,700
FY 2011					
Direct Personnel Costs			FY11:Q1	FY11:Q4	107,051

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation	559,557	92,330	104,700	107,051	863,638
Obligation	559,557	92,330	104,700	107,051	863,638
Expenditure	559,557	92,330	104,700	107,051	863,638
<u>Breakdown of Project Expenditures</u>					
Direct Personnel Costs	559,557	92,330	104,700	107,051	863,638

U. S. Coast Guard - FY 2011 Congressional Justification

Direct Personnel Costs

\$107,051

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Other Costs</u>	
Direct Personnel Costs	107,051
FY 2011 Cost Estimate Project Total:	107,051

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2010</u>	<u>FY 2011</u>
Search and Rescue	11,927	8,944
Marine Safety	2,266	1,510
Aids to Navigation	2,715	3,443
Ice Operations	2,335	304
Marine Environmental Protection	1,156	769
Living Marine Resources	16,632	19,989
Drug Interdiction	24,927	30,830
Migrant Interdiction	16,718	18,006
Other Law Enforcement	3,194	4,376
Ports, Waterways & Coastal Security	16,784	11,033
Defense Readiness	6,046	7,847
Mission-Program Allocation Total:	104,700	107,051

U. S. Coast Guard
Acquisition, Construction & Improvements
FY 2011 Congressional Justification
(Dollars in Thousands)

Military Housing **\$13,965**

Project Description, Justification and Scope

Project Description, Justification and Scope

This new project provides for the recapitalization, improvement and/or acquisition of housing to support Military families. The FY2011 request will fund the following Military Housing initiatives:

Upper Keys – Recapitalization of Military Family Housing (\$11,965)

This request funds part of a multi-phase effort to provide a total of 42 new family housing units in the upper Florida Keys, an area with documented housing shortages. Nine units, a variety of duplexes and single family dwellings built to withstand hurricane conditions, are currently under construction at a cost of approximately \$7.3M. This next useful segment of funding will build on prior year efforts to fund the acquisition and construction of approximately fifteen more housing units for Coast Guard families assigned to the Upper Keys. These funds will provide greater access to affordable and suitable housing for Coast Guard members and their families assigned to this high-cost housing area.

Station Montauk – Acquire Military Family Housing (\$2,000)

This request funds the final phase of a two-phase effort to provide a total of six homes, through open-market acquisition, for families living in this high-cost housing area. Fiscal year 2009 appropriations enabled the Coast Guard to purchase three homes in this area. Requested funding will allow the Coast Guard to purchase three additional homes for military families and members assigned to Station Montauk, New York.

Significant Changes

No significant changes.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2011					
Upper Keys Construction of 7 housing units	FY11:Q1		FY11:Q4		11,965
STA Montauk Acquisition of 3 housing units	FY11:Q1		FY11:Q4		2,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2008 & Prior</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	
Appropriation				13,965	13,965
Obligation				13,965	13,965
Expenditure				8,000	8,000
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition				7,500	7,500
Project Management				500	500

Military Housing

\$13,965

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2011 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Upper Keys Family Housing	11,965
Station Montauk Family Housing	2,000
FY 2011 Cost Estimate Project Total:	13,965

Method of Performance

This construction project will be monitored by the project officer to ensure compliance with the requirements stated in the performance work statement of the contract.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	<u>Budget Allocation FY 2011</u>
Search and Rescue	1,648
Marine Safety	1,279
Aids to Navigation	2,429
Ice Operations	279
Marine Environmental Protection	351
Living Marine Resources	1,283
Drug Interdiction	1,610
Migrant Interdiction	1,027
Other Law Enforcement	182
Ports, Waterways & Coastal Security	3,040
Defense Readiness	837
Mission-Program Allocation Total:	13,965

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Vessels & Critical Infrastructure
Funding Schedule
(Dollars in Thousands)**

Vessels & Critical Infrastructure		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	577	642	333	(309)
22.0	Transportation of things	186	257	133	(124)
23.1	GSA rent	-	-	-	-
23.2	Other rent	125	128	67	(61)
23.3	Communication, utilities, and misc charges	294	257	133	(124)
24.0	Printing and reproduction	4	-	-	-
25.1	Advisory and assistance services	25,811	27,221	14,125	(13,096)
25.2	Other services	33,927	35,696	18,524	(17,172)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	3	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	2	-	-	-
26.0	Supplies and materials	(6,199)	10,786	5,597	(5,189)
31.0	Equipment	43,325	45,583	23,655	(21,928)
32.0	Land and structures	7,429	7,832	4,066	(3,766)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		\$ 105,484	\$ 128,402	\$ 66,633	\$ (61,769)
Full Time Equivalent		-	-	-	-

Summary Justification and Explanation of Changes

Travel

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 577	\$ 642	\$ 333	\$ (309)

Travel includes all costs of transportation of persons, subsistence of travelers and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request reflects the anticipated need and specifically funds transport of personnel in support of training, project management and oversight of the Response Boat - Medium Project.

Transportation of things

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 186	\$ 257	\$ 133	\$ (124)

Transportation of things includes all costs of the care of such things while in process of being transported and other services incident to the transportation of things. Specifically, funding provides for shipment of goods, equipment, supplies and materials to support completion of AC&I projects. The FY 2011 request reflects the anticipated need.

Other rent

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 125	\$ 128	\$ 67	\$ (61)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g., office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.). The FY 2011 request reflects the anticipated need.

Communication, utilities, and misc charges

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 294	\$ 257	\$ 133	\$ (124)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities and cutters, utility costs, including shore facility utilities, cutter and boat fuel requirements, and postal costs. The FY 2011 request reflects the anticipated need.

Advisory and assistance services

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 25,811	\$ 27,221	\$ 14,125	\$ (13,096)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. The FY 2011 request reflects the anticipated need.

Other services

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	33,927	\$	35,696	\$	18,524	\$	(17,172)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions. The FY 2011 request reflects the anticipated need.

Supplies and materials

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	(6,199)	\$	10,786	\$	5,597	\$	(5,189)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters and boats, supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The FY 2011 request reflects the anticipated need.

Equipment

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	43,325	\$	45,583	\$	23,655	\$	(21,928)

This object class covers the purchase of capitalized and non-capitalized assets. The FY 2011 request reflects the anticipated need.

Land and structures

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	7,429	\$	7,832	\$	4,066	\$	(3,766)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request reflects the anticipated need.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Integrated Deepwater Systems
Funding Schedule
(Dollars in Thousands)**

Integrated Deepwater Systems		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	3,842	8,198	7,573	(625)
22.0	Transportation of things	1,236	3,279	3,029	(250)
23.1	GSA rent	-	-	-	-
23.2	Other rent	829	1,640	1,515	(125)
23.3	Communication, utilities, and misc charges	1,958	3,279	3,029	(250)
24.0	Printing and reproduction	27	-	-	-
25.1	Advisory and assistance services	171,893	347,588	321,098	(26,490)
25.2	Other services	225,942	455,799	421,063	(34,736)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	19	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	12	-	-	-
26.0	Supplies and materials	(41,287)	137,723	127,228	(10,495)
31.0	Equipment	288,533	582,045	537,688	(44,357)
32.0	Land and structures	49,494	100,013	92,392	(7,621)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		\$ 702,498	\$ 1,639,564	\$ 1,514,615	\$ (124,949)
Full Time Equivalent		-	-	-	-

Summary Justification and Explanation of Changes

Travel

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$	3,842	\$	8,198	\$	7,573	\$ (625)

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects the anticipated need.

Transportation of things

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$	1,236	\$	3,279	\$	3,029	\$ (250)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request reflects the anticipated need.

Other rent

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$	829	\$	1,640	\$	1,515	\$ (125)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g. office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.). The FY 2011 request reflects the anticipated need.

Communication, utilities, and misc charges

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$	1,958	\$	3,279	\$	3,029	\$ (250)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities, cutters, and aircraft, utility costs including shore facility utilities and cutter, boat and aircraft fuel requirements, and postal costs. The FY 2011 request reflects the anticipated need.

Advisory and assistance services

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
	\$	171,893	\$	347,588	\$	321,098	\$ (26,490)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects the anticipated need.

Other services

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	225,942	\$	455,799	\$	421,063	\$	(34,736)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions. The FY 2011 request reflects the anticipated need.

Supplies and materials

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	(41,287)	\$	137,723	\$	127,228	\$	(10,495)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The FY 2011 request reflects the anticipated need.

Equipment

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	288,533	\$	582,045	\$	537,688	\$	(44,357)

This object class covers the purchase of capitalized and non-capitalized assets. The FY 2011 request reflects the anticipated need.

Land and structures

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	49,494	\$	100,013	\$	92,392	\$	(7,621)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request reflects the anticipated need.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Aircraft
Funding Schedule
(Dollars in Thousands)**

Aircraft		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	22	9	21	12
22.0	Transportation of things	7	3	8	5
23.1	GSA rent	-	-	-	-
23.2	Other rent	5	2	4	2
23.3	Communication, utilities, and misc charges	11	3	8	5
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	991	369	887	518
25.2	Other services	1,302	483	1,164	681
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	(238)	146	352	206
31.0	Equipment	1,663	617	1,486	869
32.0	Land and structures	286	107	256	149
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		\$ 4,049	\$ 1,739	\$ 4,186	\$ 2,447
Full Time Equivalent		-	-	-	-

Summary Justification and Explanation of Changes

Travel

2009	2010	2011	2010 - 2011
Actual	Enacted	Request	Change
\$ 22	\$ 9	\$ 21	12

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. There are no requests for Aircraft projects in FY 2011.

Transportation of things

2009	2010	2011	2010 - 2011
Actual	Enacted	Request	Change
\$ 7	\$ 3	\$ 8	5

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Specifically, funding supports the shipment of military member's household goods in conjunction with Permanent Change of Station (PCS) moves. There are no requests for Aircraft projects in FY 2011.

Other rent

2009	2010	2011	2010 - 2011
Actual	Enacted	Request	Change
\$ 5	\$ 2	\$ 4	2

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g. office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.) There are no requests for Aircraft projects in FY 2011.

Communication, utilities, and misc charges

2009	2010	2011	2010 - 2011
Actual	Enacted	Request	Change
\$ 11	\$ 3	\$ 8	5

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities and aircraft, utility costs including shore facility utilities and aircraft fuel requirements, and postal costs. There are no requests for Aircraft projects in FY 2011.

Advisory and assistance services

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	991	\$	369	\$	887	\$	518

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. The FY 2011 request reflects the anticipated need.

Other services

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	1,302	\$	483	\$	1,164	\$	681

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions. The FY 2011 request reflects the anticipated need.

Supplies and materials

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	(238)	\$	146	\$	352	\$	206

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The FY 2011 request reflects the anticipated need.

Equipment

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	1,663	\$	617	\$	1,486	\$	869

This object class covers the purchase of capitalized and non-capitalized assets. The FY 2011 request reflects the anticipated need.

Land and structures

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	286	\$	107	\$	256	\$	149

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request reflects the anticipated need.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Other Equipment
Funding Schedule
(Dollars in Thousands)**

Other Equipment		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	755	932	259	(673)
22.0	Transportation of things	243	373	103	(270)
23.1	GSA rent	-	-	-	-
23.2	Other rent	163	186	52	(134)
23.3	Communication, utilities, and misc charges	385	373	103	(270)
24.0	Printing and reproduction	6	-	-	-
25.1	Advisory and assistance services	33,767	39,503	10,964	(28,539)
25.2	Other services	44,385	51,801	14,378	(37,423)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	4	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	3	-	-	-
26.0	Supplies and materials	(8,110)	15,652	4,344	(11,308)
31.0	Equipment	56,679	66,149	18,360	(47,789)
32.0	Land and structures	9,719	11,367	3,156	(8,211)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		\$ 137,999	\$ 186,336	\$ 51,719	\$ (134,617)
Full Time Equivalents		-	-	-	-

Summary Justification and Explanation of Changes

Travel

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	755	\$	932	\$	259	\$	(673)

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects the anticipated need.

Transportation of things

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	243	\$	373	\$	103	\$	(270)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request reflects the anticipated need.

Other rent

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	163	\$	186	\$	52	\$	(134)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g. office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.). The FY 2011 request reflects the anticipated need.

Communication, utilities, and misc charges

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	385	\$	373	\$	103	\$	(270)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request reflects the anticipated need.

Advisory and assistance services

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	33,767	\$	39,503	\$	10,964	\$	(28,539)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects the anticipated need.

Other services

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	44,385	\$	51,801	\$	14,378	\$	(37,423)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions. The FY 2011 request reflects the anticipated need.

Supplies and materials

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	(8,110)	\$	15,652	\$	4,344	\$	(11,308)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The FY 2011 request reflects the anticipated need.

Equipment

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	56,679	\$	66,149	\$	18,360	\$	(47,789)

This object class covers the purchase of capitalized and non-capitalized assets. The FY 2011 request reflects the anticipated need.

Land and structures

	2009 Actual		2010 Enacted		2011 Request		2010 - 2011 Change
\$	9,719	\$	11,367	\$	3,156	\$	(8,211)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request reflects the anticipated need.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Shore Facilities & Aids To Navigation
Funding Schedule
(Dollars in Thousands)**

Shore Facilities & Aids To Navigation		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	489	1,171	1,202	31
22.0	Transportation of things	157	469	481	12
23.1	GSA rent	-	-	-	-
23.2	Other rent	106	234	240	6
23.3	Communication, utilities, and misc charges	249	469	481	12
24.0	Printing and reproduction	3	-	-	-
25.1	Advisory and assistance services	21,871	49,663	50,947	1,284
25.2	Other services	28,748	65,124	66,807	1,683
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	2	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	2	-	-	-
26.0	Supplies and materials	(5,253)	19,679	20,186	507
31.0	Equipment	36,712	83,162	85,311	2,149
32.0	Land and structures	6,297	14,287	14,659	372
41.0	Grants, subsidies and contributions	1	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		\$ 89,384	\$ 234,258	\$ 240,314	\$ 6,056
Full Time Equivalent		-	-	-	-

Summary Justification and Explanation of Changes

Travel

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 489	\$ 1,171	\$ 1,202	\$ 31

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. Increased funding in FY 2011 is a result of additional project funding and the execution of FY 2009 supplemental funding.

Transportation of things

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 157	\$ 469	\$ 481	\$ 12

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Increased funding in FY 2011 is a result of additional project funding and the execution of FY 2009 supplemental funding.

Other rent

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 106	\$ 234	\$ 240	\$ 6

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g. office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.). Increased funding in FY 2011 is a result of additional project funding and the execution of FY 2009 supplemental funding.

Communication, utilities, and misc charges

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 249	\$ 469	\$ 481	\$ 12

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Increased funding in FY 2011 is a result of additional project funding and the execution of FY 2009 supplemental funding.

Advisory and assistance services

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 21,871	\$ 49,663	\$ 50,947	\$ 1,284

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Increased funding in FY 2011 is a result of additional project funding and the execution of FY 2009 supplemental funding.

Other services

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 28,748	\$ 65,124	\$ 66,807	\$ 1,683

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions. Increased funding in FY 2011 is a result of additional project funding and the execution of FY 2009 supplemental funding.

Supplies and materials

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ (5,253)	\$ 19,679	\$ 20,186	\$ 507

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. Increased funding in FY 2011 is a result of additional project funding and the execution of FY 2009 supplemental funding.

Equipment

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 36,712	\$ 83,162	\$ 85,311	\$ 2,149

This object class covers the purchase of capitalized and non-capitalized assets. Increased funding in FY 2011 is a result of additional project funding and the execution of FY 2009 supplemental funding.

Land and structures

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 6,297	\$ 14,287	\$ 14,659	\$ 372

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. Increased funding in FY 2011 is a result of additional project funding and the execution of FY 2009 supplemental funding.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
DHS Headquarters
Funding Schedule
(Dollars in Thousands)**

DHS Headquarters		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	534	-	-	-
22.0	Transportation of things	172	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	115	-	-	-
23.3	Communication, utilities, and misc charges	272	-	-	-
24.0	Printing and reproduction	4	-	-	-
25.1	Advisory and assistance services	23,876	-	-	-
25.2	Other services	31,384	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	3	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	2	-	-	-
26.0	Supplies and materials	(5,735)	-	-	-
31.0	Equipment	40,078	-	-	-
32.0	Land and structures	6,873	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		\$ 97,578	\$ -	\$ -	\$ -
Full Time Equivalents		-	-	-	-

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Personnel & Related Support
Funding Schedule
(dollars in thousands)**

Personnel & Related Support		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	34,503	39,974	43,771	3,797
11.3	Other than full-time permanent	189	219	237	18
11.5	Other personnel compensation	788	913	991	78
11.7	Military personnel	31,225	35,476	38,333	2,857
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	8,997	10,423	11,658	1,235
12.2	Military personnel benefits	4,399	5,019	5,421	402
13.0	Benefits-former	-	-	-	-
21.0	Travel	66	66	36	(30)
22.0	Transportation of things	21	26	14	(12)
23.1	GSA rent	-	-	-	-
23.2	Other rent	14	13	7	(6)
23.3	Communication, utilities, and misc charges	33	26	14	(12)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	2,938	2,793	1,516	(1,277)
25.2	Other services	3,862	3,663	1,988	(1,675)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	(706)	1,107	600	(507)
31.0	Equipment	4,932	4,677	2,538	(2,139)
32.0	Land and structures	848	805	437	(368)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
	Total Other Objects	12,008	13,176	7,150	2,361
	Total Direct Obligations	\$ 92,109	\$ 105,200	\$ 107,561	\$ 2,361
	Full Time Equivalents	704	735	785	50

Summary Justification and Explanation of Changes

Salaries and Benefits

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 80,101	\$ 92,024	\$ 100,411	\$ 8,387

Salaries, benefits, and support for the military and civilian personnel who administer AC&I contracts are funded by the AC&I appropriation. FY 2011 request includes funding for the proposed pay raise (1.4% for military and 1.4% for civilians), medical benefits, other mandatory personnel entitlements.

Travel

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 66	\$ 66	\$ 36	(30)

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects the anticipated need.

Transportation of things

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 21	\$ 26	\$ 14	(12)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Specifically, funding supports the shipment of military member's household goods in conjunction with Permanent Change of Station (PCS) moves.

Other rent

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 14	\$ 13	\$ 7	(6)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g. office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.).

Communication, utilities, and misc charges

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 33	\$ 26	\$ 14	(12)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities, cutters, and aircraft, utility costs including shore facility utilities and cutter, boat and aircraft fuel requirements, and postal costs.

Advisory and assistance services

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 2,938	\$ 2,793	\$ 1,516	\$ (1,277)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects the anticipated need.

Other services

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 3,862	\$ 3,663	\$ 1,988	\$ (1,675)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions. The FY 2011 request reflects the anticipated need.

Supplies and materials

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ (706)	\$ 1,107	\$ 600	\$ (507)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The FY 2011 request reflects the anticipated need.

Equipment

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 4,932	\$ 4,677	\$ 2,538	\$ (2,139)

This object class covers the purchase of capitalized and non-capitalized assets. The FY 2011 request reflects the anticipated need.

Land and structures

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 848	\$ 805	\$ 437	\$ (368)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request reflects the anticipated need.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Military Housing
Funding Schedule
(Dollars in Thousands)**

Military Housing		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	70	70
22.0	Transportation of things	-	-	28	28
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	14	14
23.3	Communication, utilities, and misc charges	-	-	28	28
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	2,961	2,961
25.2	Other services	-	-	3,882	3,882
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	1,173	1,173
31.0	Equipment	-	-	4,958	4,958
32.0	Land and structures	-	-	851	851
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		\$ -	\$ -	\$ 13,965	\$ 13,965
Full Time Equivalents		-	-	-	-

Summary Justification and Explanation of Changes

Travel

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ -	\$ -	\$ 70	\$ 70

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler.

Transportation of things

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ -	\$ -	\$ 28	\$ 28

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

Other rent

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ -	\$ -	\$ 14	\$ 14

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g. office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.).

Communication, utilities, and misc charges

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ -	\$ -	\$ 28	\$ 28

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

Advisory and assistance services

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ -	\$ -	\$ 2,961	\$ 2,961

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

Other services

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ -	\$ -	3,882	\$ 3,882

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions.

Supplies and materials

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ -	\$ -	1,173	\$ 1,173

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies.

Equipment

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ -	\$ -	4,958	\$ 4,958

This object class covers the purchase of capitalized and non-capitalized assets.

Land and structures

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ -	\$ -	851	\$ 851

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease.

I. Changes in Full-Time Equivalents

Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Changes in Full-Time Equivalents

	FY 2009	FY 2010	FY 2011
BASE: Start of Year (SOY) FTE levels	652	685	735
INCREASES:			
Increase #1: AC&I personnel management.	52	50	50
Description: Management and oversight of AC&I projects.			
Subtotal, Increases:	52	50	50
DECREASES:			
Subtotal, Decreases:	0	0	0
Year-end Enacted / Estimated FTEs	704	735	785
Net Change from prior year SOY base to budget year estimate:	52	50	50

*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

J. Glossary of Abbreviations

Acronym	Definition
AC&I	Acquisition, Construction and Improvements (Appropriation)
APB	Acquisition Program Baseline
ASM	Aviation Special Mission
AT/FP	Anti-Terrorism Force Protection
AUF	Airborne Use of Force
C2CEN	Command & Control Engineering Center
C4ISR	Command, Control, Communications, Computers, Intelligence, Surveillance and Reconnaissance
CAS	Cost Accounting Standards
CBRNE	Chemical, Biological, Radiological, Nuclear, Explosive
CDR	Critical Design Review
CLIN	Contract Line Item Number
COMOPTEVFOR	Commander Operational Test and Evaluation Force
COP	Common Operational Picture
COTR	Contracting Officer Technical Representative
DCAA	Defense Contract Audit Agency
DD	Detailed Design (Phase)
DT&E	Developmental Test and Evaluation (Phase)
DTO	Delivery Task Order
FFP	Firm Fixed Price
FRC	Fast Response Cutter
G&A	General and Administrative
ICGS	Integrated Coast Guard System
IDS	Integrated Deepwater System
INSURV	Board of Inspection and Survey
IOC	Initial Operating Capability
IPT	Integrated Product Team
LLTM	Long Lead-Time Material
LRI	Long Range Interceptor (Small Boat)
LRS	Long Range Surveillance (Aircraft)
MCH	Multi-mission Cutter Helicopter
MDA	Maritime Domain Awareness
MEP	Mission Effectiveness Project
MPA	Maritime Patrol Aircraft
MRR	Medium Range Recovery (Aircraft)
MRS	Medium Range Surveillance (Aircraft)
MSP	Mission Systems Pallet
NAVAIR	Naval Air Systems Command
NAVSEA	Naval Sea Systems Command
NSC	National Security Cutter

NWSC	Naval Surface Warfare Center
OPC	Offshore Patrol Cutter
OT&E	Operational Test and Evaluation (Phase)
OTH	Over the Horizon
PDR	Preliminary Design Review (Phase)
P&D	Production & Deployment (Phase)
P&CD	Production & Contract Design (Phase)
PPE	Personal Protective Equipment
PRR	Production Readiness Review
SPAWAR	Space & Naval Warfare Systems Center
SRR	System Requirements Review
SRP	Short Range Prosecutor (Small Boat)
TOC	Total Ownership Cost
TRR	Test Readiness Review
VUAV	Vertical Takeoff and Landing Unmanned Air Vehicle
WMEC	Medium Endurance Cutter
WPB	Patrol Boat

Department of Homeland Security

United States Coast Guard

Alteration of Bridges



Fiscal Year 2011

Congressional Justification

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U. S. Coast Guard
Alteration of Bridges

I. Appropriation Overview

A. Mission Statement for Alteration of Bridges:

Alteration of unreasonably obstructive bridges supports navigational safety and freedom of mobility to facilitate commerce, emergency response and U.S. Government operations by providing sufficient clearances for the type of vessels that transit beneath bridges. Alterations also deter waterway and highway/railway closures due to accidents.

B. Budget Activities:

Funding supports the Coast Guard's Aids to Navigation mission.

C. Budget Request Summary:

The Coast Guard is not requesting funding for Alteration of Bridges in FY 2011.

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Alteration of Bridges
Program Performance Justification
(Dollars in Thousands)**

PPA I: ALTERATION OF BRIDGES

	Perm Pos	FTE	Amount
2009 Actual	\$13,997
2010 Enacted	\$4,000
2011 Adjustments-to-Base			(\$4,000)
2011 Current Services
2011 Program Change
2011 Request
Total Change 2010-2011	(\$4,000)

The Coast Guard does not request any funding for this activity in FY 2011.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Alteration of Bridges program funds the Federal government's share of the costs for altering or removing bridges determined to be unreasonable obstructions to navigation. Under the Federal-Aid to Highways Program, unreasonably obstructive highway bridges may be eligible for funding. Under the Truman-Hobbs Act of 1940 (33 U.S.C. 511-523), the Federal government shares, with the bridge owner, the cost of altering railroad and publicly-owned highway bridges obstructing the free movement of vessel traffic.

Significant accomplishments in FY 2009 included:

- CSXT Railroad Bridge across the Mobile River in Mobile, Alabama: Completed the final design, environmental documentation, and bid package, and acquired all necessary permits.
- EJ&E Railroad Bridge across Illinois Waterways in Divine, Illinois: Completed the final design, environmental documentation, and bid package, and acquired all necessary permits.
- Burlington Northern Santa Fe Railroad Bridge across the Upper Mississippi River in Burlington, Iowa: Completed the final design, environmental documentation, and bid package, and acquired all necessary permits.
- Galveston Railroad Bridge across the Gulf Intracoastal Waterway in Galveston, Texas: Completed the final design, environmental documentation, and bid package, and acquired all necessary permits.

- Canadian Pacific Railroad Bridge across the Upper Mississippi River in Lacrosse, Wisconsin: Completed 80 percent of the design of the new bridge.
- Burlington Northern Santa Fe Railroad Bridge across the Upper Mississippi River in Fort Madison, Iowa: Update the design of the new bridge.

There are currently eight bridges that the Coast Guard has determined to be unreasonable obstructions to navigation and has issued orders to alter.

The Coast Guard has deemed an additional 32 bridges as potentially unreasonable obstructions to navigation. These bridges will require a Truman-Hobbs eligibility detailed investigation to definitively determine whether they are unreasonably obstructive.

Alteration of Bridges received \$142 million for “construction ready” bridge alteration projects through the American Recovery and Reinvestment Act (ARRA) of 2009. The proposed projects to receive ARRA funding, the first four bridges listed above, are described in the ARRA AB Expenditure Report submitted to Congress.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U. S. Coast Guard
Justification of Proposed Changes in Alteration of Bridges
Appropriation Language**

[For necessary expenses for alteration or removal of obstructive bridges, as authorized by section 6 of the Truman-Hobbs Act (33 U.S.C. 516), \$4,000,000, to remain available until expended: Provided, That of the amounts made available under this heading, \$4,000,000 shall be for the Fort Madison Bridge in Fort Madison, Iowa.] (Department of Homeland Security Appropriations Act, 2010.)

B. FY 2010 to FY 2011 Budget Change

**Department of Homeland Security
U. S. Coast Guard
Alteration of Bridges
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2009 Actual	-	-	\$ 13,997
2010 Enacted	-	-	4,000
Adjustments-to-Base			
Total Decreases	-	-	(4,000)
Total Adjustments-to-Base	-	-	(4,000)
2011 Current Services	-	-	-
Program Changes			
Program Decreases	-	-	-
Total Program Changes	-	-	-
2011 Request	-	-	-
2010 to 2011 Total Change	-	-	(4,000)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Alteration of Bridges
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
11.1 Full-time permanent	-	-	-	-
11.3 Other than full-time permanent	-	-	-	-
11.5 Other personnel compensation	-	-	-	-
11.7 Military personnel	-	-	-	-
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	-	-	-	-
12.2 Military personnel benefits	-	-	-	-
13.0 Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits	\$ -	\$ -	\$ -	\$ -
Other Objects Classes:				
21.0 Travel	-	-	-	-
22.0 Transportation of things	-	-	-	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	-	-	-	-
25.3 Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	-	-	-	-
31.0 Equipment	-	-	-	-
32.0 Land and structures	155,997	6,003	-	(6,003)
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ 155,997	\$ 6,003	\$ -	(6,003)
Total Direct Obligations	\$ 155,997	\$ 6,003	\$ -	\$ (6,003)
Unobligated balance, start of year	-	(2,003)	-	
Unobligated balance, end of year	2,003	-	-	
Total Requirements	\$ 158,000	\$ 4,000	\$ -	

Note: Total direct obligations does not include advances and reimbursements.

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Alteration of Bridges
PPA I
Funding Schedule
(Dollars in Thousands)**

Alteration of Bridges		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	155,997	6,003	-	(6,003)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		\$ 155,997	\$ 6,003	\$ -	\$ (6,003)
Full Time Equivalents		-	-	-	-

PPA Mission Statement

The alteration of unreasonably obstructive bridges supports navigational safety and freedom of mobility to facilitate commerce, emergency response and U.S. Government operations, by providing sufficient clearances for the type of vessels that transit through the bridge.

Summary Justification and Explanation of Changes

Land and structures

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
	\$ 155,997	\$	6,003	\$	-	\$	(6,003)

The Coast Guard is not requesting funding for Alteration of Bridges in FY 2011.

I. Changes in Full-Time Equivalents

Not Applicable

Department of Homeland Security

United States Coast Guard

Research, Development, Test and Evaluation



Fiscal Year 2011

Congressional Justification

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U. S. Coast Guard
Research, Development, Test and Evaluation

I. Appropriation Overview

A. Mission Statement for Research, Development, Test and Evaluation:

Research, Development, Test and Evaluation (RDT&E) funding allows the Coast Guard to sustain critical mission capabilities through applied research and partnerships with the Department of Homeland Security (DHS), the Department of Defense (DoD), as well as other federal and private research organizations. The purpose of the R&D Program is to help identify and examine existing or impending problems in the Coast Guard's operational, regulatory, and support programs and make improvements through solutions based on scientific and technological advances. The RDT&E funding requested supports all 11 statutorily-mandated Coast Guard mission programs and offers risk-reduction expertise and services in the pre-acquisition process across all major and non-major acquisition projects. These mission-programs in turn directly support the Coast Guard's role as the principal Federal agency for ensuring maritime safety, security and environmental stewardship.

B. Budget Activities:

RDT&E appropriation sustains program infrastructure and core capabilities, knowledge, skills, experience, and facilities to allow the Coast Guard to maintain a balanced portfolio of projects that supports short, medium and long range requirements across all missions. Other activities include formulation and oversight of cooperative agreements with relevant professional in the public and private sectors, such as University Affiliated Research Centers (UARC) and Federally Funded Research & Development Centers (FFRDC) to promote collaboration and leverage expertise and the development of techniques, methods, hardware, and systems that directly contribute to increasing productivity and effectiveness of the Coast Guard's operating missions.

C. Budget Request Summary:

The Coast Guard requests \$20.034 million in FY 2011 to develop technologies and systems to improve operational presence and response, as well as perform technology assessments to inform the early stages of the acquisition process. Specific projects include: developing new technologies for the detection and recovery of oil and hazardous materials from the sea floor; developing ballast water treatment methodologies; providing data-sharing and information security technologies to support adaptive force packages; and developing advanced analytical techniques to support the acquisition process. In addition, funding supports program operations and maintenance costs (e.g., salaries, facility rent, utilities) at the Coast Guard Research and Development Center and the R & D Program's continued collaboration and participation with the research community. Healthy partnerships with other government, academic, and private research entities enable the Coast Guard to leverage research and development resources and foster synergies in scientific fields pertinent to the Service's missions.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation
Summary of FY 2011 Budget Estimates by Program/Project Activity**

(Dollars in Thousands)

Program/Project Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Research, Development, Test and Evaluation	89	\$ 19,592	101	\$ 24,745	101	\$ 20,034	-	\$ (4,711)	-	\$ (5,000)	-	\$ 289
Subtotal, Enacted Appropriations and Budget Estimates	89	\$ 19,592	101	\$ 24,745	101	\$ 20,034	-	\$ (4,711)	-	\$ (5,000)	-	\$ 289
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	89	\$ 19,592	101	\$ 24,745	101	\$ 20,034	-	\$ (4,711)	-	\$ (5,000)	-	\$ 289

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation
Program Performance Justification
(Dollars in Thousands)**

PPA I: RESEARCH, DEVELOPMENT, TEST AND EVALUATION

	Perm		
	Pos	FTE	Amount
2009 Actual	101	89	19,592
2010 Enacted	101	101	24,745
2010 Adjustments-to-Base	289
2011 Current Services	101	101	25,034
2011 Program Change	(5,000)
2011 Request	101	101	25,034
Total Change 2010-2011	(4,711)

The Coast Guard requests \$20.034 million for this activity. This reflects a \$4.711 million decrease from the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The RDT&E Appropriation funds foundational work for decision-makers of future acquisition, operations, regulatory, and support initiatives before long-term commitments are made through the AC&I or OE appropriations. Knowledge and experience are gained through mission validation, gap analysis, modeling and simulation, requirements validation, operational analysis, market research, alternatives analysis, technology maturity assessments, cost estimation, prototyping, operational assessments, testing, and evaluation.

Funding requirements for the RDT&E Program are grouped into two categories: Coast Guard Mission Research and Operations & Maintenance (e.g., salaries, facility rent, utilities, etc.)

Significant accomplishments in FY 2009 included:

- Demonstrated the at-sea capability of the Law Enforcement desktop 10-print biometrics identification system that uses a multi-digit handheld device in support of the Migrant Interdiction mission.
- Provided decision information that supported the Coast Guard acquisition of an improved use of force toolset that maximized mission effectiveness and minimized risk of collateral damage in the port environment.

- Developed guidance tools (models) that applied to warm and cold marine environments and provided probabilistic survival information to Search and Rescue (SAR) watch-standers that was incorporated into SAR planning software and improved the operational guidance and decision support tools that support SAR.
- Evaluated new equipment to detect, and began development of new equipment that recovers, non-buoyant submerged oils that have been spilled into waterways.
- Continued study to identify Unmanned Aerial System (UAS) that could operate off the National Security Cutter (NSC).
- Developed rigorous and defensible test procedures and gathered credible performance data to support Coast Guard decisions on commercial ballast water treatment system certification and ensured compliance with ballast water regulations aimed at reducing the number of incidental introductions of aquatic nuisance species into U.S. waters during normal ship operations.
- Conducted a technology demonstration of the use of tidal currents as a source of electrical power for Coast Guard Station Eastport, Maine.

In FY 2010, the RDT&E Program will conduct research and development in the following areas: net-centric data sharing and information security for inter-agency maritime domain awareness information; portable port security deterrence and detection systems for air, surface, and underwater attack scenarios; improved boarding team member and support unit communication and connectivity technologies; and assessing capability, human-factors, and technological challenges associated with operations in extremely cold weather climates. In addition, the Coast Guard RDT&E Program will conduct legacy mission projects in the following areas: Search and Rescue, Marine Safety, Aids to Navigation, Aquatic Nuisance Species and Oil and Hazardous Material Spill Response.

FY 2010 planned accomplishments include:

Infrastructure and Capability Investment

- Modeling & Simulation (M&S)
Adapt the RDT&E Program's resident M&S expertise to the many on-going acquisition projects and develop, adapt, and/or maintain effective, agile M&S tools to support the decision-making processes of the operational sponsors and acquisition project managers. Perform analyses for acquisition, operational, and regulatory issues to support Directorate program managers. Develop a pipeline of reusable tools, beginning with exploratory studies to determine acquisitions and operational areas where modeling would optimize decision support. In FY 2010, M&S development efforts will focus on the Human Systems Integration model.

Perform Verification, Validation, and Accreditation (VV&A) efforts to ensure that the application of M&S results are appropriate for the intended purpose. Every Coast Guard M&S, whether embedded in operational systems, stand-alone systems or integrated with other M&S systems for distributed simulation is

required to be verified and validated prior to its use. Confidence in a particular model or simulation must be justified before its results are used in decisions involving large sums of money, risk to human life, or the possible loss of critical Coast Guard capabilities. In FY 2010, the RDT&E Program plans to complete verification and validation of the Pre-Acquisition Cost Model (based on the Automated Cost Estimating Integrated Tool cost modeling framework) and the Sensor Performance Model.

M&S reduces the cost of design, development, testing and evaluation throughout the acquisition cycle by harnessing software to perform labor-intensive tasks, freeing resources which would otherwise be required. For operational purposes, M&S aids in the development of the proper asset mix and improves and validates user requirements.

Acquisition Program Support

- Unmanned Aerial Systems (UAS)
The Coast Guard, along with Customs and Border Protection (CBP), is evaluating both land- and cutter-based UAS to provide cost-effective solutions for enhanced maritime surveillance and cutter mission effectiveness. As a critical step in supporting the Coast Guard's UAS Strategy, the RDT&E Program plans to conduct a cutter-based advanced concept technology demonstration (ACTD). To that end, the Program will develop a sound and actionable cutter-based UAS procurement plan and an ACTD execution plan.
- Command Centers
Use collaborative social networks and their flexibility to reduce the time to formulate a comprehensive port picture identifying and alerting Command Center personnel to potential concerns. Collaborative networking can enhance Situational Awareness and Decision Making by helping watch personnel create knowledge, share it and act on it in ways that will measurably improve the effectiveness and efficiency of the Command Center and its collaborators.
- Emerging Vessel Technologies
Continue joint research venture between Science and Technology (S&T), the Coast Guard, and industry to investigate viability and applicability of emerging technologies for reduced emissions, alternative propulsion, "green" technologies and modular design in order to support a major acquisition for the future recapitalization and multi-mission modernization of inland, river, and Great Lakes cutter fleets.

Operational Program Support

- Improved Maritime Domain Awareness (MDA)
Analyze the Naval Research Laboratory (NRL)-developed Comprehensive Maritime Awareness (CMA) software demonstration and data to determine its potential for improving the Coast Guard's ability to manage, distribute, and fuse INTEL/Sensor derived data that provides timely and accurate information across the CMA information system. Comprehensive Maritime Awareness is a program to improve Maritime Domain Awareness with the vision of sharing maritime information throughout the world to deter use of commercial maritime shipping for terrorism, WMD proliferation, drugs, piracy and human trafficking. CMA is intended to specifically improve maritime awareness and information management techniques through interagency and international information-sharing of large volumes of data.

Regulatory Program Support

- Oil Spill Detection/Response
Continue research to develop systems and operational processes to address performance gaps in heavy, viscous oil recovery. The objective is to develop a system to detect, collect, and recover heavy oil from the sea floor. The focus in FY 2010 is to begin development of promising capabilities and techniques for recovering heavy oil on the sea floor. Proof of concept testing and evaluation of the most promising of those capabilities and techniques will follow in future fiscal years.

The ability to recover heavy, viscous oil prior to its impact on the coastline remains an elusive capability. The underwater environment poses major problems including poor visibility, difficulty tracking oil spill movement, colder temperatures, limited containment methods and technologies and the electric or mechanical recovery equipment compatibility with water.

- Ballast Water Treatment Systems
Continue to develop rigorous and defensible test procedures and gather credible performance data to support Coast Guard decisions on certifying commercial ballast water treatment systems and to ensure compliance with ballast water regulations. Ballast water treatment systems reduce the number of incidental introductions of aquatic nuisance species into U.S. waters during normal ship operations.
- Arctic Operations
Explore adaptation and modernization of capabilities and concepts of operations (CONOPS) and support of Coast Guard missions in the Arctic environment. Based on an analysis of the peculiarities of performing Coast Guard missions in such climates, develop a knowledge base of efforts, including those by

government, industry, and foreign entities, to support the development of policy and Concept of Operations for cold weather climates.

Asset Support Manager Support

- Alternative Energy/Environmental Analysis
Investigate the feasibility and cost of alternative energy technologies, focusing on Coast Guard shore facilities. Gain a better understanding of the technologies that have a potential for providing alternative power while lowering the facilities' carbon footprints. The Coast Guard needs to develop and utilize renewable/sustainable energy sources that are environmentally friendly or it will continue to be subjected to rising energy costs due to an outdated and inefficient utility infrastructure.
- Coast Guard Fire and Safety Test Future Capabilities
Conduct mission analysis of the Coast Guard's Fire and Safety Test Detachment (FSTD) and implement best practices. Identify program risks and minimize impact to stakeholders during program transition. The Coast Guard's FSTD current mission focus and organizational structure does not effectively support the new Acquisition Directorate.

Great Lakes Restoration Initiative

- Invasive Species
The Coast Guard will coordinate with the Environmental Protection Agency, U.S. Fish and Wildlife Service, and Maritime Administration to fund the further development of up to five ballast water treatment systems suitable for fresh water ecosystems by supporting the use of laboratory and ship-board testing, verification of treatment technologies, and coordination with the maritime industry.

With FY 2011 funding, the Coast Guard RDT&E Program will update and certify critical modeling and simulation tools, develop the necessary plans to conduct a cutter-based UAS acquisition concept technology demonstration (ACTD) with our UAS partners, as well as conduct research and development in the following areas: prevention and mitigation of oil spills; prevention and mitigation of aquatic invasive species; sensory optimization, automation, and visualization for aviation, surface, and shore assets; surface-fleet pre-acquisition exploration of key technologies; and exploration of concepts and technologies supporting Coast Guard operations in the Arctic regions.

FY 2011 planned accomplishments include:

Infrastructure and Capability Investment

- Modeling & Simulation (M&S)
Improve the RDT&E Program's in-house analysis capability by bringing the

Coast Guard's modeling & simulation tools into the 21st Century. Perform analyses for acquisition, operational, and regulatory issues to support Directorate program managers. Develop a pipeline of reusable tools, beginning with exploratory studies to determine acquisitions and operational areas where modeling would optimize decision support. FY 2011 efforts include refining a cost-modeling and simulation capability to improve the Coast Guard's ability to predict acquisition costs and converting existing Coast Guard campaign-modeling algorithms to a next-generation simulation environment that possesses 21st Century speed, flexibility, and accessibility designed for the Coast Guard analyst to generate rapid, cogent analysis. M&S is key to properly understanding risk and forecasting performance and outcomes for Coast Guard missions and assets. Currently, the campaign-level M&S tool resides on severely outdated hardware running a Windows 98 operating system.

Refine existing tactical and system models and accredit these tools. Verification, Validation, and Accreditation (VV&A) efforts ensure the application of M&S results is appropriate for the intended purpose. Every Coast Guard M&S, whether embedded in operational systems, stand-alone systems or integrated with other M&S systems for distributed simulation is required to be verified and validated prior to its use. Confidence in a particular model or simulation must be justified before its results are used in decisions involving resources, risk to human life, or the possible loss of critical Coast Guard capabilities. Human Systems Integration Model verification and validation is planned for FY 2011. The Pre-Acquisition Cost and the Sensor Performance models will begin the accreditation process.

Acquisition Program Support

- Unmanned Aerial Systems (UAS)
The Coast Guard, along with CBP, is evaluating both land- and cutter-based UAS to provide cost-effective solutions for enhanced maritime surveillance and cutter mission effectiveness. As a critical step in supporting the Coast Guard's UAS Strategy, the RDT&E Program plans to conduct a land-based advanced concept technology demonstration (ACTD) in FY 2012. To that end the Program will develop a sound and actionable cutter-based UAS procurement plan and an ACTD execution plan.
- Pre-Acquisition Exploration for the Surface Fleet
Explore the maturity of modern technology areas and build knowledge and experience crucial to reducing risk of future major acquisitions of cutters, including the Offshore Patrol Cutter (OPC), and Inland Rivertenders. To determine technical maturity and applicability, the technology areas planned include: (1) launch and recovery, (2) modern propulsion systems, (3) "green" technologies, and (4) modern materials.

These recapitalization projects are in the pre-acquisition phase. To improve the capabilities delivered while conforming to cost, schedule, and performance

restrictions, several new concepts and modern technologies must be explored early. In FY 2011, the RDT&E Program will analyze and demonstrate propulsion alternatives for cutters that improve operational efficiency during low-speed maneuver and loitering operations.

Operational Program Support

- Sensor Optimization, Automation, and Visualization
Recent and future acquisitions are introducing a new generation of sensors with highly increased capabilities and complexity. Consequently, there is a need for updated Coast Guard search and law-enforcement effectiveness data. The RDT&E Program will: (1) optimize and automate sensor performance of the new generation aviation-, surface-, and shore-based systems to enhance operational missions, (2) improve modeling & simulation tools by providing the real-world data needed to improve M&S accuracy, and (3) enhance the understanding of the results through updated visualization techniques. Sensor Optimization will realize the full potential of these new sensors and assign each sensor its most effective search patterns. Sensor Automation will address the leap in technological complexity of these new systems by making these sensors as fully automatic as possible to allow Coast Guard operators to concentrate on the mission. Sensor Visualization will apply sensor-visualization techniques to expand sensor applicability to a wider range of audiences and uses.

Regulatory Program Support

- Oil Spill Detection/Response (Oil Spill Liability Trust Fund)
Invest in the infrastructure and capabilities development necessary to identify those technologies most effective in preventing, managing and mitigating Maritime Environmental Response incidents involving oil spills that could potentially threaten sensitive maritime and coastal environments or critical coastal infrastructure. Work benefits regulatory program managers in the area of oil spill prevention, detection, and response.

Continue research to develop systems and operational processes to address performance gaps in heavy, viscous oil recovery. The objective is to develop a system to detect, collect, and recover heavy oil from the sea floor. The focus in FY 2011 is to conduct proof of concept testing of promising capabilities and techniques for recovering heavy oil on the bottom. Evaluation of the most promising of those capabilities and techniques would follow in future years.

The ability to recover heavy, viscous oil prior to its impact on the coastline remains an elusive capability. The underwater environment poses major problems including poor visibility, difficulty tracking oil spill movement, colder temperatures, limited containment methods and technologies and the electric or mechanical recovery equipment compatibility with water.

- Ballast Water Treatment Systems
Complete investigation and development of rigorous and defensible test procedures. Based on credible performance data, recommend procedures and techniques for routine shipboard ballast water treatment compliance testing to support Coast Guard decisions on certifying commercial ballast water treatment systems.

Continue investments and partnerships with entities conducting ballast-water-treatment system testing to test the efficacy of such systems and methods in both salt and fresh water. This work will benefit regulatory program managers in the area of prevention and mitigation of non-indigenous species invasion (e.g., zebra mussels) through vectors such as ballast-water.

Methodologies are needed to test and certify design criteria for ballast-water-treatment systems in a shipboard environment, investigate how to minimize other-than-ballast-water introduction of NIS (e.g., via hull fouling), and determine ways to mitigate effects.

- Arctic Operations
Explore ways to modernize Coast Guard capabilities and concepts of operations (CONOPS) to successfully accomplish Coast Guard missions within the Arctic region. Insights gained from these activities will inform a Technology Strategy and Technology Plan that can greatly assist both development of policy and doctrine, including validation of operational concepts, identification of capability gaps, analysis of alternative solutions, and development of performance requirements and specifications.

Asset Support Manager Support

- Alternative Energy/Environmental Analysis
Baseline environmental impact analyses of shore-based facilities. Develop business cases for alternative energy technology strategies, based on an understanding of the technologies that have a potential for providing alternative power while lowering the facilities' carbon footprints. The Coast Guard needs to develop and utilize renewable/ sustainable energy sources that are environmentally friendly or it will continue to be subjected to rising energy costs due to an outdated and inefficient utility infrastructure.
- Coast Guard Fire and Safety Test Future Capabilities
Based on the mission analysis of the Coast Guard's Fire and Safety Test Detachment (FSTD), determine the best use of the facility and personnel. There are several viable options, ranging from closing the unit to changing the mission to acquisition test and evaluation support. The program will begin execution of the final recommendations for the disposition of both the FSTD and the T/V

STATE OF MAINE, the detachments testing environment. The STATE OF MAINE is beyond its useful life as a platform for fire safety testing and its age and condition have the potential to create a future liability for the Coast Guard.

Actions required to return the T/V STATE OF MAINE to the Maritime Administration (MARAD) include removing Coast Guard equipment, preparing the vessel for transit, dredging to enable the vessel's passage to the main channel, and providing a commercial tow to the designated MARAD site.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U. S. Coast Guard
Justification of Proposed Changes in Research, Development, Test and Evaluation
Appropriation Language**

For necessary expenses for applied scientific research, development, test, and evaluation; and for maintenance, rehabilitation, lease, and operation of facilities and equipment; as authorized by law; [\$24,745,000] **\$20,034,000** to remain available until expended, of which \$500,000 shall be derived from the Oil Spill Liability Trust Fund to carry out the purposes of section 1012(a)(5) of the Oil Pollution Act of 1990 (33 U.S.C. 2712(a)(5)): *Provided*, that there may be credited to and used for the purposes of this appropriation funds received from State and local governments, other public authorities, private sources, and foreign countries, for expenses incurred for research, development, test and evaluation. (*Department of Homeland Security Appropriations Act, 2010.*)

Explanation of Changes:

No substantive changes proposed.

B. FY 2010 to FY 2011 Budget Change

**Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2009 Actual	101	89	19,592
2010 Enacted	101	101	24,745
Adjustments-to-Base			
Increases			
Annualization of FY 2010 Pay Raise	-	-	68
FY 2011 Pay Raise	-	-	221
Total Increases	-	-	289
Total Adjustments-to-Base	-	-	289
2011 Current Services	101	101	25,034
Program Changes			
Program Decrease	-	-	(5,000)
Total Program Changes			(5,000)
2011 Request	101	101	20,034
2010 to 2011 Total Change	-	-	(4,711)

D. Summary of Reimbursable Resources

Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation
Summary of Reimbursable Resources
 (Dollars in Thousands)

Collections by Source	2009 Actual		2010 Estimate		2011 Estimate		Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Agency 1 Department of Homeland Security	-	-	1,180	-	-	1,000	-	-	-
Agency 2 Department of the Navy	-	-	1,084	-	-	6,400	-	-	-
Agency 3 Joint Non-Lethal Weapons Directorate	-	-	1,143	-	-	1,400	-	-	-
Agency 4 Department of Army	-	-	1,407	-	-	1,200	-	-	-
Total Budgetary Resources	-	-	4,814	-	-	10,000	-	-	-

Obligations by Program/Project Activity	2009 Actual		2010 Estimate		2011 Estimate		Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Conventional Missions	-	-	4,814	-	-	10,000	-	-	-

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
11.1	Full-time permanent	6,731	7,626	7,825	199
11.3	Other than full-time permanent	157	178	181	3
11.5	Other personnel compensation	172	195	198	3
11.7	Military personnel	1,827	1,843	1,902	59
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	1,732	1,962	2,081	119
12.2	Military personnel benefits	258	261	265	4
13.0	Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits		\$ 10,877	\$ 12,065	\$ 12,452	\$ 387
Other Objects Classes:					
21.0	Travel	1,839	3,550	1,575	(1,975)
21.7	Lease of Vehicles	14	43	12	(31)
22.0	Transportation of things	94	288	82	(206)
23.1	GSA rent	-	1,116	1,150	34
23.2	Other rent	688	-	-	-
23.3	Communication, utilities, and misc charges	158	500	180	(320)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	1,942	3,225	1,325	(1,900)
25.2	Other services	236	723	207	(516)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	6	18	5	(13)
25.5	Research and development	1,870	10,042	1,480	(8,562)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	3	9	3	(6)
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	1,439	4,408	1,190	(3,218)
31.0	Equipment	426	2,775	373	(2,402)
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes		\$ 8,715	\$ 26,697	\$ 7,582	\$ (19,115)
Total, Research, Development, Test, & Evaluation		\$ 19,592	\$ 38,762	\$ 20,034	\$ (18,728)
Unobligated balance, start of year		(14,624)	(14,017)	-	
Unobligated balance, end of year		14,017	-	-	
Total Requirements		18,985	24,745	20,034	
Note 1: Unobligated balances include other funding sources					

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Research, Development, Test, and Evaluation - Military
Permanent Positions by Grade**

Grade	2009	2010	2011	2010 - 2011
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	-	-	-	-
O-7	-	-	-	-
O-6	2	2	2	-
O-5	1	1	1	-
O-4	3	3	3	-
O-3	7	7	7	-
O-2	-	-	-	-
O-1	-	-	-	-
CWO4	1	1	1	-
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	-	-	-	-
E-8	-	-	-	-
E-7	2	2	2	-
E-6	3	3	3	-
E-5	-	-	-	-
E-4	1	1	1	-
E-3	1	1	1	-
E-2	-	-	-	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions *	21	21	21	-
Unfilled Positions EOY	1	-	-	-
Total Perm. Employment EOY	20	21	21	-
FTE**	22	21	21	-
Headquarters	3	2	2	-
U.S. Field	18	19	19	-
Foreign Field	-	-	-	-
Total Permanent Positions	21	21	21	-
Position Data:				
Average Salary, Officer Positions***	\$ 107,098	\$ 110,989	\$ 114,441	\$ 3,452
Average Grade, Officer Positions	4	4	4	-
Average Salary, Enlisted Positions***	\$ 63,835	\$ 66,057	\$ 67,912	\$ 1,855
Average Grade, Enlisted Positions	6	6	6	-

* Position changes in the table reflect the result of a President's Office of Management and Budget Circular A-76 study completed at the Research & Development Center in 2008.

** The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

*** The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation - Civilian
Permanent Positions by Grade**

Grade	2009	2010	2011	2010 - 2011
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	4	4	4	-
GS-14	14	14	14	-
GS-13	32	32	32	-
GS-12	22	21	21	-
GS-11	1	1	1	-
GS-10	-	-	-	-
GS-9	2	2	2	-
GS-8	1	1	1	-
GS-7	2	2	2	-
GS-6	1	2	2	-
GS-5	-	-	-	-
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	1	1	1	-
Ungraded Positions	-	-	-	-
Total Permanent Positions *	80	80	80	-
Unfilled Positions EOY	4	2	2	-
Total Perm. Employment (Filled Positions) EOY	76	78	78	-
FTE	67	80	80	-
Headquarters	5	5	5	-
U.S. Field	75	75	75	-
Foreign Field	-	-	-	-
Total Permanent Positions	80	80	80	-
Position Data:				
Average Personnel Costs, ES Positions	n/a	n/a	n/a	n/a
Average Personnel Costs, GS Positions**	\$ 121,032	\$ 124,454	\$ 128,878	\$ 4,424
Average Grade, GS Positions	13	12	12	-

* Position changes in the table reflect the result of a President's Office of Management and Budget Circular A-76 study completed at the Research & Development Center in 2008.

**The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation
PPA I
Funding Schedule
(Dollars in Thousands)

Research, Development, Test and Evaluation		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	6,731	7,626	7,825	199
11.3	Other than full-time permanent	157	178	181	3
11.5	Other personnel compensation	172	195	198	3
11.7	Military personnel	1,827	1,843	1,902	59
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	1,732	1,962	2,081	119
12.2	Military personnel benefits	258	261	265	4
13.0	Benefits-former	-	-	-	-
21.0	Travel	1,839	3,550	1,575	(1,975)
21.7	Lease of Vehicles	14	43	12	(31)
22.0	Transportation of things	94	288	82	(206)
23.1	GSA rent	-	1,116	1,150	34
23.2	Other rent	688	-	-	-
23.3	Communication, utilities, and misc charges	158	500	180	(320)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	1,942	3,225	1,325	(1,900)
25.2	Other services	236	723	207	(516)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	6	18	5	(13)
25.5	Research and development	1,870	10,042	1,480	(8,562)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	3	9	3	(6)
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	1,439	4,408	1,190	(3,218)
31.0	Equipment	426	2,775	373	(2,402)
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Research, Development, Test, & Evaluation		\$ 19,592	\$ 38,762	\$ 20,034	\$ (18,728)
Full Time Equivalents		89	101	101	-

PPA Mission Statement

The Coast Guard RDT&E Appropriation serves as a strategic investment in real-world exploration to quickly gain knowledge and experience enhancing the sound early decisions that have a significant effect on a system's overall value and risk profiles. The RDT&E Appropriation funds foundational work for decision-makers of future acquisition, operations, regulatory, and support initiatives before long-term commitments are made through the AC&I or OE appropriations. Knowledge and experience are gained through mission validation, gap analysis, modeling and simulation, requirements validation, operational analysis, market research, alternatives analysis, technology maturity assessments, cost estimation, prototyping, operational assessments, testing, and evaluation.

Summary Justification and Explanation of Changes

Salaries and Benefits

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 10,877	\$ 12,065	\$ 12,452	\$ 387

FY 2011 request includes funding for the proposed pay raise (1.4% for military and 1.4% for civilians), medical benefits, other mandatory personnel entitlements.

Travel

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 1,839	\$ 3,550	\$ 1,575	\$ (1,975)

Requested funds cover the travel costs of Coast Guard military service members, while in an authorized travel status, either directly or by reimbursing the traveler. The FY 2011 request reflects the anticipated need for R&D project related travel.

Lease of Vehicles

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 14	\$ 43	\$ 12	\$ (31)

FY 2011 request reflects the anticipated need for government vehicles leases.

Transportation of things

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 94	\$ 288	\$ 82	\$ (206)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request reflects the anticipated need for the transportation of things related to R&E research projects.

GSA rent

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ -	\$ 1,116	\$ 1,150	\$ 34

GSA rent includes all payments for GSA leased facilities for rental space, land and structures. Increased funding in FY 2011 is a result of annual adjustment to the lease for the Research and Development Center's facility in New London, CT.

Communication, utilities, and misc charges

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	158	\$	500	\$	180	\$	(320)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request reflects the anticipated need for R&D related projects.

Advisory and Assistance

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	1,942	\$	3,225	\$	1,325	\$	(1,900)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Decreased funding request in FY 2011 reflects shifts in project funding for technology demonstrations, testing and evaluations and their progress.

Other services

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	236	\$	723	\$	207	\$	(516)

Other services include contractual services with non-federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects the anticipated need for R&D projects.

Operation & maintenance of facilities

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	6	\$	18	\$	5	\$	(13)

Operation and maintenance of facilities includes all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Decreased funding in FY 2011 is the result of reduced maintenance facilities costs.

Research and development

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	1,870	\$	10,042	\$	1,480	\$	(8,562)

Decreased funding in FY 2011 is primarily a reflection of the assumption that all FY 2010 BA in this two-year account will be obligated in the first year.

Operation & maintenance of equipment

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	3	\$	9	\$	3	\$	(6)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects the anticipated need for R&D projects.

Supplies and materials

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	1,439	\$	4,408	\$	1,190	\$	(3,218)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. The FY 2011 request reflects the anticipated need for R&D projects.

Equipment

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	426	\$	2,775	\$	373	\$	(2,402)

This object class covers the purchase of R&D materials for technology demonstrations, testing and evaluations and their progress. The FY 2011 request reflects the anticipated need for R&D projects.

I. Changes in Full-Time Equivalents

Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation
Changes in Full-Time Equivalents

	FY 2009	FY 2010	FY 2011
BASE: Start of Year (SOY) FTE levels	102	102	101
DECREASES:			
Decrease #1: RDT&E Personnel Management	0	-1	0
Description: Implementation of OMB Circular A-76 Reorganization			
Subtotal, Decreases:	0	-1	0
Year-end Enacted / Estimated FTEs	102	101	101
Net Change from prior year SOY base to budget year estimate:	0	-1	0

*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

Department of Homeland Security

United States Coast Guard

*Medicare-Eligible Retiree Health Care Fund
Contribution*



Fiscal Year 2011
Congressional Justification

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U. S. Coast Guard
Medicare-Eligible Retiree Health Care Fund Contribution

I. Appropriation Overview

A. Mission Statement for the Health Care Fund Contribution:

The Medicare-Eligible Retiree Health Care Fund Contribution (HFC) funds accrual of the Coast Guard's military Medicare-eligible health benefit contribution to the Department of Defense (DoD) Medicare-Eligible Retiree Health Care Fund. Contributions are for future Medicare-eligible retirees currently serving on active duty in the Coast Guard, as well as retiree dependents and their potential survivors. The authority for the Coast Guard to make this payment on an annual basis was provided in P.L. 108-375, the 2005 Defense Appropriations Act. While this expenditure requires no annual action by Congress, it is scored as discretionary spending.

B. Budget Activities:

There are no budget activities directly related to providing this benefit to active duty personnel and their dependents.

C. Budget Request Summary:

The Coast Guard estimates that \$265.321 million will be paid to the DoD Medicare-Eligible Retiree Health Care Fund in FY 2011 to support the benefits outlined above. The total adjustment to the base is a decrease of \$685.000 thousand.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Medicare-Eligible Retiree Health Care Fund Contribution
Summary of FY 2011 Budget Estimates by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Total Changes		Increase (+) or Decrease (-) For FY 2011		Adjustments-to-base			
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Program Changes		FTE	
											AMOUNT	AMOUNT	AMOUNT	AMOUNT
I. Medicare-Eligible Retiree Health Care Fund Contribution	-	\$ 257,305	-	\$ 266,006	-	\$ 265,321	-	\$ (685)	-	\$ (685)	-	\$ -	-	\$ (685)
Subtotal, Enacted Appropriations and Budget Estimates	-	\$ 257,305	-	\$ 266,006	-	\$ 265,321	-	\$ (685)	-	\$ (685)	-	\$ -	-	\$ (685)
Less Adjustments for Other Funding Sources:														
Net, Enacted Appropriations & Budget Estimates	-	\$ 257,305	-	\$ 266,006	-	\$ 265,321	-	\$ (685)	-	\$ (685)	-	\$ -	-	\$ (685)

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Medicare-Eligible Retiree Health Care Fund Contribution
Program Performance Justification
(Dollars in Thousands)**

PPA I: MEDICARE-ELIGIBLE RETIREE HEALTH CARE FUND CONTRIBUTION

	Perm Pos	FTE	Amount
2009 Actual	\$257,305
2010 Enacted	266,006
2011 Adjustments-to-Base			(685)
2011 Current Services	265,321
2011 Program Change
2011 Request	265,321
Total Change 2010-2011	(685)

The Coast Guard requests \$265.321 million for this activity. This is \$685.000 thousand below the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Medicare-Eligible Retiree Health Care Fund Contribution (HFC) will fund accrual of the Coast Guard's military Medicare-eligible health benefit contribution to the Department of Defense Medicare-Eligible Retiree Health Care Fund. Contributions are for future Medicare-eligible retirees, retiree dependents and survivors in the Coast Guard.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable

B. FY 2010 to FY 2011 Budget

**Department of Homeland Security
U. S. Coast Guard
Medicare-Eligible Health Care Fund Contribution
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2009 Actual	-	-	257,305
2010 Enacted	-	-	266,006
Technical Adjustments	-	-	(685)
Total Decreases	-	-	(685)
Total Adjustments-to-Base	-	-	(685)
2011 Current Services	-	-	265,321
Program Changes	-	-	-
Total Program Changes	-	-	-
2011 Request	-	-	265,321
2010 to 2011 Total Change	-	-	(685)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Medicare-Eligible Retiree Health Care Fund Contribution
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
11.1 Full-time permanent	-	-	-	-
11.3 Other than full-time permanent	-	-	-	-
11.5 Other personnel compensation	-	-	-	-
11.7 Military personnel	-	-	-	-
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	-	-	-	-
12.2 Military personnel benefits	257,305	266,006	265,321	(685)
13.0 Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits	\$ 257,305	\$ 266,006	\$ 265,321	\$ (685)
Other Objects Classes:				
21.0 Travel	-	-	-	-
22.0 Transportation of things	-	-	-	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	-	-	-	-
25.3 Purchases of goods & sves. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	-	-	-	-
31.0 Equipment	-	-	-	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ -	\$ -	\$ -	\$ -
Total Direct Obligations	\$ 257,305	\$ 266,006	\$ 265,321	\$ (685)
Unobligated balance, start of year	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Total Requirements	\$ 257,305	\$ 266,006	\$ 265,321	\$ -

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Medicare-Eligible Retiree Health Care Fund Contribution
PPA I
Funding Schedule
(Dollars in Thousands)

Medicare-Eligible Retiree Health Care Fund Contribution		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	257,305	266,006	265,321	(685)
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		\$ 257,305	\$ 266,006	\$ 265,321	\$ (685)
Full Time Equivalents		-	-	-	-

PPA Mission Statement

The Medicare-Eligible Retiree Health Care Fund Contribution (HFC) will fund accrual of the military Medicare-eligible health benefit contribution to the Department of Defense Medicare-Eligible Retiree Health Care Fund. Contributions are for future Medicare-eligible retirees, retiree dependents and survivors in the Coast Guard.

Summary Justification and Explanation of Changes

Salaries and Benefits

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
	\$ 257,305	\$	266,006	\$	265,321	\$	(685)

Salaries and Benefits include the annual contribution to the military Medicare-Eligible Retiree Health Care Fund. The FY 2011 request includes a decrease of \$685 thousand.

I. Changes in Full-Time Equivalents

Not Applicable

Department of Homeland Security

United States Coast Guard

Retired Pay



Fiscal Year 2011
Congressional Justification

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U. S. Coast Guard
Retired Pay

I. Appropriation Overview

A. Mission Statement for Retired Pay:

The Retired Pay (RP) appropriation provides payments as identified under the Retired Serviceman's Family Protection and Survivor Benefits Plans, and other retired personnel entitlements identified under National Defense Authorization Acts. This includes payment for medical care of retired personnel and their dependents.

B. Budget Activities:

There are no budget activities directly related to providing this benefit to retired military personnel and their dependents.

C. Budget Request Summary:

The Coast Guard requests \$1.401 billion in FY 2011 to support the benefits outlined above. The Coast Guard also requests that any FY 2011 funding remain available until expended. This is consistent with the enacted Department of Homeland Security Appropriations Act of 2010 (P.L. 111-83). The Retired Pay appropriation is scored as a mandatory appropriation in the budget process.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Retired Pay**

Summary of FY 2011 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Retired Pay	-	\$ 1,280,855	-	\$ 1,361,245	-	\$ 1,400,700	-	\$ 39,455	-	\$ -	-	\$ 39,455
Subtotal, Enacted Appropriations and Budget Estimates	-	\$ 1,280,855	-	\$ 1,361,245	-	\$ 1,400,700	-	\$ 39,455	-	\$ -	-	\$ 39,455
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	-	\$ 1,280,855	-	\$ 1,361,245	-	\$ 1,400,700	-	\$ 39,455	-	\$ -	-	\$ 39,455

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Retired Pay
Program Performance Justification
(Dollars in Thousands)**

PPA: RETIRED PAY

	Perm Pos	FTE	Amount
2009 Actual	\$1,280,855
2010 Enacted	1,361,245
2011 Adjustments-to-Base			39,455
2011 Current Services	1,400,700
2011 Program Change
2011 Request	1,400,700
Total Change 2010-2011	39,455

The Coast Guard requests \$1.401 billion for this activity. This is an increase of \$39.455 million over the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Retired Pay (RP) appropriation provides payments as identified under the Retired Serviceman's Family Protection and Survivor Benefits Plans and other retired personnel entitlements identified under the National Defense Authorization Act. It also provides payment for medical care of retired personnel and their dependents.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U. S. Coast Guard
Justification of Proposed Changes in Retired Pay
Appropriation Language**

For retired pay, including the payment of obligations otherwise chargeable to lapsed appropriations for this purpose, payments under the Retired Serviceman's Family Protection and Survivor Benefits Plans, payment for career status bonuses, concurrent receipts and combat related special compensation under the National Defense Authorization Act, and payments for medical care of retired personnel and their dependents under chapter 55 of title 10, United States Code, [\$1,361,245,000] **\$1,400,700,000** to remain available until expended. (*Department of Homeland Security Appropriations Act, 2010*).

B. FY 2010 to FY 2011 Budget

**Department of Homeland Security
U. S. Coast Guard
Retired Pay
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2009 Actual	-	-	1,280,855
2010 Enacted	-	-	1,361,245
Actuarial Adjustments	-	-	39,455
Total Increases	-	-	39,455
Total Adjustments-to-Base	-	-	39,455
2011 Current Services	-	-	1,400,700
Program Changes	-	-	-
Total Program Changes	-	-	-
2011 Request	-	-	1,400,700
2010 to 2011 Total Change	-	-	39,455

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Retired Pay
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
11.1 Full-time permanent	-	-	-	-
11.3 Other than full-time permanent	-	-	-	-
11.5 Other personnel compensation	-	-	-	-
11.7 Military personnel	-	-	-	-
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	-	-	-	-
12.2 Military personnel benefits	-	-	-	-
13.0 Benefits-former	1,092,855	1,145,560	1,173,700	28,140
Total, Personnel Comp. & Benefits	\$ 1,092,855	\$ 1,145,560	\$ 1,173,700	\$ 28,140
Other Objects Classes:				
21.0 Travel	-	-	-	-
22.0 Transportation of things	-	-	-	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	-	-	-	-
25.3 Purchases of goods & sves. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	188,000	218,398	227,000	8,602
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	-	-	-	-
31.0 Equipment	-	-	-	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ 188,000	\$ 218,398	\$ 227,000	\$ 8,602
Total Direct Obligations	\$ 1,280,855	\$ 1,363,958	\$ 1,400,700	\$ 36,742
Unobligated balance, start of year	(31,326)	(2,713)	-	-
Unobligated balance, end of year	2,713	-	-	-
* Total Requirements	\$ 1,252,242	\$ 1,361,245	\$ 1,400,700	-

*Total requirements in FY 2009 includes resources available from prior year recoveries.

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Retired Pay
PPA I
Funding Schedule
(Dollars in Thousands)**

Retired Pay		2009 Actual	2010 Enacted	2011 Request	2010-2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	1,092,855	1,145,560	1,173,700	28,140
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	188,000	218,398	227,000	8,602
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Retired Pay		\$ 1,280,855	\$ 1,363,958	\$ 1,400,700	\$ 36,742
Full Time Equivalent		-	-	-	-

PPA Mission Statement

Retired Pay (RP) will provide payments as identified under the Retired Serviceman's Family Protection and Survivor Benefits Plans, payments for career status bonuses, concurrent receipts and combat related special compensation identified under the National Defense Authorization Act.

Summary Justification and Explanation of Changes

Salaries and Benefits

2009 Actual	2010 Enacted	2011 Request	2010-2011 Change
\$ 1,092,855	\$ 1,145,560	\$ 1,173,700	\$ 28,140

Requested increase accounts for cost-of-living adjustments for all retirement and most survivor annuities as well as entitlement benefits authorized by the National Defense Authorization Act.

Medical care

2009 Actual	2010 Enacted	2011 Request	2010-2011 Change
\$ 188,000	\$ 218,398	\$ 227,000	\$ 8,602

Increase accounts for the projections for medical benefits. Once a member becomes eligible for Medicare, the Medicare-Eligible Retiree Health Care Fund (HFC) is responsible for these benefits.

I. Changes in Full-Time Equivalents

Not Applicable

Department of Homeland Security

United States Coast Guard

Boat Safety



Fiscal Year 2011

Congressional Justification

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U. S. Coast Guard
Boat Safety

I. Appropriation Overview.

A. Mission Statement for Boat Safety:

The Boating Safety (BS) program is designed, through preventive means, to minimize loss of life, personal injury, property damage and environmental impact associated with the use of recreational boats. The program directly supports the Coast Guard's Marine Safety mission by promoting safe and enjoyable use of public U.S. waterways.

In its role as the designated National Recreational Boating Safety (RBS) Program Coordinator, the Coast Guard is charged with managing dedicated user fee funding to support the National Recreational Boating Safety Program provided from the Sport Fish Restoration and Boating Trust Fund (formerly Aquatic Resources Trust Fund). Under the provisions of the Sportfishing and Recreational Boating Safety Act of 2005 (Subtitle A, Title X, P.L. 109-59), the Coast Guard receives a percentage distribution of total trust fund receipts from the preceding fiscal year (i.e., FY 2011 funding will be a percentage of FY 2010 trust fund receipts).

B. Budget Activities:

Boating Safety activities include overseeing manufacturer compliance with USCG regulations; grantmaking to States and national non-profit boating safety organizations; conducting surveys to measure recreational boating activity; continuing the "Boat Responsibly!" national outreach and awareness initiative; promulgating safety regulations; and measuring life jacket wear rates, including the effectiveness of voluntary and mandatory efforts to increase life jacket usage.

C. Budget Request Summary:

The FY 2011 budget reflects the anticipated level of funding that would be available from the trust fund for boating safety. This is based on current estimates of FY 2010 trust fund receipts from the Office of Tax Analysis at the Department of the Treasury (adjusted to reflect amendments of current law enacted in P.L. 109-59). The estimated total distribution from the trust fund for boating safety in FY 2011 is \$119.000 million. Of that amount, \$5.500 million is available for use by the Coast Guard to coordinate and execute new and enhanced National RBS Program activities. The balance is authorized for the State RBS Federal Financial Assistance Program established by 46 U.S.C. 13101, et seq., minus not more than five percent for national boating safety activities of national non-profit public service organizations, and not more than two percent for Coast Guard expense to administer State RBS programs. This represents a \$9.889 million decrease from the FY 2010 enacted level.

Budget authority for personnel to conduct investigations and activities related to State recreational boating safety programs is not provided by regular, annual Coast Guard

appropriations. It is available to the Coast Guard through transfers to this account from trust accounts in the Department of the Treasury. These amounts are available until expended, but are limited in purpose and amount in accordance with existing statutes.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Boat Safety
Summary of FY 2011 Budget Estimates by Program/Project Activity**

(Dollars in Thousands)

Program/Project Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Boat Safety	7	\$ 145,587	8	\$ 128,889	8	\$ 119,000	-	\$ (9,889)	-	\$ (9,889)	-	\$ 63
Subtotal, Enacted Appropriations and Budget Estimates	7	\$ 145,587	8	\$ 128,889	8	\$ 119,000	-	\$ (9,889)	-	\$ (9,889)	-	\$ 63
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	7	\$ 145,587	8	\$ 128,889	8	\$ 119,000	-	\$ (9,889)	-	\$ (9,889)	-	\$ 63

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Boat Safety
Program Performance Justification
(Dollars in Thousands)**

PPA I: BOAT SAFETY

	Perm Pos	FTE	Amount
2009 Actual	8	7	145,587
2010 Enacted	8	8	128,889
2011 Adjustments-to-Base	63
2011 Current Services	8	8	128,952
2011 Program Change	(9,952)
2011 Request	8	8	119,000
Total Change 2010-2011	(9,889)

The Coast Guard requests \$119.000 million for this activity. This is a decrease of \$9.889 million from the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

Significant accomplishments in FY 2009 included:

Achieved the target performance goal of 4,132 casualties or fewer through the following measures:

- Conducted national observation studies that measured life jacket wear.
- Measured the effectiveness of a U.S. Army Corps of Engineers (USACE) project to mandate life jacket wear by all boaters aboard certain boats on USACE waters in southwest Pennsylvania and northern Mississippi. Preliminary results from USACE in northern Mississippi indicate significant increases in life jacket wear rates. The voluntary life jacket wear project in California has not significantly increased wear rates.
- Increased boating safety law enforcement, education and search and rescue efforts by the States through availability of recreational boating safety grant funds. Particularly, worked to have the Sport Fish Restoration and Boating Trust Fund reauthorized.
- Focused on assuring manufacturer compliance with boat construction standards (i.e., identified boats and manufacturers whose boats were involved in accidents where carbon monoxide, flotation, capacity, or fuel systems are causal factors).
- Progressed in promulgating regulations that: (1) require life jacket wear in high-risk recreational boating activities if voluntary measures fail to achieve an acceptable wear rate; (2) require installation and wear of emergency cut-off

- devices (mechanical or wireless) on vessels under a certain length; (3) require operators to turn off the vessel when a swimmer in the water is in close proximity to the stern of the vessel; (4) revise and update requirements for state numbering systems and boat accident reporting.
- Began a Boating Under the Influence (BUI) initiative (Operation Dry Water) that reduced the number of casualties where the use of alcohol by a boat's occupants was a causal factor in an accident.
 - Began an operator compliance initiative that reduced deaths due to navigation rules violations (i.e., Reckless/Negligent Operation, Excessive Speed, Improper Lookout, Operator Inattention, and Rules of the Road).
 - Developed a State program approval systems (i.e., adequate enforcement/sufficient patrol, adequate education, numbering system, casualty reporting system).
 - Continued national outreach and awareness initiative, "Boat Responsibly!"

FY 2010 planned accomplishments include:

Achieve the target performance goal of 4,145 casualties or fewer through the following measures:

- Conduct national observation studies that measure life jacket wear. Continue to measure effectiveness of a U.S. Army Corps of Engineers (USACE) project to mandate life jacket wear by all boaters aboard certain sized boats on USACE waters in southwest Pennsylvania and northern Mississippi. Preliminary results from USACE in northern Mississippi indicate significant increases in life jacket wear rates. The voluntary life jacket wear project in California has not significantly increased wear rates. The Coast Guard is studying these results and will consult as appropriate with the National Boating Safety Advisory Council to consider initiating mandatory requirements for life jacket usage in high-risk scenarios and for high risk vessels (i.e., operating boats less than 21 feet in length).
- Continue the Boating Under the Influence (BUI) initiative (Operation Dry Water) to reduce the number of casualties where the use of alcohol by a boat's occupants was a cause of the accident.
- Will conduct national survey on recreational boating. Among other vital information, the survey will provide a participation rate denominator to utilize when measuring the performance goals of the National Recreational Boating Safety Program.
- Conduct an operator compliance outreach initiative to reduce deaths due to navigation rules violations (i.e., Reckless/Negligent Operation, Excessive Speed, Improper Lookout, Operator Inattention, and Rules of the Road).
- Implement and monitor State program approval systems (i.e., adequate enforcement/sufficient patrol, adequate education, numbering system, casualty reporting system).

- Focus on assuring manufacturer compliance with boat construction standards (i.e., identifying boats and manufacturers whose boats are involved in accidents where carbon monoxide, flotation, capacity, or fuel systems are causal factors).
- Progress in promulgating regulations that: (1) require life jacket wear in high-risk recreational boating activities if voluntary measures fail to achieve an acceptable wear rate; (2) if enacted by proposed authorizing legislation, mandate recreational vessel operator education requirements; (3) require installation and wear of emergency cut-off devices (mechanical or wireless) on vessels under a certain length; (4) require operators to turn off the vessel when a swimmer in the water is in close proximity to the stern of the vessel; (5) revise and update requirements for state numbering systems and boat accident reporting.
- If marketing measures prove effective, continuation of additional elements of the national outreach and awareness initiative, “Boat Responsibly!”

FY 2011 planned accomplishments include:

Achieve or meet the target performance goal of 4,180 casualties or fewer through the following measures:

- Conduct national observation studies that measure life jacket wear.
- Continue to measure effectiveness of a U.S. Army Corps of Engineers (USACE) project to mandate life jacket wear by all boaters aboard certain sized boats on USACE waters in southwest Pennsylvania and northern Mississippi. If this project results in a substantial increase in life jacket wear, work with National Boating Safety Advisory Council to consider initiating mandatory requirements for life jacket usage in high risk areas (i.e., operating boats less than 21 feet in length).
- Continue the Boating Under the Influence (BUI) initiative (Operation Dry Water) to reduce the number of casualties where the use of alcohol by a boat’s occupants was a cause of the accident.
- Conduct an operator compliance outreach initiative to reduce deaths due to navigation rules violations (i.e., Reckless/Negligent Operation, Excessive Speed, Improper Lookout, Operator Inattention, and Rules of the Road).
- Implement and monitor State program approval systems (i.e., adequate enforcement/sufficient patrol, adequate education, numbering system, casualty reporting system).
- Focus on assuring manufacturer compliance with boat construction standards (i.e., identifying boats and manufacturers whose boats are involved in accidents where carbon monoxide, flotation, capacity, or fuel systems are causal factors).
- Progress in promulgating regulations that: (1) require life jacket wear in high-risk recreational boating activities if voluntary measures fail to achieve an acceptable wear rate; (2) if enacted by proposed authorizing legislation, mandate recreational vessel operator education requirements; (3) require installation and wear of emergency cut-off devices (mechanical or wireless) on vessels under a certain length; (4) require operators to turn off the vessel when a swimmer in the water is

in close proximity to the stern of the vessel; (5) revise and update requirements for state numbering systems and boat accident reporting.

- If marketing measures prove effective, continuation of additional elements of the national outreach and awareness initiative, “Boat Responsibly!”

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable

B. FY 2010 to FY 2011 Budget Change

**Department of Homeland Security
U. S. Coast Guard
Boat Safety
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2009 Actual	8	7	145,587
2010 Enacted	8	8	128,889
Adjustments-to-Base			
Increases			
Annualization of FY 2010 pay raise	-	-	5
FY 2011 Pay Raise	-	-	58
Total Adjustments-to-Base	-	-	63
2011 Current Services	8	8	128,952
Program Changes			
Program Decrease	-	-	(9,952)
Total Program Changes	-	-	(9,952)
2011 Request	8	8	119,000
2010 to 2011 Total Change	-	-	(9,889)

C. Summary of Requirements

Department of Homeland Security
 U. S. Coast Guard
 Boat Safety
 Summary of Requirements
 (Dollars in Thousands)

	2011 Request		
	Pos.	FTE	Amount
2009 Actual	8	7	145,587
2010 Enacted	8	8	128,889
Adjustments-to-Base (See "FY 2010 to FY 2011 Budget Change" for details)			
Transfers	-	-	-
Increases	-	-	63
Decreases	-	-	-
Total Adjustments-to-Base	-	-	63
2011 Current Services	8	8	128,952
Program Changes	-	-	(9,952)
2011 Request	8	8	119,000
2010 to 2011 Total Change	-	-	(9,889)

Estimates by Program/Project Activity	2010 Enacted		2011 Adjustments-to-Base		2011 Program Change		2011 Request		2010 to 2011 Total Change	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE
PPA 1	8	8	-	-	-	-	8	8	-	-
		128,889						119,000		(9,889)
Total Boat Safety	8	8	-	-	-	-	8	8	-	(9,889)
		128,889						119,000		(9,889)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Boat Safety
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
11.1 Full-time permanent	673	802	834	32
11.3 Other than full-time permanent	-	-	-	-
11.5 Other personnel compensation	10	11	11	-
11.7 Military personnel	-	-	-	-
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	170	202	232	30
12.2 Military personnel benefits	-	-	-	-
13.0 Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits	\$ 853	\$ 1,015	\$ 1,077	\$ 62
Other Objects Classes:				
21.0 Travel	208	233	169	(64)
22.0 Transportation of things	3	3	2	(1)
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	95	106	77	(29)
25.1 Advisory and assistance services	945	1,058	770	(288)
25.2 Other services	3,825	4,281	3,116	(1,165)
25.3 Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	92	103	75	(28)
31.0 Equipment	-	-	-	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	139,566	156,222	113,714	(42,508)
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ 144,734	\$ 162,006	\$ 117,923	\$ (44,083)
Total Direct Obligations	\$ 145,587	\$ 163,021	\$ 119,000	\$ (44,021)
Unobligated balance, start of year	(46,089)	(34,132)	-	-
Unobligated balance, end of year	34,132	-	-	-
Total Requirements	\$ 133,630	\$ 128,889	\$ 119,000	-

Note: Total direct obligations does not include advances and reimbursements.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Boating Safety - Civilian
Permanent Positions by Grade**

Grade	2009	2010	2011	2010 - 2011
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	-	-	-	-
GS-14	3	3	3	-
GS-13	3	4	4	-
GS-12	-	-	-	-
GS-11	-	-	-	-
GS-10	-	-	-	-
GS-9	-	-	-	-
GS-8	-	-	-	-
GS-7	1	1	1	-
GS-6	-	-	-	-
GS-5	-	-	-	-
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	7	8	8	1
Unfilled Positions EOY	-	-	-	-
Total Perm. Employment (Filled Positions) EOY	7	8	8	-
FTE	7	8	8	-
Headquarters	8	8	8	-
U.S. Field	(1)	-	-	-
Foreign Field	-	-	-	-
Total Permanent Positions	7	8	8	-
<u>Position Data:</u>				
Average Personnel Costs, ES Positions	n/a	n/a	n/a	n/a
Average Personnel Costs, GS Positions	\$ 124,957	\$ 129,113	\$ 133,663	\$ 4,550
Average Grade, GS Positions	13	13	13	-

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holidays, Sundays, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Boat Safety
PPA I
Funding Schedule
(Dollars in Thousands)**

Boat Safety		2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
Object Classes					
11.1	Full-time permanent	673	802	834	32
11.3	Other than full-time permanent				-
11.5	Other personnel compensation	10	11	11	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	170	202	232	30
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	208	233	169	(64)
22.0	Transportation of things	3	3	2	(1)
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	95	106	77	(29)
25.1	Advisory and assistance services	945	1,058	770	(288)
25.2	Other services	3,825	4,281	3,116	(1,165)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	92	103	75	(28)
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	139,566	156,222	113,714	(42,508)
42.0	Insurance claims and indemnity	-	-	-	-
Total, Boat Safety		\$ 145,587	\$ 163,021	\$ 119,000	\$ (44,021)
Full Time Equivalents		7	8	8	-

PPA Mission Statement

The Boating Safety (BS) program is designed, through preventive means, to minimize loss of life, personal injury, property damage and environmental impact associated with the use of recreational boats. The program directly supports the Coast Guard's Marine Safety mission by promoting safe and enjoyable use of public U.S. waterways. In its role as the designated National Recreational Boating Safety (RBS) Program Coordinator, the Coast Guard is charged with managing dedicated user fee funding to support the National Recreational Boating Safety Program provided from the Sport Fish Restoration and Boating Trust Fund (formerly Aquatic Resources Trust Fund). Under the provisions of the Sportfishing and Recreational Boating Safety Act of 2005 (Subtitle A, Title X, P.L. 109-59), the Coast Guard receives a percentage distribution of total trust fund receipts from the preceding fiscal year (i.e., FY 2011 funding will be a percentage of FY 2010 trust fund receipts).

Summary Justification and Explanation of Changes

Salaries and Benefits

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 853	\$ 1,015	\$ 1,077	\$ 62

The FY 2011 request includes funding for the proposed pay raise (1.4% for civilians), medical benefits, other mandatory personnel entitlements.

Travel

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 208	\$ 233	\$ 169	\$ (64)

Transportation funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. Decreased funding in FY 2011 is a result of less Coast Guard personnel traveling for the RBS program activities.

Transportation of Things

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 3	\$ 3	\$ 2	\$ (1)

Transportation of things includes all costs of the care of such things while in the process of being transported and other services incident to the transportation of things. Decreased funding in FY 2011 is a result of reduced transportation of things for the RBS program activities.

Printing and reproduction

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 95	\$ 106	\$ 77	\$ (29)

Decreased funding in FY 2011 request for printing and reproduction of the RBS program activities.

Advisory and assistance services

2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
\$ 945	\$ 1,058	\$ 770	\$ (288)

Decreased funding in FY 2011 request for advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

Other Services

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	3,825	\$	4,281	\$	3,116	\$	(1,165)

Other services include reported contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Decreased funding in FY 2011 reflects changes in the revenues from trust fund receipts. Non-Federal services for boating safety activities will be reduced across all States.

Supplies and materials

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	92	\$	103	\$	75	\$	(28)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Decreased funding in FY 2011 is a result of reduced supplies and materials for the National Recreational Boating Safety (RBS) Program activities.

Grants, Subsidies and Contributions

	2009		2010		2011		2010 - 2011
	Actual		Enacted		Request		Change
\$	139,566	\$	156,222	\$	113,714	\$	(42,508)

Under the provisions of the Sportfishing and Recreational Boating Safety Act of 2005 (Subtitle A, Title X, P.L. 109-59), the Coast Guard receives a percentage distribution of total trust fund receipts from the preceding fiscal year (i.e., FY 2011 funding will be a percentage of FY 2010 trust fund receipts).

I. Changes in Full-Time Equivalents

Not Applicable

Department of Homeland Security

United States Coast Guard

Oil Spill Recovery



Fiscal Year 2011

Congressional Justification

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U. S. Coast Guard
Oil Spill Recovery

I. Appropriation Overview

A. Mission Statement for Oil Spill Recovery:

The Oil Spill Recovery Program operates under the authority of Title I of the Oil Pollution Act of 1990 (OPA), as amended, which provides for the use of the Oil Spill Liability Trust Fund (OSLTF) to pay for federal response to oil spills and claims for uncompensated removal costs and damages resulting from such spills. In Section Seven of Executive Order 12777, the President delegated management responsibility for these uses of the OSLTF to the Secretary of the Department in which the Coast Guard is operating. Upon re-delegation by the Secretary, the Commandant of the Coast Guard delegated responsibility to the National Pollution Funds Center (NPFC), which oversees the OSLTF.

B. Budget Activities:

The Oil Spill Recovery Program directly supports our Marine Environmental Protection mission. Program accomplishes the following objectives.

- Provides funding for federal removal actions in response to a discharge or a substantial threat of discharge of oil to navigable waters of the United States
- Compensates claimants for OPA removal costs or damages
- Provides funding to natural resource trustees for Natural Resource Damage Assessment (NRDA)
- Administers the Oil Spill Liability Trust Fund

C. Budget Request Summary:

The Coast Guard estimates that expenditures from this account will total \$92.000 million in FY 2011, an increase of \$1.000 million over the FY 2010 enacted level. These estimated expenditures consist of a \$50.000 million expenditure transfer for Federal oil spill response, an estimated \$1.000 million payment to the Prince William Sound Oil Spill Recovery Institute, and \$41.000 million for payment of oil spill removal costs and damages claims, including natural resource damages claims.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Oil Spill Recovery**
Summary of FY 2011 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Oil Spill Recovery	-	\$ 139,464	-	\$ 91,000	-	\$ 92,000	-	\$ 1,000	-	\$ -	-	\$ 1,000
Subtotal, Enacted Appropriations and Budget Estimates	-	\$ 139,464	-	\$ 91,000	-	\$ 92,000	-	\$ 1,000	-	\$ -	-	\$ 1,000
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	-	\$ 139,464	-	\$ 91,000	-	\$ 92,000	-	\$ 1,000	-	\$ -	-	\$ 1,000

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Oil Spill Recovery
Program Performance Justification
(Dollars in Thousands)**

PPA I: OIL SPILL RECOVERY

	Perm Pos	FTE	Amount
2009 Actual	\$139,464
2010 Enacted	91,000
2011 Adjustments-to-Base			1,000
2011 Current Services	92,000
2011 Program Change
2011 Request	92,000
Total Change 2010-2011	1,000

The Coast Guard requests \$92.000 million for this activity. This is an increase of \$1.000 million from the FY 2010 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

- Title I of the Oil Pollution Act of 1990 (OPA), as amended, provides for the use of the Oil Spill Liability Trust Fund (OSLTF) to pay for federal response to oil spills and claims for uncompensated removal costs and damages resulting from such spills. In Section Seven of Executive Order 12777, the President delegated management responsibility for these uses of the OSLTF to the Secretary of the Department in which the Coast Guard is operating. Upon re-delegation by the Secretary, the Commandant of the Coast Guard delegated responsibility to the National Pollution Funds Center (NPFC), which oversees the OSLTF.
- OPA section 5006(b) directs the NPFC to make annual payments to the Prince William Sound Oil Spill Recovery Institute of the interest on a portion of the OSLTF balance.

Significant accomplishments in FY 2009 included:

- Oversaw execution of \$50.000 million in funding for federal response to 500 oil spills.
- Executed payment of \$1.100 million to the Oil Spill Recovery Institute.
- Executed payment of \$88.364 million in claims for uncompensated removal costs and damages, which included natural resource damages, resulting from oil spills.

FY 2010 planned accomplishments include:

- Oversee execution of \$50.000 million in funding for federal response to 500 oil spills.

- Execute payment of an estimated \$1.100 million to the Oil Spill Recovery Institute.
- Pay \$39.900 million in claims for uncompensated removal costs and damages, including natural resource damages, resulting from oil spills.

FY 2011 planned accomplishments include:

- Oversee execution of \$50.000 million in funding for federal response to 500 oil spills.
- Oversee payment of an estimated \$1.200 million to the Oil Spill Recovery Institute.
- Oversee payment of \$40.800 million in claims for uncompensated removal costs and damages, including natural resource damages, resulting from oil spills.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable

B. FY 2010 to FY 2011 Budget Change

**Department of Homeland Security
U. S. Coast Guard
Oil Spill Recovery
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2009 Actual	-	-	139,464
2010 Enacted	-	-	91,000
Increases	-	-	1,000
Total Adjustments-to-Base	-	-	1,000
2011 Current Services	-	-	92,000
Program Changes			
Total Program Changes	-	-	-
2011 Request	-	-	92,000
2010 to 2011 Total Change	-	-	1,000

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Oil Spill Recovery
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2009 Actual	2010 Enacted	2011 Request	2010 - 2011 Change
11.1 Full-time permanent	-	-	-	-
11.3 Other than full-time permanent	-	-	-	-
11.5 Other personnel compensation	-	-	-	-
11.7 Military personnel	-	-	-	-
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	-	-	-	-
12.2 Military personnel benefits	-	-	-	-
13.0 Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits	\$ -	\$ -	\$ -	\$ -
Other Object Classes:				
21.0 Travel	-	-	-	-
22.0 Transportation of things	-	-	-	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	139,464	91,000	92,000	1,000
25.3 Purchases of goods & sves. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	-	-	-	-
31.0 Equipment	-	-	-	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ 139,464	\$ 91,000	\$ 92,000	\$ 1,000
Total Direct Obligations	\$ 139,464	\$ 91,000	\$ 92,000	\$ 1,000
Unobligated balance, start of year	(23,295)	(22,466)	(22,466)	
Unobligated balance, end of year	22,466	22,466	22,466	
Total Requirements	\$ 138,635	\$ 91,000	\$ 92,000	

Note: Total direct obligations does not include advances and reimbursements.

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Oil Spill Recovery
PPA I
Funding Schedule
(Dollars in Thousands)**

Oil Spill Recovery		2009 Actual	2010 Enacted	2011 Request	2010-2011 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	139,464	91,000	92,000	1,000
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Oil Spill Recovery		\$ 139,464	\$ 91,000	\$ 92,000	\$ 1,000
Full Time Equivalents		-	-	-	-

PPA Mission Statement

The Oil Spill Recovery fund will provide a source of funds for removal costs and damages resulting from oil spills, or the substantial threat of a spill, into navigable waters of the U.S. In accordance with the provisions of the Oil Pollution Act of 1990, the President may make available up to \$50 million annually from the Fund for oil spill removal activities. The Fund also pays all eligible claims for removal costs and damages resulting from oil spills.

Summary Justification and Explanation of Changes

Other services

	2009		2010		2011		2010-2011
	Actual		Enacted		Request		Change
	\$ 139,464	\$	91,000	\$	92,000	\$	1,000

The FY 2011 Oil Spill Recovery request represents an increase from FY 2010 as a result of a projected increase in anticipated claims.

I. Changes in Full-Time Equivalents

Not Applicable

Department of Homeland Security

United States Coast Guard

Miscellaneous Funds



Fiscal Year 2011

Congressional Justification

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U. S. Coast Guard
Miscellaneous Funds

I. General Gift Fund Overview

A. Mission Statement for General Gift Fund

The Coast Guard General Gift Fund is authorized under 10 U.S.C § 2601 provisions for such funds within the Department of Defense and the Coast Guard. The General Gift Fund is a vehicle that authorizes the Commandant of the Coast Guard to accept gifts and donations for the benefit of activities such as museums, chapels, and other organizations under the jurisdiction of the Coast Guard. A recent legislative change also authorizes the Coast Guard to accept gifts to be used for the benefit of service members who are wounded, injured or taken ill while in the line of duty, as well as for those members' dependents and survivors.

B. Budget Activities:

The General Gift Fund indirectly supports Coast Guard activities.

C. Budget Bequest Summary:

The Coast Guard estimates \$80.000 thousand in bequests from various sources to the General Gift Fund in FY 2011.

U.S. Coast Guard General Gift Fund
(Dollars in Thousands)

	<u>Amount</u>
2009 Actual	\$1,949
2010 Enacted	80
2011 Estimated Bequests	80
Total Change 2010-2011	-

U. S. Coast Guard
Miscellaneous Funds

II. Yard Fund Overview

A. Mission Statement for Yard Fund

Coast Guard Yard contributes to all eleven statutory Coast Guard missions through completion of mission-essential logistics and engineering support (e.g., cutter drydocking). The Yard Fund is a revolving account supported by the Coast Guard's Operating Expenses and Acquisition, Construction & Improvements appropriations to pay for FTE and materials required for Coast Guard projects and work orders completed by the Coast Guard Yard, located in Curtis Bay, MD.

B. Budget Activities:

Yard Fund activities include logistics and engineering support for Coast Guard vessels. These activities indirectly support Coast Guard missions.

C. Budget Request Summary:

Not applicable.

U. S. Coast Guard
Miscellaneous Funds

II. Supply Fund Overview

A. Mission Statement for Supply Fund

The Supply Fund, in accordance with 14 U.S.C. § 650, finances the procurement of uniform clothing, commissary provisions, general stores, technical material, and fuel for vessels over 180 feet in length. The fund is normally financed by reimbursements from the sale of goods.

B. Budget Activities:

Supply Fund activities include funding the procurement of uniforms, commission provisions, stores, materials, and fuel. These activities indirectly support Coast Guard missions.

C. Budget Request Summary:

Not applicable.

III. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U. S. Coast Guard
Gift Fund

Summary of FY 2011 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Estimated Requests		Total Changes		Increase (+) or Decrease (-) For FY 2011 Program Changes		Adjustments-to-base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. General Gift Fund	-	\$ 1,949	-	\$ 80	-	\$ 80	-	\$ -	-	\$ -	-	\$ -
Subtotal, Enacted Appropriations and Budget Estimates	-	\$ 1,949	-	\$ 80	-	\$ 80	-	\$ -	-	\$ -	-	\$ -
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	-	\$ 1,949	-	\$ 80	-	\$ 80	-	\$ -	-	\$ -	-	\$ -

IV. Current Services Program Description by PPA

Not Applicable

V. Program Justification of Changes

Not Applicable

VI. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable

B. FY 2010 to FY 2011 Budget Change

**Department of Homeland Security
U. S. Coast Guard
Gift Fund
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2009 Actual	-	-	1,949
2010 Enacted	-	-	80
Adjustments-to-Base			
Total Adjustments-to-Base	-	-	-
2011 Estimated Bequests	-	-	80
2011 Bequests	-	-	80
2010 to 2011 Total Change	-	-	-

C. Summary of Requirements

Not Applicable

D. Summary of Reimbursable Resources (applies only to Yard Fund)

**Department of Homeland Security
U. S. Coast Guard
Yard Fund**

Summary of Reimbursable Resources
(Dollars in Thousands)

Collections by Source	2009 Actual		2010 Revised Estimate		2011 Estimate		Increase/Decrease	
	Pos.	FTE Amount	Pos.	FTE Amount	Pos.	FTE Amount	Pos.	FTE Amount
U.S. Coast Guard	585	502 118,000	606	517 118,000	606	517 118,000	-	-
Total Budgetary Resources	585	502 118,000	606	517 118,000	606	517 118,000	-	-

E. Summary of Requirements by Object Class

Not Applicable

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Yard Fund - Reimbursable Military
Permanent Positions by Grade**

Grade	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
	Pos.	Pos.	Pos.	Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	-	-	-	-
O-7	-	-	-	-
O-6	1	1	1	-
O-5	2	2	2	-
O-4	2	2	2	-
O-3	3	3	3	-
O-2	1	1	1	-
O-1	-	-	-	-
CWO4	3	3	3	-
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	-	-	-	-
E-8	-	-	-	-
E-7	-	-	-	-
E-6	-	-	-	-
E-5	-	-	-	-
E-4	-	-	-	-
E-3	-	-	-	-
E-2	-	-	-	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	12	12	12	-
Unfilled Positions EOY	-	-	-	-
Total Perm. Employment EOY	12	12	12	-
FTE*	12	12	12	-
Headquarters	-	-	-	-
U.S. Field	12	12	12	-
Foreign Field	-	-	-	-
Total Permanent Positions	12	12	12	-
Position Data:				
Average Salary, Officer Positions**	\$ 89,041	\$ 92,273	\$ 95,145	\$ 2,872
Average Grade, Officer Positions	3	3	3	-
Average Salary, Enlisted Positions**	\$ -	\$ -	\$ -	\$ -
Average Grade, Enlisted Positions	-	-	-	-

*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

**The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Yard Fund - Reimbursable Civilian
Permanent Positions by Grade**

Grade	2009 Actual	2010 Enacted	2011 Request	2010 to 2011 Change
	Pos.	Pos.	Pos.	Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	1	1	1	-
GS-14	4	3	3	-
GS-13	15	8	8	-
GS-12	27	27	27	-
GS-11	20	35	35	-
GS-10	-	-	-	-
GS-9	6	10	10	-
GS-8	2	5	5	-
GS-7	9	14	14	-
GS-6	2	-	-	-
GS-5	3	6	6	-
GS-4	-	2	2	-
GS-3	1	-	-	-
GS-2	-	-	-	-
Other Graded Positions	483	483	483	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	573	594	594	-
Unfilled Positions EOY	57	63	63	-
Total Perm. Employment (Filled Positions) EOY	516	531	531	-
FTE	495	505	505	-
Headquarters	-	-	-	-
U.S. Field	573	594	594	-
Foreign Field	-	-	-	-
Total Permanent Positions	573	594	594	-
Position Data:				
Average Personnel Costs, ES Positions	n/a	n/a	n/a	n/a
Average Personnel Costs, GS Positions	\$ 97,026	\$ 89,798	\$ 96,288	\$ 6,490
Average Grade, GS Positions	11	10	10	-

Note: the CG Yard's workload and personnel are predominantly funded from other Coast Guard appropriations.

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

Not Applicable

I. Changes in Full-Time Equivalents

Not Applicable

Department of Homeland Security

United States Coast Guard



Fiscal Year 2011
Strategic Context
Congressional Justification Budget Submission

FY 2011 CONGRESSIONAL JUSTIFICATION STRATEGIC CONTEXT

United States Coast Guard

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A. MISSION AND DESCRIPTION

The U. S. Coast Guard is the principal Federal agency responsible for maritime **safety, security and stewardship** in U.S. ports and inland waterways, along the coasts, on the high seas and in other regions where our nation's maritime equities are at stake. As such, the Coast Guard protects the nation's vital economic and security interests throughout the maritime domain, including the marine transportation system, our natural and economic resources, and our maritime borders. Coast Guard personnel are trained to address all threats and all hazards, in accordance with the law and in alignment with National and Department of Homeland Security (DHS) goals, objectives, and missions including:

- Preventing and Protecting Against Terrorism;
- Securing and Managing Our Borders;
- Enforcing and Administering Our Immigration Laws;
- Safeguarding and Securing Cyberspace; and
- Ensuring Resilience to Disasters.

The Coast Guard Value Proposition: *Here to Protect, Ready to Rescue*

The Coast Guard delivers value to the public through the execution of its 11 statutorily-mandated mission programs. Execution of these complementary missions ensures fulfillment of the Coast Guard's primary roles of maritime safety, security, and stewardship. These roles and missions are *enduring* – long-standing responsibilities accrued over two centuries of service.

Coast Guard assets and personnel provide the Nation with an agile force that efficiently maximizes limited resources and return on investment. While each Coast Guard mission has a direct linkage to one of these three primary roles, many also overlap to support others. This complementary and multi-faceted character transcends all aspects of the Coast Guard, enabling personnel and assets to perform various safety, security, and stewardship missions and quickly change focus to the most pressing (i.e., highest risk) need. For example, assets performing patrols of our Exclusive Economic Zone (EEZ) to protect living marine resources can be rapidly redirected to rescue a mariner in distress, or respond to a border security threat.

U. S. Coast Guard Snapshot

Mission Programs:

Search and Rescue
Marine Safety
Aids to Navigation
Domestic Ice Operations
Marine Environmental Protection
Living Marine Resources
Drug Interdiction
Undocumented Migrant Interdiction
Other Law Enforcement
Ports, Waterways, and Coastal Security
Defense Readiness

Major Commands:

Atlantic Area Command – Portsmouth, VA
Pacific Area Command – Alameda, CA
1st District – Boston, MA
5th District – Portsmouth, VA
7th District – Miami, FL
8th District – New Orleans, LA
9th District – Cleveland, OH
11th District – Alameda, CA
13th District – Seattle, WA
14th District – Honolulu, HI
17th District – Juneau, AK
Coast Guard Headquarters – Washington, D.C.

Workforce (per FY11 President's Request):

Military	42,000
Civilian	9,121
Selected Reserves	8,100
Auxiliary	30,047

Major Assets (per FY11 President's Budget):

Major Cutters	39
Patrol Boats	119
Icebreakers	13
Buoy Tenders	76
Helicopters	139
Fixed Wing Aircraft	52
Boats	1,700

Moreover, the Coast Guard's ability to conduct surge operations and leverage partnerships in response to nationally significant safety, security, or environmental threats is critical to disaster recovery and exemplifies the resiliency of the Service and the Department. At a time when "whole of government" approaches are critical to achieving national objectives across a broad spectrum of strategic challenges from Overseas Contingency Operations in Iraq and Afghanistan to hurricane, terrorism, and pandemic preparedness, It must be recognized that the Coast Guard remains a unique and invaluable instrument of national safety and security, providing the primary federal maritime presence to prevent and protect against terrorism, enforce laws, secure and manage the border, conduct response operations, ensure resilience from disasters, and protect the environment.

It is this multi-mission flexibility and interagency cooperation, combined with the dedication of the Coast Guard workforce, which has yielded over 200 years of operational excellence, and will enable the Coast Guard to continue to supply valuable service to the Nation in the 21st century.

B. MAJOR PROGRAMS AND KEY STRATEGIC GOALS AND CHALLENGES

Key Strategic Issues

Reducing Operational Capacity Today to Preserve it for Tomorrow

Recapitalization

The FY 2011 President's Budget seeks funding for recapitalization of increasingly outdated and unreliable assets (e.g. cutters, aircraft, boats, and C4ISR) and infrastructure. This is the Department's top budget priority for the Coast Guard. ***Recapitalization is vital to preserving future surface, air, and shore asset capability, and is an essential investment for the Nation.***

What the Coast Guard builds today will secure the Nation's borders, rescue those in peril, preserve our economic resources and vitality, and protect the environment for decades to come.

Mitigating Near-Term Impacts of Service Reductions through Risk Management

The FY 2011 President's Budget request leverages targeted reductions in operational capacity, efficiencies, and consolidation initiatives to support continued recapitalization of aging assets and infrastructure. ***The Coast Guard will deliver service to the American public in FY 2011 at reduced capacity.*** Operational commanders will partially mitigate near-term risks through deliberate, risk-based resource allocation, and will continue to meet the nation's highest order steady-state maritime safety, security, and stewardship needs. However, because the Coast Guard will be reducing the overall level of service it provides the Nation, performance will be diminished in a variety of areas. Reductions in performance are driven by fiscal constraints, not fundamental changes in Coast Guard mission program requirements or performance goals.

Sustaining Long-Term Mission Performance

While the Coast Guard will manage risk to deliver service regardless of operational capacity, projected FY 2011 mission program performance levels will fall well short of achieving Coast Guard, DHS, and National goals and objectives.

Performance Goals and Measures Remain Unchanged

Coast Guard performance goals are outcome oriented statements that describe the value delivered to the goal's beneficiaries and the American public. Performance measures are used to gauge performance and assess progress in meeting the performance goal. Consistent with general

principles of performance management, goals and measures are not adjusted based on projected resource levels, however year to year targets may be adjusted with changing funding constraints.

Performance Targets

Coast Guard performance measures have associated “targets” that project a future level of performance for the Future Years Homeland Security Program (FYHSP) time horizon. Per DHS/OMB guidance, Coast Guard performance targets are “aggressive but achievable,” consistent with projected FY 2011 operating capacity, and therefore subject to change based on available resources. The Coast Guard’s FY 2011 performance targets have been updated accordingly.

Of note, *‘Aggressive’ and ‘achievable’ targets do not necessarily equal acceptable performance toward Coast Guard, DHS, and National performance goals.* For example, the Coast Guard has lowered its FY 2011 Drug Interdiction target from 18.5% in FY 2010 to 15.5% in FY 2011 commensurate with the targeted operational reductions proposed in the FY 2011 President’s Budget (e.g., advanced cutter and aircraft decommissionings). This reduction in performance does not change the Coast Guard performance goal of reducing the flow of illegal drugs from entering the United States via non-commercial maritime shipping sources or the Office of National Drug Control Policy’s (ONDCP) National goal of 40% removal. Section D provides a comprehensive overview of performance targets through FY 2011.

In general, the long-term performance impacts associated with the operational reductions proposed in the President’s Budget ultimately depend on the pace and stability of future recapitalization (e.g., the performance loss associated with the advanced decommissioning of cutters and aircraft will be mitigated through the timely future delivery of new replacement assets).

Major Programs

Search and Rescue (SAR): The Coast Guard SAR mission program performance goal is to save people in imminent danger on our Nation’s oceans and waterways, and directly contributes to the DHS mission of *Ensuring Resilience to Disasters*. In FY 2009, the Coast Guard achieved its SAR mission-program performance target of saving at least 76% of persons in imminent danger. The Coast Guard transitioned to a new measure, the percent of people in imminent danger saved in the maritime environment, to better show lives unaccounted for or persons still missing when SAR operations cease. The Coast Guard also enhanced its ability to detect and locate persons in distress through technology improvements such as Rescue 21, which now covers nearly 40,000 miles of the Nation’s coastline, and the installation of advanced equipment on response assets, such as the 406 mega-Hertz direction finders on additional aircraft and Digital Selective Calling capability on additional cutters and small boats. The SAR program expects continued operational improvements in FY 2010 with additional SAR-related technology upgrades. Enhancing Command Center performance will be a top priority in FY 2010. While the decommissioning of High Endurance Cutters (HEC) and air assets will reduce overall SAR and operational surge capacity, the FY 2011 budget request preserves basic SAR requirements (i.e., minimum required asset readiness) through asset reallocation and risk management, and supports investment in enhanced SAR capability such as Rescue 21 and the Response Boat-Medium (RB-M).

Ports, Waterways, and Coastal Security (PWCS): The Coast Guard PWCS mission program performance goal is to manage terror-related risk in the U.S. maritime domain to an acceptable level. This mission program directly supports the DHS mission of *Preventing and Protecting Against Terrorism*. The Coast Guard met its FY 2009 PWCS performance target by reducing 31%

of the maritime terrorism risk over which the Coast Guard has influence. This is attributable to across-the-board improvements in maritime security regimes, maritime domain awareness, and security and response operations. Specifically, the Coast Guard International Port Security program verified the effectiveness of anti-terrorism measures and security in 35 foreign ports. Additionally, maritime domain awareness of global shipping traffic was improved through enhancements in the Nationwide Automatic Identification System (AIS) and the start-up of the Long Range Identification and Tracking (LRIT) system. While primarily a safety and collision avoidance system, the Coast Guard also leverages AIS capability to support maritime security operations. Lastly, the Coast Guard focused its allocation of resources on activities such as waterborne patrols and escorts, high interest vessel boardings, and on higher risk maritime critical infrastructure and key resources.

In FY 2011, the Coast Guard plans to decommission five of twelve (42%) Maritime Safety and Security Teams (MSSTs). Reducing MSST capacity represents a trade-off between near-term operational risk and continued recapitalization of surface and aircraft fleets to preserve long-term multi-mission capability and readiness. While the Coast Guard improves security and response operations by continually assessing its PWCS strategy and operational guidance to the field, these decommissionings will decrease operational capacity and performance. To help manage risks associated with this reduction, the Coast Guard will implement a regionalized deployable force construct, with resources apportioned to operational commanders based on the highest prevailing risks in the Nation's ports. Unity of effort is expected to improve as the Coast Guard continues to partner with TSA to publish TWIC regulations and better secure and manage our borders. The continued alignment of Coast Guard exercises with the Homeland Security Exercise and Evaluation Program as prompted by recent updates to all 43 Area Maritime Security Plans continues to help ensure the resilience of the Nation's ports to disasters.

Drug Interdiction: The Coast Guard Drug Interdiction mission program performance goal is to reduce the flow of illegal drugs entering the United States via non-commercial maritime shipping sources. This mission program directly supports the DHS mission of *Securing and Managing our Borders*. In FY2009, the Coast Guard removed 15.0% of the cocaine coming to the United States through the transit zone (per the Consolidated Counterdrug Database cocaine non-commercial maritime cocaine estimate for FY 2009), falling short of its target of 15.7%. The Coast Guard removed less cocaine in FY 2009 than in FY2008 (by 4%), yet achieved its third highest total removals on record with 160.1 MT of cocaine removed. The first NSC, USCGC BERTHOLF, disrupted a multi-vessel drug transfer in the Eastern Pacific during its first operational patrol in July 2009. The Coast Guard will continue to aggressively pursue recapitalization of its aging major cutter and aircraft fleet in FY 2010 and FY 2011 in part to close the growing gap in major cutter and maritime patrol aircraft available to support the National Drug Control Strategy's transit zone cocaine removal rate goal. In FY 2010, the Coast Guard will expand Airborne Use of Force (AUF) capability to improve the interdiction and "end game" prosecution of drug traffickers using go-fast vessels along littoral routes. The decommissioning of 33% of the HEC fleet and the reduction and realignment of rotary wing assets, to include reduced Operation Bahamas, Turks, and Caicos (OPBAT) presence in FY 2011, will adversely impact the Coast Guard's ability to achieve projected performance consistent with the ONDCP's cocaine removal rate goal. While the Coast Guard will attempt to mitigate a portion of these losses by bolstering Law Enforcement Detachment (LEDET) and AUF capacity, these performance impacts, as well as the Nation's long-term ability to secure its maritime borders, must ultimately be addressed through recapitalization, particularly the National Security Cutter (NSC), Offshore Patrol Cutter (OPC), and Maritime Patrol Aircraft (MPA) programs supported in the FY 2011 budget request.

Marine Safety: The Coast Guard's Marine Safety mission program performance goal is to reduce maritime fatalities and injuries in our Nation's oceans and waterways. In FY 2009, the Coast Guard met its Marine Safety mission-program performance targets for Commercial Mariner Safety, Recreational Boating Safety, and Commercial Passenger Safety. The Coast Guard's Marine Safety program ensures the safe operation and navigation of over 20,000 U.S. and foreign flagged vessels, inspects over 70,000 domestic vessels, and carries out more than 11,000 port state control (foreign vessel) examinations annually. The Coast Guard continues to reduce the occurrence of marine casualties and enhance service to mariners, industry, and the public. In FY 2009, the Coast Guard participated in Operation Dry Water, an intensified effort to detect intoxicated boaters and enforce Boating Under the Influence (BUI) laws with the goal of protecting thousands of recreational boaters and reducing death and injuries. With funding provided in FY 2009 and FY 2010, the Coast Guard continues to add civilian marine inspectors and investigators to address industry growth, improve inspector training and capacities, and bolster career paths for personnel with marine science and engineering backgrounds. The Coast Guard recently established seven National Centers of Expertise focused on Vintage Steam Vessels; Marine Casualty Investigations; Chemical-LNG Bulk transport; Towing Vessels; Cruise Ships; Offshore Oil Exploration; and Mariner Suspension and Revocation Proceedings. All of these actions are part of the Coast Guard's Marine Safety Performance Plan (2009-2014), which systematically expands the core experience and capabilities of the Marine Safety Program personnel to better manage and ensure compliance on U.S. and foreign vessels operating in U.S. waters and reduce the risk of casualties, deaths and injuries to targeted goals. The FY 2011 President's Budget supports multiple DHS missions including *Ensuring Resilience to Disasters* and continues investment in the Marine Safety Performance Plan which is vital to the economic health of the Nation.

Undocumented Migrant Interdiction: The Coast Guard Migrant Interdiction mission program performance goal is to eliminate the flow of undocumented migrants via maritime routes to the United States. The program aims to deter, detect, and interdict undocumented migrants and transnational smugglers far from the United States shoreline to reduce the flow of undocumented migrants. In FY 2009 the Coast Guard and its other domestic and international partners interdicted 84.4% of undocumented migrants attempting to enter the U.S. via maritime means. The improved outcome is in part due to the reduced number of Cubans smuggled by professional smugglers operating 'go-fasts.' In FY 2009 the smaller Cuban flow has been via slower moving *rusticas*, increasing maritime detection and interdiction success for the Coast Guard and its partners. As a result of reduced migrant flow, in part due to Coast Guard deterrence, the Coast Guard anticipates maintaining baseline performance in FY 2011 despite a reduction in operational capacity. However, the FY 2011 advanced HU-25 aircraft retirement, descoping of OPBAT operations, and advanced major cutter decommissionings will ultimately reduce Coast Guard presence and impact deterrent and interdiction capability. A robust and deployable major cutter, MPA, and patrol boat fleet is essential to maintaining sufficient deterrent presence along traditional maritime migrant routes as well as the ability to quickly respond to mass migration incidents. Consistent with FY 2011 budget priorities, continued recapitalization of the NSC, OPC, FRC, and MPA programs is critical to supporting the DHS missions of *Securing and Managing Our Borders and Enforcing and Administering our Immigration Laws*, and sustaining long-term performance in this program.

Marine Environmental Protection (MEP): The Coast Guard MEP mission program performance goal is to reduce oil spills and chemical discharge incidents and mitigate impacts when they occur. This mission program directly supports the DHS mission of *Ensuring Resilience to Disasters*. In FY 2009, the Coast Guard met its MEP performance targets as the five year average of chemical

discharge incidents per 100 million short tons shipped decreased to 17.8 (less than the 25.9 target) and the five year average number of oil spills per 100 million short tons shipped decreased to 11.8 (less than the 13.0 target). In FY 2009, the Coast Guard performed over 17,300 facility inspections and 25,400 container inspections, identifying over 5,200 deficiencies. In addition, the Coast Guard investigated and responded to almost 3,600 pollution incidents, disseminated guidance to better incorporate volunteer organizations into oil spill clean-up operations, and Initiated a Front End Analysis for the Federal On Scene Coordinator Representative roles and responsibilities. The Coast Guard will validate the National Incident Command concept during the 2010 Spill of National Significance exercise. This continued refinement of the National Incident Management System will aid the resilience of maritime communities to disasters, and help mature the Nation's homeland security enterprise. In FY 2010, the Coast Guard will continue to develop a national mandatory Ballast Water Management (BWM) program to support the implementation of a discharge standard. The purpose of the BWM program is to prevent new aquatic species which may be dangerous or harmful to the environment from entering U.S. and international waterways.

Defense Readiness: The Coast Guard Defense Readiness mission program performance goal is to improve national security and military strategies by ensuring assets are at the level of readiness required to support Combatant Commanders (COCOMs). These efforts contribute to the DHS missions of *Securing and Managing Our Borders and Preventing and Protecting Against Terrorism*. In FY 2009, the Coast Guard fell short of its performance target as only 31% of Coast Guard assets included in COCOM operational plans were at the required level of readiness (target was 100%). In FY 2010 and FY 2011, Coast Guard assets and personnel will continue to deploy and provide support to the COCOMs. Specifically, the Coast Guard will continue to provide major cutter deployments, Port Security Units, and other forces to support maritime security operations in the U.S. Central Command area of operations. These forces offer unique capabilities in support of Overseas Contingency Operations (OCO), and are a critical component in preventing and protecting against terrorism. The FY 2011 advance decommissioning of multiple HECs, the Coast Guard's primary deployable surface asset for COCOM support, and the readiness challenges associated with maintaining an aging fleet, will continue to put achievement of future performance goals at risk. While the Coast Guard will employ assets on a risk-informed basis, long-term operational gaps must be mitigated through continued recapitalization, specifically the NSC program supported in the FY 2011 President's Budget.

Living Marine Resources: The Coast Guard Living Marine Resource (LMR) mission program performance goal is to achieve sustained fisheries regulation compliance. The mission program strives to provide effective presence and professional at-sea enforcement for the conservation and management of living marine resources and their environments, and the associated securing and managing of our borders. The Coast Guard conducted 5,423 living marine resource boardings in FY 2009. Of these boardings, 177 resulted in the detection of at least one significant living marine resource violation yielding an observed compliance rate of 96.7%, just short of the target of 97%. In FY 2010 and FY 2011 the Coast Guard, in support of the Department's objective to protect our Exclusive Economic Zone under its *Securing and Managing Our Borders* mission, will explore strategies to improve LMR program management by increasingly targeting high precedence fisheries. Such initiatives are critically important to mitigating existing major cutter and aircraft capacity gaps. As the Coast Guard decommissions one third of the HEC fleet and retires aircraft prior to delivery of replacement capability, it will be challenged in FY 2011 to provide required effective presence to achieve goals of detection and deterrence of violations of federal fisheries

regulations. Accordingly, the Coast Guard has lowered its primary performance target in FY 2011 to 96%. Consistent with FY 2011 budget priorities, continued recapitalization is critical to ensuring long-term performance in this program, particularly the NSC, OPC, MPA, and FRC programs supported in the FY 2011 budget request. The Coast Guard also intends to deploy a new performance measure to incorporate Coast Guard boarding activity into its higher level performance outcome.

Aids to Navigation (ATON): The ATON mission program performance goal is to facilitate safe and efficient movement of goods and people through the Marine Transportation System (MTS). The program provides reliable navigation systems, marine information, and a wide variety of navigation-enabling services to protect the Nation's transportation sector. In FY 2009, the mission met the majority of its Aid to Navigation performance targets including achieving the international standard for reliable ATON systems. In FY 2009, the Coast Guard continued to decrease its backlog for waterways short-range aids (SRA) improvements. Funding this program improves transportation safety on U.S. waterways through new construction, improvements or refurbishment of existing infrastructure. Moreover, Coast Guard ATON assets play a critical role in surging resources to areas impacted by emergencies and major disasters and facilitating the reconstitution of ports and resilience to disasters. The safety and efficiency of the MTS remains vital to continued U.S. economic prosperity. For example, waterborne commerce accounts for approximately 78% of U.S. international trade by volume and 45% by value. According to the American Association of Port Authorities, some 13.3 million U.S. jobs depend on the movement of goods through the Nation's deep-draft seaports, and business activities related to waterborne commerce contribute approximately \$3.15 trillion overall to the U.S. economy.

Ice Operations: The Ice Operations mission program performance goal is to support national interests by providing icebreaking and ice-related information services to facilitate transport of people and goods. Ice operations provide domain awareness and support securing the Nation's borders; specifically, these multi-mission platforms operate in ice-laden waters, conduct scientific research, and project presence in remote border areas. In FY 2009, the ice operations mission-program successfully met its performance target. The Coast Guard has long maintained an icebreaking capability in the Great Lakes and in northeastern ports and waterways in support of national interests. America's waterways support critical commerce through regions that face the challenge of heavy ice laden waters throughout much of the winter. Currently, the Coast Guard's domestic icebreaking program supports 11 distinct trade routes and breaks ice jams, providing flood control as an ancillary public benefit. Currently, CGC POLAR SEA is the Nation's only operational heavy icebreaking capability with an expected service life until 2014. With AC&I funding appropriated in FY 2010 the Coast Guard is continuing the reactivation of CGC POLAR STAR from caretaker to operational status. Completion of the reactivation project in FY 2012 is expected to extend POLAR STAR's service life by seven to 10 years. Excluding the CGCs HEALY and MACKINAW, the Coast Guard's assets for icebreaking are nearing the end of their estimated service life and experiencing unexpected equipment failures, leading to increased operational cost and lost operational days. As such, during FY 2010 the Coast Guard will assess the best and most effective ways to meet current and future needs of other Government agencies, industries, and communities reliant upon the services provided by the Ice Operations mission and national priorities in the Arctic detailed in National Security Presidential Directive-66/Homeland Security Presidential Directive-25.

Other Law Enforcement: The Coast Guard's Other Law Enforcement (OLE) mission program performance goal is to enhance the security of the U.S. Exclusive Economic Zone (EEZ) and

relevant areas of the high seas by detecting, deterring, and combating illegal, unreported, and unregulated (IUU) fishing by foreign fishing vessels. This mission directly supports the DHS mission of *Securing and Managing our Borders*. In FY 2009 the Coast Guard achieved its performance target by detecting 112 incursions into the U.S. EEZ (target was less than 195 detected incursions). The majority of incursions were Mexican *lanchas* (small motorboats) in the Gulf of Mexico EEZ. There were 85 detected incursions of these small, elusive vessels in FY 2009, which was well below the past three years' average of 105. The Coast Guard remains challenged to maintain surveillance and interdiction for incursions in the expansive and remote Western Central Pacific (WCP) EEZ and will continue to leverage international and domestic partnerships to aid in coverage of this area. In FY 2010, the Coast Guard will also place observers on U. S. Naval vessels to partially mitigate detection capacity gaps in the WCP EEZ. As the Coast Guard advances the decommissioning of HECs and retirement of aircraft to sustain continued recapitalization, it will be challenged in FY 2011 to maintain its EEZ incursion interdiction rate, particularly in the WCP. Consistent with FY 2011 budget priorities, continued recapitalization is critical to sustaining long-term performance in this program, particularly the NSC, OPC, and MPA programs supported in the FY 2011 President's Budget.

C. RESOURCES REQUESTED AND PERFORMANCE IMPACT

The Coast Guard will reduce operational capability today to preserve it for tomorrow.

The Coast Guard's FY 2011 budget request leverages targeted reductions in operational capacity, efficiencies, and consolidation initiatives to support the Service's top budget priority - continued recapitalization of aging assets and infrastructure. Recapitalization is vital to preserving future surface, air, and shore asset capability and mission performance, and remains an essential investment for the Nation despite a period of fiscal constraint. The Coast Guard's ability to field versatile platforms and personnel with broad authorities is one of the U. S. Government's most important strengths in the maritime environment, and is critical to effectively managing limited resources to best serve the Nation's interests.

Recapitalization: Acquisition, Construction, and Improvement (AC&I)

Air and Surface Fleets

Preservation of the Coast Guard's maritime capability through the recapitalization of surface and air assets, particularly cutters, the Response Boat-Medium (RB-M), and fixed-wing Maritime Patrol Aircraft (MPA), is a strategic imperative for DHS and the Coast Guard. The timely replacement of High Endurance Cutters (HECs) through the National Security Cutter (NSC) project is the Coast Guard's top recapitalization priority.

The FY 2011 President's Budget continues HEC recapitalization by funding NSC #5 production. While service demands require the continued employment of these aging and increasingly unreliable assets (average age of the HEC fleet is 42 years) well beyond their useful service life, the President's Budget proposes advancing the decommissioning of a limited number of HECs prior to arrival of replacement assets to reinvest operating and maintenance costs in recapitalization initiatives critical to the future readiness and viability of the Coast Guard, particularly the NSC program. In the long term, reducing the strategic maritime risk associated with these decommissionings ultimately depends on sustained major cutter recapitalization as requested in the President's Budget.

Other FY 2011 recapitalization priorities include the HC-144A MPA, Fast Response Cutter (FRC), and RB-M, all of which will replace aging assets (i.e., HU-25 Falcon, 110-foot Island Class Patrol Boat, and 41-foot Utility Boat, respectively) approaching the end of their service lives. Six HC-144A MPA are currently operational and are saving lives and securing the maritime border in the 8th District. The first FRC will commence operations in Miami, FL in FY 2011.

The FY 2011 President's Budget also seeks funding for critical Logistics and Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (C4ISR) investments needed to support the operation of surface and air assets.

Aging Shore Infrastructure, Including Military Housing

The President's FY 2011 Budget seeks funding to address the Service's most urgent shore infrastructure recapitalization requirements. Much of the Coast Guard's shore infrastructure is located in the harsh marine environment and requires reconstruction or replacement to restore operational capabilities lost through years of deterioration resulting in a backlog of hundreds of millions of dollars in shore improvement and repair projects. Continued investment in aging Coast Guard facilities is critical to sustaining operations and mitigating occupational safety risks.

For example, the President's Budget seeks funding to rehabilitate an existing pier face for three Coast Guard Buoy Tenders homeported in Newport, RI. The current moorings are in the process of being condemned by the U.S. Navy due to progressive deterioration. The President's Budget also seeks funding for the construction, renovation, and improvement of Coast Guard military family housing.

Delivering Services Through Responsible Risk Management: Operating Expenses (OE)

In addition to reinvesting efficiencies, consolidation initiatives, and operational reductions to sustain recapitalization, the FY 2011 President's Budget supports the operation and maintenance of Coast Guard capability, including personnel pay and allowances, training and recruiting, operating funds for newly acquired assets delivered through Coast Guard recapitalization programs, and unit and depot level maintenance. It also includes a targeted deployable law enforcement capability enhancement to mitigate emergent terrorism and border security risks.

Efficiency and Consolidation Initiatives

The FY 2011 President's Budget also reinvests savings associated with targeted management and technology efficiencies and consolidation initiatives. The Coast Guard will continue to leverage available efficiencies to maximize service delivery and provide the nation with the highest possible return on investment. Proposed efficiency highlights include small boat logistics management improvements, contract insourcing, Headquarters management efficiencies, and the consolidation of intelligence fusion centers under a single operational command.

Targeted Operational Reductions

Proposed operational reductions in the FY 2011 President's Budget include the scheduled decommissioning of aging assets, the advance decommissioning of assets slated for near-term recapitalization, and deliberate, risk-based reductions to operational capacity. Reductions are limited

to areas where efficiencies can be achieved and/or risks can be partially mitigated through reinvestment, re-allocation of resources, or planned recapitalization.

For example, the President's Budget proposes decommissioning four HECs in FY 2011, 33% of the fleet. Although HECs provide critical long-range maritime patrol capability for DHS and the Nation, including primary interdiction capability in drug trafficking transit zones, high seas search and rescue and law enforcement, and defense operations in support of Overseas Contingency Operations (OCO) and theater security cooperation, these assets will eventually be replaced with NSCs. Specifically, two NSCs (25% of the planned fleet) will be partially operational in FY 2011, with two more operational by FY 2014. While decommissioning two HECs prior to arrival of replacement assets reduces near-term operational capacity and performance, the Coast Guard will address associated risks through the strategic re-allocation of remaining assets, and a proposed increase in Law Enforcement Detachment (LEDET) capacity. While service demands require the continued employment of these assets well beyond their useful service life, advancing the decommissioning of a limited number of HECs is a responsible trade-off between near-term operational risk and performance, and the critical need to ensure new assets (i.e., NSCs) are available to provide national maritime capability in the future.

The FY 2011 President's Budget also proposes decommissioning five of the Coast Guard's twelve (42%) Maritime Safety and Security Teams (MSSTs). Reducing MSST capacity is a risk-based decision to optimally allocate resources within current fiscal constraints. MSST operating and maintenance funds will be reinvested to allow continued recapitalization of the Coast Guard's multi-mission surface and aircraft fleets. The risk and performance impacts of this reduction will be partially mitigated through implementation of a regionalized MSST operational construct, with deployable resources apportioned to operational commanders to mitigate the highest risks in the Nation's ports.

Additionally, the President's Budget seeks to execute a risk-based realignment of existing rotary wing (i.e., helicopter) capacity to the Great Lakes region at a lower domestic cost basis to enable further investment in future capability through recapitalization. While this initiative decreases the Service's overall helicopter capacity through reductions in targeted areas (e.g., Operations Bahamas, Turks, and Caicos – OPBAT), it reallocates existing highly capable aircraft to a location where they will be more operationally effective in executing assigned missions. Further, this reallocation will allow the Coast Guard to achieve some savings through the closure of two seasonal Air Facilities as proposed in the President's Budget.

Targeted Capacity Enhancement: Deployable Law Enforcement Teams

The FY 2011 President's Budget seeks funding to mitigate emergent maritime security risks through an increase in deployable Law Enforcement Detachment (LEDET) team capacity. LEDETs perform critical Law Enforcement functions and primarily support the Drug Interdiction and Defense Readiness missions while embarked on naval assets. In FY 2009, the deployment of Coast Guard LEDETs aboard U.S. Navy and partner nation warships accounted for over 50% of total cocaine removals. The LEDET reinvestment assists in mitigating a portion of the overall loss of HEC capability specific to the Drug Interdiction mission, as well as the overall reduction in deployable force capacity associated with MSST decommissionings. However, leveraging the full benefit of increased LEDET capacity is dependent on the future availability of U. S. Navy and partner nation warship platforms.

Leveraging New Assets to Provide Enhanced Maritime Safety and Security Capability

The FY 2011 President's Budget seeks funding to operate newly acquired assets delivered through Coast Guard recapitalization programs. In general, replacement assets such as the NSC, MPA, FRC, and Response Boat-Medium (RB-M) provide vastly improved capability over the aging legacy assets they are replacing. Additionally, replacing assets such as HECs with new, more reliable capability (i.e., NSCs) helps reduce the risk of significant unplanned maintenance liabilities.

The increased range, endurance, surveillance, and command and control capability associated with these assets will improve the Coast Guard's ability to manage near-term operational risks as it leverages FY 2011 resources to recapitalize. In the long-term, timely replacement of aging legacy assets will enable the Coast Guard to provide increased overall performance to the Nation.

D. PERFORMANCE HIGHLIGHTS, RESOURCES, AND ALIGNMENT TO STRATEGIC GOALS

For each mission-program, the program performance goal, alignment to Secretary's Priorities, total dollars and FTE, and Government Performance and Results Act performance measure(s) are shown below. Additional measures are also displayed, as appropriate, to provide a more thorough context of expected performance results.

Program: Defense Readiness						
Performance Goal: Improve our national security and military strategies by ensuring assets are at the level of readiness required by the combatant commander.						
Secretary's Priority: Preventing Terrorism and Enhancing Security						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011*
\$ Thousands	\$511,076	\$691,435	\$594,412	\$935,119	\$864,261	\$646,470
FTE	2,076	4,038	3,618	3,505	4,390	3,517

* FY 2011 does not include Overseas Contingency Operations (OCO) funding.

Performance Plan Measures

Measure: Defense readiness assessment of all U.S. Coast Guard high endurance cutters, patrol boats, and port security units.						
Description of Measure: Through the Defense Readiness program, the Coast Guard provides National Defense capabilities and resources in support of the National Military Strategy including: Maritime Interception/Interdiction Operations; Port Operations Security and Defense; Combating Maritime Terrorism; Military Environmental Response Operations; Coastal Sea Control Operations; and Theater Security Cooperation when requested by the Department of Defense. Coast Guard Patrol Boats (PBs), High Endurance Cutters (HECs), and Ports Security Units (PSUs) participate in the Navy Status of Readiness and Training System assessment program and in combatant commander operations. This measure is the percent of time that all PBs, HECs, and PSUs are ready at a Status of Resources and Training Systems (SORTS) category 2 or better (a minimum state of readiness to support Combatant Commander plans). The performance targets are set to achieve SORTS 2 or better status for the number of PBs, HECs, and PSU needed to fulfill Geographic Combatant Commander (GCC) requirements.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	31.0%	38.6%
Actual:	None	None	None	None	N/A	N/A

Measure: Readiness assessment of all U.S. Coast Guard patrol boats.						
Description of Measure: Through the Defense Readiness program, the USCG is prepared to provide core competencies such as Maritime Interception/Interdiction Operations; Port Operations Security and Defense; Maritime Operational Threat Response Operations; Combating Maritime Terrorism; Rotary Wing Air Intercept Operations; Military Environmental Response Operations; Peacetime Engagement; Coastal Sea Control Operations; and Theater Security Cooperation when requested by the Department of Defense. Coast Guard Patrol Boats participate in the Navy Status of Readiness and Training System assessment program and in combatant commander operations. This measure is the percent of time that Patrol Boats are ready at a SORTS category 2 or better (a minimum state of readiness to support COCOM plans). The performance targets are set to achieve SORTS 2 or better status for the number of Patrol Boats needed to meet GCC requirements.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	39%	36%
Actual:	None	None	None	None	N/A	N/A

Measure: Readiness assessment of all U.S. Coast Guard port security units.						
Description of Measure: Through the Defense Readiness program, the U.S. Coast Guard is prepared to provide core competencies such as Maritime Interception/Interdiction Operations; Port Operations Security and Defense; Maritime Operational Threat Response Operations; Combating Maritime Terrorism; Rotary Wing Air Intercept Operations; Military Environmental Response Operations; Peacetime Engagement; Coastal Sea Control Operations; and Theater Security Cooperation when requested by the Department of Defense. Coast Guard Port Security Units (PSUs) participate in the Navy Status of Readiness and Training System assessment program and participate in combatant commander operations. This measure is the percent of time that PSUs are ready at a SORTS category 2 or better (a minimum state of readiness to support COCOM plans). The performance targets are set to achieve SORTS 2 or better status for the number of PSUs needed to fulfill GCC requirements.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	50%	50%
Actual:	None	None	None	None	N/A	N/A

Additional Measures

Measure: Readiness assessment of all U.S. Coast Guard High Endurance Cutters.						
Description of Measure: Through the Defense Readiness program, the U.S. Coast Guard is prepared to provide core competencies such as Maritime Interception/Interdiction Operations; Port Operations Security and Defense; Maritime Operational Threat Response Operations; Combating Maritime Terrorism; Rotary Wing Air Intercept Operations; Military Environmental Response Operations; Peacetime Engagement; Coastal Sea Control Operations; and Theater Security Cooperation when requested by the Department of Defense. Coast Guard High Endurance Cutters (HECs) participate in the Navy SORTS assessment program and in combatant commander operations. This measure is the percent of time that HECs are ready at a SORTS category 2 or better (a minimum state of readiness to support the Combatant Commander). The performance targets are set to achieve SORTS 2 or better status for the number of HECs needed to meet GCC requirements.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	30.7%	30.0%
Actual:	None	None	None	None	N/A	N/A

Measure: USCG Defense Program Efficiency.						
Description of Measure: "Units" are those incorporated into Combatant Commander plans, including HECs, PBs, and PSUs. "C2" is a readiness measure denoting the unit's ability to carry out assigned missions. This measure is the program's performance divided by the program's operating cost, expressed as "Percent SORTs Readiness per M".						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	.15%/ M or 2.5%/ M	.22%/ M or 2.5%/ M	.24%/ M or 2.5%/ M	.22%/ M or 2.55%/ M	2.36%/ M	2.31%/ M
Actual:	.12%/ M	.07% / M	.14% / M	1.46% / M	N/A	N/A

Program: Drug Interdiction						
Performance Goal: Reduce the flow of illegal drugs entering the United States via non - commercial maritime shipping sources.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$1,243,465	\$1,280,433	\$1,189,403	\$1,293,691	\$1,378,958	\$1,441,444
FTE	6,333	6,159	5,799	5,967	6,101	6,119

Performance Plan Measures

Measure: Removal rate for cocaine from non - commercial vessels in maritime transit zone.						
Description of Measure: Percent of Cocaine removed (seized by the U.S. Coast Guard, and jettisoned, scuttled, or destroyed as a result of U.S. Coast Guard law enforcement action) in relationship to the Non - Commercial Maritime Movement of cocaine.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	N/A	15.7%	18.5%	15.5%
Actual:	None	None	New Measure	15.0%	N/A	N/A

Additional Measures

Measure: Cocaine Removal Rate / Operating Expenses of the Drug Interdiction Program.						
Description of Measure: "Removal Rate" is the percentage of cocaine shipped through maritime routes that was intended to enter the U.S., but did not because of the efforts of the U.S. Coast Guard. The Cocaine Removal Rate reflects the amount of cocaine lost to the smuggler through seizures (documented in the DEA administered Federal - wide Drug Seizure System), jettison, burning, and other non - recoverable events (vetted through the Inter Agency Consolidated Counter - Drug Database) divided by the non - commercial maritime cocaine flow through the transit zone (documented in Defense Intelligence Agency's annual Interagency Assessment of Cocaine Movement report). Operating expenses of the Drug Interdiction Program are the actual OE expenditures, as calculated through the Coast Guard's Mission Cost Model, of the Drug Interdiction program. This measure shows the rate of cocaine removed per 100 million dollars of program operating expenditures.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	3.2% Removal Rate per 100 Million of program Operational Expenditures	3.6% Removal Rate per 100 Million of program Operational Expenditures	3.7% Removal Rate per 100 Million of program Operational Expenditures	3.2% Removal Rate per 100 Million of program Operational Expenditures	2.4% Removal Rate per 100 Million of program Operational Expenditures	2.1% Removal Rate per 100 Million of program Operational Expenditures
Actual:	None	2.4%	4.4%	2.6%	N/A	N/A

Measure: Metric Tons of Cocaine Removed.						
Description of Measure: Metric tons of cocaine seized by the Coast Guard and cocaine jettisoned, scuttled, or destroyed by smugglers as a result of Coast Guard law enforcement action.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	130	130	134	180	159.7
Actual:	None	161.4	166.9	160.1	N/A	N/A

Measure: Percent Non - Commercial Maritime Conveyance.						
Description of Measure: The percent of world cocaine flow toward the U.S. by Non - Commercial Maritime conveyance. As noted by the Office of National Drug Control Policy's 2007 strategy, four consecutive record setting years of illicit drug seizures in the transit zone have forced narcotics traffickers to adjust from well established routes and methods to those they believe will be less susceptible to interdiction. Therefore, a downward trend in this measure would reflect success of enforcement efforts within the areas the Coast Guard influences in the transit zone.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	88%	87%	86%	85%	88%
Actual:	None	None	86.2%	87.2%	N/A	N/A

Program: Living Marine Resources						
Performance Goal: Achieve sustained fisheries regulation compliance on our Nations Oceans.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$765,756	\$972,050	\$921,504	\$950,888	\$1,040,771	\$1,073,618
FTE	4,208	4,849	4,252	4,461	4,554	4,540

Performance Plan Measures

Measure: Percent of commercial fishing vessel boardings at sea in which no significant violations of domestic fisheries regulations are detected						
Description of Measure: This measure reflects the percent of boardings at sea by the U.S. Coast Guard during which no significant violations of domestic fisheries regulations are detected. The Living Marine Resources (LMR) program's mission is to provide at-sea enforcement that advance national goals for the conservation and management of LMR and their environments through enforcement of federal regulations that provide stewardship of living marine resources and their environments. The U.S. Coast Guard is the lead federal agency for "at-sea" enforcement of U.S. fisheries and marine protected species regulations. The LMR program's primary focus is to compel compliance with federal fisheries and other LMR regulations on domestic fishing vessels.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	97%	97%	97%	97%	97%	96%
Actual:	96.6%	96.2%	95.3%	96.7%	N/A	N/A

Additional Measures

Measure: LMR Compliance Rate/Operating Expenses of the LMR Program.						
Description of Measure: This measure shows the percentage of U.S. Coast Guard - boarded domestic fishing vessels without significant Federal regulation violations per 10 million of program operating expenses as calculated by the Coast Guard's Mission Cost Model. "Compliance Rate" is the percent of fishermen complying with federal regulations. Operating expenses of the LMR Program are the actual OE expenditures, as calculated through the Coast Guard's Mission Cost model, of the LMR program.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	2.1% Compliance Rate per 10 million dollars of program operational expenditures	2.1% Compliance Rate per 10 million dollars of program operational expenditures	2.1% Compliance Rate per 10 million dollars of program operational expenditures	2.0% Compliance Rate per 10 million dollars of program operational expenditures	1.6% Compliance Rate per 10 million dollars of program operational expenditures	1.6% Compliance Rate per 10 million dollars of program operational expenditures
Actual:	2.1 %	1.04%	1.64%	2.4%	N/A	N/A

Program: Marine Environmental Protection (MEP)						
Performance Goal: Reduce oil spills and chemical discharge incidents and mitigate impacts when they occur.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$336,562	\$298,329	\$290,311	\$323,489	\$322,417	\$320,614
FTE	1,356	1,222	1,118	1,142	1,143	1,159

Performance Plan Measures

Measure: Five-year average number of chemical discharge incidents per 100 million short tons shipped.						
Description of Measure: This measure is a lagging indicator of U.S. Coast Guard Marine Environmental Protection Program impact on the long-term trend of chemical discharge incidents. It is a simple moving average of U.S. Coast Guard investigated chemical discharge incidents into navigable waters of the United States for the current and four previous fiscal years, divided by the five-year average annual foreign and domestic short tons (100 million) of Chemical and Chemical Products shipped in U.S. waters.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	<=26.6	<=25.9	<=22.8	<=22.0
Actual:	None	None	19.7	17.8	N/A	N/A

Measure: Five-year average number of oil spills per 100 million short tons shipped.						
Description of Measure: This measure is a lagging indicator of U.S. Coast Guard Marine Environmental Protection Program impact on the long-term trend of significant oil spills. It is a simple moving average of U.S. Coast Guard investigated oil spills greater than 100 gallons discharged into navigable waters of the United States for the current and four previous fiscal years, divided by the five-year average annual foreign and domestic short tons (100 million) of Oil and Oil Products shipped in U.S. waters.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	<=13.5	<=13.0	<=12.1	<=11.6
Actual:	None	None	12.7	11.8	N/A	N/A

Additional Measures

Measure: Marine environmental protection long-term efficiency ratio.						
Description of Measure: This measure is the ratio of performance changes to cost changes. A value greater than 1.000 indicates performance efficiency –that is performance gains more favorable than cost changes. A value of 1.050, for example, would indicate a performance gain of about 5.0% more favorable than cost changes.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	0.97	1.00	1.00	1.00
Actual:	None	None	1.083	1.17	N/A	N/A

Program: Marine Safety						
Performance Goal: Reduce maritime fatalities and injuries on our Nation's oceans and waterways.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$785,914	\$755,280	\$850,199	\$878,045	\$885,770	\$881,190
FTE	4,012	4,109	4,089	4,401	4,675	4,738

Performance Plan Measures

Measure: Five-year average number of commercial mariner deaths and injuries.						
Description of Measure: This is a measure of the long-term performance trend of the Coast Guard Marine Safety Program impact on commercial mariner fatalities and injuries.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	<=501	<=529	<=520	<=482
Actual:	None	None	479	475	N/A	N/A

Measure: Five-year average number of commercial passenger deaths and injuries.						
Description of Measure: This is a measure of the long-term performance trend of the Coast Guard Marine Safety Program impact on commercial passenger fatalities and injuries.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	<=225	<=251	<=248	<=223
Actual:	None	None	244	228	N/A	N/A

Measure: Five-year average number of recreational boating deaths and injuries.						
Description of Measure: This is a measure of the long - term performance trend of the U.S. Coast Guard Marine Safety Program impact on Recreational Boating fatalities and injuries.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	4,252	<=4,252	<=4,248	<=4,184	<=4,115
Actual:	None	None	4,070	4,038	N/A	N/A

Additional Measures

Measure: Marine Safety Efficiency Ratio.						
Description of Measure: This efficiency measure is an indicator of the relative change in long - term Marine Safety Program performance versus the relative change in long-term average cost. It is the prior period to current period ratio of the five-year average annual number of Mariner, passenger, and boating deaths and injuries divided by the current period to prior period ratio of 5 year operating expense (OE) for the program. A value greater than 1.000 less the average rate of inflation indicates performance efficiency performance gains greater than real cost changes.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	0.98	1.06	1.00	1.00	1.00	1.00
Actual:	.83	1.03	1.118	1.057	N/A	N/A

Measure: Recreational Boating Deaths and Injuries.						
Description of Measure: This measure is an indicator of Coast Guard Marine Safety Program impact on the annual number of recreational boating fatalities and injuries. There is no denominator.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	4,076	4,184	4,184	4008
Actual:	None	None	3,658	3,534	N/A	N/A

Program: Migrant Interdiction						
Performance Goal: Eliminate the flow of undocumented migrants via maritime routes to the United States.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$503,870	\$873,692	\$625,086	\$763,621	\$857,904	\$868,880
FTE	2,467	4,392	3,410	3,388	3,498	3,591

Performance Plan Measures

Measure: Percent of undocumented migrants who attempt to enter the U.S. via maritime routes that are interdicted						
Description of Measure: The U.S. Coast Guard has been charged through Executive Orders and Presidential Decision Directive to enforce the Immigration and Nationality Act. Performance is measured by the percent of undocumented migrants of all nationalities who are interdicted while attempting to enter the U.S., its possessions, or territories via maritime routes. The measure is computed by dividing the number of successful landings by the number of migrants who attempt illegal immigration. Subtracting this percentage from 100% gives the migrant interdiction rate. Migrant interdictions and landings are reported by U.S. Coast Guard units and other law enforcement agencies.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	67%	65%	69.9%	74%	73.9%
Actual:	None	65.2%	62.7%	84.4%	N/A	N/A

Additional Measures

Measure: Migrant Interdiction Rate / Operating Expenses of Migrant Interdiction Program.						
Description of Measure: This measure shows the percentage of all nationalities of undocumented migrants interdicted by Federal entities while attempting to enter the U.S. via maritime routes per 10 million of program operating expenses as calculated by the Coast Guard's Mission Cost Model. Migrant interdictions and landings are reported by USCG units and other law enforcement agencies.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	3.3%	2.4%	2.2%	2.3%	1.48%	1.49%
	Deterrence Interdiction Rate per 10 million in Program Operating Expenses	Interdiction Rate per 10 million in Program Operating Expenses	Interdiction Rate per 10 million in Program Operating Expenses	Interdiction Rate per 10 million in Program Operating Expenses	Interdiction Rate per 10 million in Program Operating Expenses	Interdiction Rate per 10 million in Program Operating Expenses
Actual:	2.5%	1.80%	1.70%	2.90 %	N/A	N/A

Program: Other LE (law enforcement)						
Performance Goal: Reduce the number of illegal vessel incursions into the U.S. Exclusive Economic Zone.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$107,742	\$160,423	\$136,907	\$152,992	\$171,969	\$184,528
FTE	703	758	579	639	654	635

Performance Plan Measures

Measure: Number of incursions into the U.S. Exclusive Economic Zone.						
Description of Measure: This program's mission is to provide effective and professional at-sea enforcement to advance national goals for the conservation and management of living marine resources (LMR) and their environments. The program's primary focus is to prevent illegal encroachment of the U.S. Exclusive Economic Zone by foreign fishing vessels thereby protecting U.S. sovereignty from foreign fishing encroachment. The program has both a maritime security and stewardship nexus.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	199	199	< 195	< 195	< 190	< 185
Actual:	164	119	81	112	N/A	N/A

Additional Measures

Measure: Interdiction rate for foreign fishing vessels detected violating the U.S. Exclusive Economic Zone.						
Description of Measure: This measure is the percentage of detected illegal foreign fishing vessel incursions into the U.S. Exclusive Economic Zone that are interdicted by the U.S. This measure shows the U.S. Coast Guard's pursuit of enforcement activities (i.e. vessel seizure or demarche) vice simply detecting incursions. As this rate increases, a deterrent effect is expected, along with a reduction in the total number of vessel incursions.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	12%	9%	9%	9%	15%	15%
Actual:	None	19.2%	16%	14.3%	N/A	N/A

Measure: Interdiction Rate/Operating Expenses of the Other LE Program.						
Description of Measure: This measure shows the rate of Coast Guard - interdicted illegal foreign fishing vessels per 10 million of program operating expenses as calculated by the Coast Guard's Mission Cost Model. "Interdiction rate" is the percentage of time a completed interdiction process results in a successful endgame. A successful endgame includes seizure and/or prosecution, or sufficient documentation of an incursion to allow the vessel's flag state to take action. Operating expenses of the LMR Program are the actual OE expenditures, as calculated through the Coast Guard's Mission Cost model, of the Other LE program.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	0.9%	1.1%	1.2%	1.2%	1.8%	1.3%
	Interdiction Rate per 10 million in Program Operating Expenses	Interdiction Rate per 10 million in Program Operating Expenses	Interdiction Rate per 10 million in Program Operating Expenses	Interdiction Rate per 10 million in Program Operating Expenses	Interdiction Rate per 10 million in Program Operating Expenses	Interdiction Rate per 10 million in Program Operating Expenses
Actual:	1.3%	0.55%	1.9%	2.3%	N/A	N/A

Program: Ports, Waterways and Coastal Security (PWCS)						
Performance Goal: Manage terror-related risk in the U.S. Maritime Domain to an acceptable level.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$1,609,780	\$1,362,220	\$2,037,437	\$1,902,490	\$2,074,464	\$1,967,958
FTE	12,906	7,710	11,391	11,254	11,370	11,215

Performance Plan Measures

Measure: Annual Transportation Worker Identification Credential compliance rate						
Description of Measure: This measure reports the percent of Maritime Transportation Security Act (MTSA) regulated facilities that are found in compliance with the Transportation Worker Identification Card (TWIC) regulations during Coast Guard inspections. The Security and Accountability for Every (SAFE) Port Act of 2006 requires the Coast Guard to conduct at least two MTSA security inspections on regulated facilities each year; one announced and one unannounced.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	N/A	80%	85%
Actual:	None	None	None	N/A	N/A	N/A

Measure: Percent reduction in all maritime security risk over which the U.S. Coast Guard has influence.						
Description of Measure: This is a risk-based outcome measure that begins with an assessment (by maritime security representatives) of fifteen likely high-consequence maritime terrorist attack scenarios. Threat, vulnerability, and consequence levels are estimated for each of the fifteen scenarios, which generates a proxy (index) value of “raw risk” that exists in the maritime domain. Next, U.S. Coast Guard interventions (security and response operations, regime and awareness activities) for the fiscal year are scored against the scenarios with regard to the decreases in threat, vulnerability and consequence that each has been estimated to have afforded. (The analysis then focuses on those areas within the U.S. Coast Guard’s roles and strategic mandates.) The resulting measure is a proxy measure of performance.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	14%	15%	15%	21%	>19%	>19%
Actual:	17%	15%	20%	31%	N/A	N/A

Measure: Percent reduction of maritime terrorism risk resulting from U.S. Coast Guard efforts to prevent a terrorist entering the U.S. via maritime means						
Description of Measure: This measure is an estimate of the percent of terrorist-related maritime risk reduction of the illegal entry of a terrorist(s) through the maritime domain (as a percent of the risk that the U.S. Coast Guard has the ability to impact). This is one of the fifteen likely high-consequence maritime terrorist attack scenarios used to calculate overall risk reduction measure. This is a risk-based measure that involves the scoring (by maritime security subject matter experts) with respect to threat, vulnerability and consequence of the illegal entry of a terrorist(s) into the United States with intent and capability to carry out terror attacks within the United States where vessels en route from foreign countries are used as a means of conveyance. Such scoring generates an index of “raw risk” that exists in the maritime domain. Next, U.S. Coast Guard incremental interventions (awareness, operational and regulatory-based) that have taken place throughout the fiscal year are scored with regard to the effectiveness that each has been estimated to have afforded.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	21%	21%	29%	27.9%
Actual:	None	21%	29%	42%	N/A	N/A

Measure: Percent reduction of maritime security risk resulting from U.S. Coast Guard efforts to prevent a weapon of mass destruction entering the U.S. via maritime means						
Description of Measure: This measure is an estimate of the percent of terrorist-related maritime risk reduction of the illegal entry of a Weapon of Mass Destruction (WMD)/materials into the United States through the maritime domain (as a percent of the risk that the U.S. Coast Guard has the ability to impact). This is one of the fifteen likely high-consequence maritime terrorist attack scenarios used to calculate overall risk reduction. This is a risk-based measure that involves the scoring (by maritime security subject matter experts) with respect to threat, vulnerability and consequence of the illegal entry of a WMD/materials into the United States to support ongoing terrorist operations where vessels en route from foreign countries are used as a means of conveyance. Scoring generates an index of “raw risk” that exists in the maritime domain. U.S. Coast Guard incremental interventions (awareness, operational and regulatory-based) that have taken place throughout the fiscal year are scored with regard to the effectiveness that each has been estimated to have afforded.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	4%	3%	12%	11.8%
Actual:	None	4%	12%	17%	N/A	N/A

Measure: Risk reduction due to consequence management.						
Description of Measure: This measure indicates the estimated percent of terrorist-related maritime risk reduction due to consequence management (as a percent of the risk that the U.S. Coast Guard (USCG) has the ability to impact.) This is a risk-based outcome measure involving the scoring (by maritime security representatives) of likely high-consequence maritime terrorist attack scenarios with respect to threat, vulnerability, and consequence. Scoring generates an index of "raw risk" existing in the maritime domain. USCG incremental interventions (both operational and regulatory-based) that have occurred throughout the fiscal year are scored against the attack scenarios with regard to the percent decrease in threat, vulnerability and consequence each has been estimated to have afforded. The resultant measure shows the change in "raw risk" (due, in large part, to things outside of the USCG's ability to control) and the reduction in total risk the USCG estimates that it has affected.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	4.2%	4.1%	6%	6%	4%	>3%
Actual:	6%	4.2%	5%	9%	N/A	N/A

Additional Measures

Measure: MTSA Annual Required Inspection Rate.						
Description of Measure: This performance measure quantifies the Coast Guard's completion rate of required security plan compliance inspections as prescribed by the Maritime Transportation Security Act of 2002 and the Security and Accountability For Every (SAFE) Port Act of 2006.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	100%	100%	100%	100%	100%	100%
Actual:	100%	100%	100%	100%	N/A	N/A

Measure: USCG PWCS Program Efficiency (Outcome Performance/Program Cost).						
Description of Measure: This measure is the program's annual percent risk reduction outcome performance divided by the program's annual cost. Efficiency is expressed as the annual percent risk reduction per billion. (This measure was baselined in FY 2005)						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	11.2% risk reduction per B	12.1% risk reduction per B	13.0% risk reduction per B	15.9% risk reduction per B	10.6% risk reduction per B	11.1% risk reduction per B
Actual:	14.2%	6.6%	14.9%	28.7%	N/A	N/A

Program: Search and Rescue (SAR)						
Performance Goal: Save people in imminent danger on our Nations oceans and waterways.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$831,948	\$928,782	\$1,145,565	\$1,190,659	\$1,148,632	\$1,097,735
FTE	4,652	5,004	5,228	5,610	5,630	5,644

Performance Plan Measures

Measure: Percent of people in imminent danger saved in the maritime environment.						
Description of Measure: This is a measure of the percent of people who were in imminent danger on the oceans and other waterways and whose lives were saved by the Coast Guard. The number of lives lost before and after the Coast Guard is notified and the number of persons missing at the conclusion of search operations is factored into this percentage. Several factors compound the difficulty of successful response including untimely notification to the Coast Guard of distress, incorrect reporting of the distress site location, severe weather conditions at the distress site, and distance to the scene. The percent of lives saved is the best outcome measure for search and rescue because it includes lives lost before and after the Coast Guard is notified and persons missing, thereby encouraging the investment in supporting awareness or communication systems and safe boater programs that increase the possibility a search and rescue mission will end with lives saved.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	76%	76%	76%	77%
Actual:	None	None	76.8%	77.3%	N/A	N/A

Measure: Percent of Search and Rescue assets on scene within two hours						
Description of Measure: Time on scene is measured from the time the Coast Guard is notified until the time at which a rescue unit arrives on scene. The standard to be met is 2 hours. This includes 30 minutes of preparation time that provides for underway preparations such as engine warm-ups, completion of underway checklist, risk management checks, and mission planning and another 90 minutes from underway to on scene based on moderate environmental conditions which allow for operation of the rescue unit at their top cruise speeds. The measure is calculated by dividing the number of times any one response unit on a SAR sortie arrives on scene within 2 hours of notification by the number of times any one response unit on a SAR sortie arrives on scene within 2 hours of notification plus the number of times any one response unit on a SAR sortie arrives on scene more than 2 hours after notification.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	85%	85%
Actual:	None	None	None	None	N/A	N/A

Additional Measures

Measure: % Lives Saved/Operating Expenses of the SAR Program.						
Description of Measure: This measure shows the percent of lives saved divided by the operating expenses of the SAR Program. Targets are based on outcome measure targets divided by projected OE funding per the Fiscal Year 2009 - 2014 RAP.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	.13%	.09%	.12%	.14%	.16%	.10% lives saved / 1 million
Actual:	.13%	.09%	.12%	.14%	N/A	N/A

Measure: Percent of property in danger of loss saved.						
Description of Measure: This is a measure of the percent of property in imminent danger on the oceans and other waterways and saved by the U.S. Coast Guard through the coordinated national SAR system. The amount of property lost and missing at the conclusion of SAR operations is factored into this percentage. Several factors compound the difficulty of successful response including untimely notification, incorrect position, and conditions at the distress location. To calculate the result we use the following equation: $PS / (PS+PL+PUF)$ where: PS = "property saved", PL = "property lost" and PUF = "property unaccounted for" as defined and input into the Marine Information for Safety and Law Enforcement (MISLE) database.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	Baselining	70%	70%
Actual:	None	None	None	66%	N/A	N/A

Program: Waterways Management: Aids to Navigation						
Performance Goal: Minimize disruptions to the movement of goods and people, while maximizing recreational enjoyment and environmentally sound use of our navigable waters.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$1,155,535	\$1,321,449	\$1,445,041	\$1,522,654	\$1,415,056	\$1,430,217
FTE	7,526	8,549	7,809	8,112	7,919	7,860

Performance Plan Measures

Measure: Federal Short - Range Aids to Navigation Availability.						
Description of Measure: This measure indicates the hours that short range Aids to Navigation are available. The aid availability rate is based on an international measurement standard established by the International Association of Marine Aids to Navigation and Lighthouse Authorities (IALA) (Recommendation O 130) in December 2004. A short range Aid to Navigation is counted as not being available from the initial time a discrepancy is reported until the time the discrepancy is corrected. Aids to Navigation prevent adverse navigation outcomes that can cause disruptions to maritime commerce.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	97.5	97.5%	97.5%	97.5%	97.5%
Actual:	None	None	98.3%	98.0%	N/A	N/A

Measure: Five-year average number of Collisions, Allisions, and Groundings (CAG).						
Description of Measure: This measure evaluates the long-term trend of the Coast Guard Waterways Management Program in preventing collisions, allisions (vessels striking fixed objects), and groundings. Those three adverse outcomes involving the navigation of commercial vessels can result in disruptions to maritime commerce. In general, collisions tend to be more sensitive to the Marine Transportation Systems component of the Program, allisions to the Bridge Administration component, and groundings to the Navigation Systems component.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	1,748	1,664	<=1,756	<=1,871	<=1,858	<=1,911
Actual:	1,765	1,823	1,857	1,878	N/A	N/A

Additional Measures

Measure: Waterways Management Long-term Efficiency Ratio.						
Description of Measure: This measure is the ratio of performance changes to cost changes. A value greater than 1.000 indicates performance efficiency gains greater than cost changes. A value of 1.050, for example, would indicate a performance gain about 5.0% more favorable than cost changes. The relative change in long-term Waterways Management Program performance versus relative change in long-term cost.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	1.00	1.00	1.00	1.00
Actual:	None	None	.957	1.01	N/A	N/A

Program: Waterways Management: Ice Operations						
Performance Goal: Limit disruption of maritime commerce due to ice.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	*FY 2010	FY 2011
\$ Thousands	\$110,960	\$132,157	\$152,082	\$181,422	\$258,264	\$165,663
FTE	906	854	1,034	924	1,180	926

*Includes \$54M transfer from NSF (OE) and \$32.5M POLAR STAR reactivation (AC&I).

Performance Plan Measures

Measure: Number of days critical waterways are closed due to ice.						
Description of Measure: This measure is an indicator of Coast Guard Icebreaking impact on preventing disruptions to maritime commerce due to ice. The measure tallies the annual number of days critical Great Lakes waterways are closed with the St. Mary's River as the reference point. A closure is a period of 24 or more hours during which a waterway is closed by a Vessel Traffic Service or Captain of the Port, or blocked by a beset vessel. Closure day targets are negotiated with Great Lakes Marine Transportation System stakeholders, and are relative to winter severity. Those standards are 2 days in an average winter, and 8 days in a severe winter.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	2(avg), 8 (severe)					
Actual:	0 closures	0 closures	0 closures	0 closures	N/A	N/A

E. HIGH PRIORITY PERFORMANCE GOALS

Non Applicable for U.S. Coast Guard

**Department of Homeland Security
United States Secret Service**



Fiscal Year 2011
Overview
Congressional Justification

i. Summary of FY 2011 Budget Estimates by Appropriation

**Department of Homeland Security
United States Secret Service**
Summary of FY 2011 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)

Appropriation	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses	6,574	\$1,450,665	7,055	\$1,478,669	7,014	\$1,555,042	(41)	\$76,373	(43)	\$33,200	2	\$43,173
Acquisition, Construction, Improvements, and Related Expenses		6,257		3,975		3,975						
Mandatory		237,027		220,000		240,000		20,000				20,000
Subtotal, Enacted Appropriations and Budget Estimates	6,574	\$1,693,949	7,055	\$1,702,644	7,014	\$1,799,017	(41)	\$96,373	(43)	\$33,200	2	\$63,173
Less: Adjustments for Other Funding Sources:		\$56,505										
Net, Enacted Appropriations and Budget Estimates	6,574	\$1,750,454	7,055	\$1,702,644	7,014	\$1,799,017	(41)	\$96,373	(43)	\$33,200	2	\$63,173

ii: Homeland and Non-Homeland Allocation

Department of Homeland Security
United States Secret Service
 Homeland and Non-Homeland Allocation by Appropriation
 (Dollars in Thousands)

Budget Activity	2009 Actual						2010 Enacted							
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	6,098	\$1,369,091	476	\$81,574	6,574	\$1,450,665	6,526	\$1,379,172	529	\$99,497	7,055	\$1,478,669	6,491	\$1,454,894
Acquisition, Construction, Improvements, and Related Expenses (Rowley Training Center)		4,693		1,564		6,257		3,751		224		3,975		3,751
Mandatory				237,027		237,027				220,000		220,000		
Total Direct Appropriations and Budget Estimates	6,098	\$1,373,784	476	\$320,165	6,574	\$1,693,949	6,526	\$1,382,923	529	\$319,721	7,055	\$1,702,644	6,491	\$1,458,645

iii. Status of Congressionally Requested Studies, Reports, and Evaluation

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2010	Immediately	H.Rept. 111-157 (p. 89)	“The Committee directs the Secret Service to be more forthcoming about its hiring plans in future annual budget briefs. In addition, the Committee directs the Secret Service to provide an immediate briefing on its hiring plans for 2009 and 2010, including its schedule for filling any vacancies created by attrition or retirement, its schedule for hiring and annualizing new personnel funded in the 2009 Omnibus Appropriations Act, and its planned hiring to fill positions proposed in the 2010 budget.”	The HAC briefing was held on 12/16/09. The SAC briefing was held 12/17/09.
2010	Within 30 days of enactment	H.Rept. 111-298 (p. 92)	“...the conferees direct the Department of Homeland Security Chief Financial Officer and the United States Secret Service Assistant Director for Administration to brief the Committees not later than 30 days after the date of enactment of this Act on the process that will be implemented in fiscal year 2010 to ensure such problems do not reoccur.”	This briefing was held on 11/30/09.
2010	Semi-annually	H.Rept. 111-298 (p. 93) S.Rept. 111-31 (p. 84)	“...the Secret Service and DHS CIO are to provide semi-annual briefings to the Committees on progress in upgrading IT systems and programs, as proposed by the Senate.” “The Committee...directs the Secret Service and the DHS Chief Information Officer to provide semiannual briefings on progress in	In process.

			upgrading these IT systems and programs.”	
2010	Not specified	H.Rept. 111-157 (p. 93)	“The Secret Service is to work with the DHS CIO to develop a transition plan to integrate the agency’s data center consolidation efforts, as proposed by the House...”	In process.
		H.Rept. 111-157 (p. 90)	“...the Committee directs the Secret Service to work with the Office of the Chief Information Officer for the Department of Homeland Security to develop immediately a transition plan to integrate the agency’s network systems and data into the Department’s data center consolidation effort after the risk assessment and mitigation work discussed elsewhere in this report is complete.”	

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
United States Secret Service**

Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity

(Dollars in Thousands)

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2011 Request
	Fiscal Year	Amount	Amount	Amount
Salaries and Expenses	N/A	N/A	N/A	\$ 1,555,042
-Protection of persons and facilities	N/A	N/A	N/A	792,042
-National special security events	N/A	N/A	N/A	1,000
-Presidential candidate nominee protection	N/A	N/A	N/A	17,867
-Protective intelligence activities	N/A	N/A	N/A	68,914
-White House mail screening	N/A	N/A	N/A	25,315
-Headquarters, management and administration	N/A	N/A	N/A	240,576
-Rowley training center	N/A	N/A	N/A	55,221
-Domestic field operations	N/A	N/A	N/A	257,412
-International field office administration, operations and training	N/A	N/A	N/A	31,171
-Electronic crimes special agent program and electronic crimes task forces	N/A	N/A	N/A	57,158
-Support for missing and exploited children	N/A	N/A	N/A	8,366
Acquisition, Construction, Improvements, and Related Expenses (James J. Rowley Training Center)	N/A	N/A	N/A	\$ 3,975
Total Direct Authorization/Appropriation		-	-	\$ 1,559,017

The Secret Service is established in 18 U.S.C. 3056 and 18 U.S.C. 3056A. 18 U.S.C. 1029 and 1030 specifically authorized the Service to investigate offenses under those sections.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Salaries & Expenses

I. Appropriation Overview

A – Mission Statement for Salaries & Expenses

The United States Secret Service performs two critical homeland security missions: protection and criminal investigations. U.S. Secret Service protects the President and Vice President, their families, visiting heads-of-state/government, and other designated individuals, such as the Secretary of Homeland Security; investigates threats against these protectees; protects the White House, Vice President's Residence, Foreign Missions and other designated buildings within the Washington, D.C. area; and designs, coordinates, and implements operational security plans for designated National Special Security Events (NSSEs). The U.S. Secret Service investigates violations of laws relating to counterfeiting of obligations and securities of the United States; financial crimes such as access device fraud, financial institution fraud, identity theft, and computer fraud; computer-based attacks on our nation's financial, banking, and telecommunications infrastructure; and provides critical forensic support for associated investigations of cases involving missing and exploited children.

B – Budget Activities:

Protection

In FY 2009, 189 heads of state/government and 60 spouses attended the 64th United Nations General Assembly in New York, in addition to domestic protectees. The Secret Service continues to constantly adapt security plans to meet the protective needs for the ever-changing number of protectees and to mitigate emerging threats.

Protection of Persons and Facilities - The primary purpose of the Secret Service's domestic protection activity is to protect our nation's leaders. To accomplish this, this program operates to ensure protectees' personal safety, and to protect the buildings and grounds where these individuals reside and work (e.g., the White House Complex and the Vice President's residence). Since the September 11, 2001 attacks, there has been a significant increase in the number of protectees receiving varying levels of protection from the Secret Service. Currently, the Service provides protection to 34 protectees: 24 permanent protectees are authorized under 18 USC § 3056; ten provisional protectees are authorized pursuant to Presidential Memoranda. Included in the totals above is the protection of the Secretary of the Department of Homeland Security (DHS). The Secretary of the Treasury is also receiving protection, on a reimbursable basis. The Service estimates that 7,808,320 basic pay hours of protection for persons and facilities will be worked during FY 2011.

Part of the protection of persons and facilities program is the protection of foreign heads-of-state/government visiting the United States. Foreign dignitary protection includes: 1) protection for visiting heads-of-state/government and their spouses, as well as other distinguished visitors to the U.S. as directed by the President; and 2) external security for foreign diplomatic embassies and missions in the Washington, DC area (and other limited areas consistent with statute). The Secret Service provides protection to these individuals and foreign missions by strategically placing human and physical assets (agents, tactical support, technical security, explosives detection and weapons-of-mass destruction detection and countermeasures) at these foreign missions and using these assets during foreign dignitary visits to the United States. All efforts are directed toward ensuring that foreign dignitaries and foreign missions receive the optimal level of protection.

The foreign dignitaries who visit the U.S. often are high-profile individuals and deemed to have medium to high threat levels. Today's environment necessitates the implementation of complex security operations that involve multiple jurisdictions and functions.

The Service has the sole statutory authority to provide a dedicated police presence and response to foreign embassies, chanceries and residences. When a "surge" in protective responsibilities in this area occurs, the Secret Service turns to other entities (i.e., Metropolitan Police Department) for assistance in dealing with such issues as demonstration control. Currently, the Secret Service protects 537 foreign missions located in the Washington, DC area.

Protective Intelligence Activities - The Service's protective intelligence program is responsible for overseeing the investigation and evaluation of all protective intelligence subjects and for the receipt, analysis, and dissemination of all protective intelligence information. This mission is accomplished by the review, coordination, control and referral of information about individuals, groups and activities that pose a potential threat to persons and property protected by the Secret Service.

National Special Security Events (NSSEs) - By statute and Presidential Decision Directive-62 (PDD-62), the Secret Service is designated as the lead agency for designing, coordinating, and implementing operational security plans for NSSEs. As with campaign events, special agents coordinate with the military and federal, state, county, local, and international law enforcement organizations to ensure the success of security operations for NSSEs.

The Secret Service plans and implements security designs for designated NSSEs to ensure the physical protection of the President, the public and other Secret Service protectees who participate in NSSEs.

The events of September 11th, 2001 demonstrated that our adversaries are capable of attacking our nation on a grand scale and employing extensive research and surveillance methodologies, acquiring substantial skills and instruction, and striking their targets without warning.

Presidential Candidate/Nominee Protection – The Secret Service provides protection to major presidential and vice presidential candidates. It also provides protection to their spouses within 120 days of a general presidential election. Protective details are activated only after established criteria are considered. Campaign protection is a mandatory workload increase, and funding is needed for these presidential campaigns three out of every four fiscal years. The Service has no base budget funding for this activity. All campaign funding that is added to the Service’s base budget is non-recurred following a presidential campaign and inauguration.

White House Mail Screening - The Secret Service screens White House mail to ensure it is free of harmful toxins or other dangerous materials. Due to the discovery of anthrax in letters mailed to political leaders and members of the press, the Secret Service initiated a program to provide additional screening for mail destined for the White House Complex. This program is indicative of the close partnership the Service maintains with the White House regarding the implementation of security measures. Mail is now being delivered to a facility where it is undergoing a series of tests and is analyzed to ascertain if any chemical, biological, radiological contamination, or explosive material is present. At times, additional shifts are required to screen significant increases in mail volume.

Headquarters, Management and Administration: The Headquarters, Management and Administration program develops and administers Secret Service-wide policies, plans, and procedures in budget, finance, accounting, financial systems, statements, and relocation and travel services. It exercises accountability over the collection and disposition of the Secret Service's financial resources and examines and processes documents for payment of contracts, purchase orders, invoices and recurring expenses, including reservations and payments for travel and relocation services. Administration also provides management and program analysis support to all operational and administrative programs involving studies of organizational structuring, workflow efficiencies, and staffing allocations. It maintains organization charts and functional responsibility statements for all Secret Service offices. In addition, it establishes, develops, implements, and manages the strategic planning process for the Secret Service and coordinates Secret Service participation in all DHS and government-wide management improvement and evaluation programs. These tasks serve to assist the Service’s leadership in formulating the vision and direction of the Secret Service.

This program also purchases goods via procurement services within the scope of the law and provides value-added procurement solutions to ensure that government assets and resources are managed wisely.

The program promotes fairness, consistency, and efficiency in the utilization of staffing, scheduling, and travel logistics through the Service’s Logistics Resource Center. It analyzes staffing needs and travel logistics alternatives to provide for more informed decision-making by balancing cost considerations with operational needs.

The Administrative Operations Division (AOD) plans, develops, and administers policies and procedures, and performs related activities for a variety of real and personal property

management areas in support of the U.S. Secret Service Headquarters and field elements. AOD functions include space and facilities management, personal property and supply management, vehicle fleet management, mail distribution and screening and printing management. AOD acts as the single acquisition agent between the U.S. Secret Service and the General Services Administration (GSA) and the Department of State (DOS) for the acquisition, construction and renovation of U.S. Secret Service owned or leased real property.

In addition, AOD organizes and coordinates facilities and property management support activities in support of the Secret Service's protective activities and designated NSSEs; manages and coordinates administrative operations and services functions related to the planning, preparation, establishment, and deactivation of permanent and temporary protective sites; plans, develops, and administers policies and procedures for environmental management, energy conservation and other related programs for the U.S. Secret Service and provides building maintenance management and general repairs and limited labor services support to all Headquarters offices.

Rowley Training Center - This program encompasses personnel at the Service's James J. Rowley Training Center (JJRTC), including instructors, tactical and weapons systems specialists, curricula design staff, computer and web-based faculty/technicians, executive training advisors, administrative support, and maintenance staff. The Service has a separate appropriation, the Acquisition, Construction, Improvements and Related Expenses account which is used to maintain the facility.

The Service's current Strategic Plan provides the following primary objectives with regard to future mission-driven training protocols:

- Enhance JJRTC to provide an academic environment that promotes in-depth critical thinking and innovative strategies in the areas of physical protection, site event security, threat/risk assessments, protection intelligence/counterterrorism techniques, emergency preparedness, criminal investigations, protection of critical financial infrastructure, and executive/management development.
- Maximize training opportunities by using emerging technologies, such as 3-D modeling, computer-generated simulation training, and distance learning.
- Develop and implement training programs consistent with the Secret Service's core mission for federal, state, and local law enforcement partners in the areas of electronic crimes, counterterrorism/protection, cyber/counterfeit investigations, threat/risk assessment, and operational security for National Special Security Events.
- Establish partnerships with academic institutions and professional associations to assess, confirm, and ensure innovative training methodologies.

The Rowley Training Center supports protection and criminal investigations, the two critical homeland security missions mandated for the Secret Service.

Domestic Field Operations - In order to accomplish its investigative responsibilities, the Secret Service maintains a network of 142 offices nationwide. Agents assigned to these domestic offices are responsible for investigating violations of laws relating to counterfeiting of obligations and securities of the United States (currency, treasury checks, etc.), and to financial crimes that include, but are not limited to, access device fraud, financial institution fraud, identity theft, computer fraud, as well as investigating computer-based attacks on our nation's financial, banking, and telecommunications infrastructure.

International Field Office Administration and Operations - The Secret Service maintains a total of 22 foreign offices and one domicile office in 18 countries. Similar to their domestic counterparts, agents assigned to these offices are responsible for investigating violations of criminal statutes falling under the Secret Service's investigative mission. Because they do not have arrest authority, agents liaise with their foreign law enforcement counterparts in order to meet their investigative responsibilities. Additionally, these agents augment any protective mission falling within their geographic area of responsibility. Relationships established in foreign countries from conducting criminal investigations greatly enhance the Secret Service's ability to provide a safe and secure environment for the people it protects while they travel overseas.

Electronic Crimes Special Agent Program (ECSAP) and Electronic Crimes Task Forces (ECTF)- In response to the emerging trends involving the use of computers and their peripheral devices, the Secret Service established the Electronic Crimes Special Agent Program, or ECSAP. Special Agents involved with the ECSAP are computer investigative specialists, qualified to conduct examinations on many types of electronic evidence, including computers, personal data assistants, telecommunications devices, electronic organizers, and other electronic media. Currently, 1,148 special agents have received at least one of the three levels of ECSAP training.

In addition to the ECSAP, the Secret Service has established a domestic network of 28 domestic and one foreign Electronic Crimes Task Forces (ECTFs). The concept of the ECTF model is truly unique since it brings together not only federal, state and local law enforcement officials from a specific region, but also prosecutors, as well as individuals from private industry and academia. These task forces provide a productive framework and collaborative crime-fighting environment in which the resources of its participants are combined to effectively and efficiently make a significant impact in preventing and detecting electronic crimes.

Support for Missing and Exploited Children – Funding for missing and exploited children includes forensic and related support of investigations involving missing and exploited children.

C – Budget Request Summary:

The U.S. Secret Service requests 7,016 positions, 7,014 FTE, and \$1,555,042,000 for FY 2011; an increase of \$76,373,000 and a decrease of 41 positions and 38 FTE from the FY 2010 Enacted budget. This level of funding is required for and includes the following:

- Program increases totaling \$50,000,000 and 3 FTE. This includes a \$36,000,000 and 3 FTE increase for information integration and transformation and \$14,000,000 increase for the 2012 Presidential campaign.
- Program decreases totaling (\$16,800,000) and (46) FTE. This includes a (\$9,600,000) and (46) FTE reduction in third year Omnibus (PL 111-8) staffing costs, a (\$3,200,000) reduction to the Presidential primary limousine program, and a (\$4,000,000) reduction to domestic field operations.
- Adjustments to the base include \$8,000,000 for Uniformed Division (UD) modernization, 2nd year funding of \$198,000 and 2 FTE for information integration and transformation, 3rd year funding of \$190,000 for international field offices, 3rd year funding of \$184,000 for cyber infrastructure protection, 3rd year funding of \$1,230,000 for the former president Bush post-presidency detail, 3rd year funding of \$1,328,000 for enhanced White House protection, \$9,662,000 for 3rd year Omnibus (PL 111-8) staffing, \$2,900,000 for White House mail facility equipment, and cost increase of \$19,481,000 for annualization of the 2010 pay raise and FY 2011 pay adjustments and \$12,600,000 for data center consolidation.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security U.S. Secret Service Salaries & Expenses

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Protection of persons and facilities	3,398	742,778	3,800	755,521	3,754	792,042	(46)	36,521	(46)	5,200	-	31,321
National Special Security Event Fund	-	6,611	-	1,000	-	1,000	-	-	-	-	-	-
Presidential candidate nominee protection	125	46,182	-	-	24	17,867	24	17,867	-	14,000	24	3,867
White House mail screening	-	27,632	-	22,415	-	25,315	-	2,900	-	-	-	2,900
Protective intelligence activities	531	64,320	535	67,824	535	68,914	-	1,090	-	-	-	1,090
Domestic field operations	1,504	237,480	1,705	260,892	1,683	257,412	(22)	(3,480)	-	(4,000)	(22)	520
International field office administration and operations	79	29,488	74	30,705	74	31,171	-	466	-	-	-	466
Electronic crimes special agent program and electronic crimes task forces	301	50,971	317	56,541	315	57,158	(2)	617	-	-	(2)	617
Forensic support and grants to NCMEC	20	8,357	20	8,366	20	8,366	-	-	-	-	-	-
Headquarters, management and administration	353	181,739	331	221,045	336	253,176	5	32,131	3	30,600	2	1,531
Rowley training center	263	55,107	273	54,360	273	55,221	-	861	-	-	-	861
Subtotal, Enacted Appropriations and Budget Estimates	6,574	1,450,665	7,055	1,478,669	7,014	1,567,642	(41)	88,973	(43)	45,800	2	43,173
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	6,574	1,450,665	7,055	1,478,669	7,014	1,567,642	(41)	88,973	(43)	45,800	2	43,173

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Protection of persons and facilities
Program Performance Justification**
(Dollars in Thousands)

PPA: Protection of persons and facilities

	Perm. Pos	FTE	Amount
2009 Actuals	3,800	3,398	742,778
2010 Enacted	3,800	3,800	755,521
2011 Adjustments-to-Base	-	-	31,321
2011 Current Services	3,800	3,800	786,842
2011 Program Change	(46)	(46)	5,200
2011 Total Request	3,754	3,754	792,042
Total Change 2010 to 2011	(46)	(46)	36,521

The United States Secret Service requests \$792.0 million and 3,754 FTE for this program. This is an increase of \$36.5 million over the FY 2010 Enacted level and includes pay inflation, funding for Uniformed Division modernization, and program increases for WHCA Interoperability and the COLD database and program decreases for 3rd year Omnibus (PL 111-8) staffing costs and the presidential primary limousine program.

A total of 200 special agent and administrative, professional, technical positions were hired through the end of FY 2009 with funding from the Omnibus Appropriations Act of 2009 to augment the protective mission. The proposed position reduction will come from existing vacant positions within the ranks of the administrative, professional, technical workforce.

CURRENT SERVICES ACTIVITY DESCRIPTION:

The Secret Service secures the physical safety of the President, Vice President, their families, and other individuals as designated by statute, and of facilities under Secret Service protection from all threats. The Service also secures the physical safety of visiting heads-of-state/heads-of-government, and their spouses, and other distinguished visitors to the United States as directed by the President. In addition, U.S. Secret Service

provides external security to foreign diplomatic embassies and missions in the Washington, DC area (and other limited areas, consistent with statute).

In order to protect our Nation's leaders, the Secret Service operates to ensure protectees' physical safety and to protect the buildings and grounds where they reside and work. The requested amount addresses the strategic challenges facing the Service - including terrorists' sustained motivation to attack U.S. interests (including its leaders) and the increasing technological sophistication of the threat environment.

Uniformed Division

The U.S. Secret Service Uniformed Division (UD) began as the White House Police, and was originally created as a separate and distinct organization by Public Law 67-300, approved September 14, 1922. The White House Police came under the direct supervision of U.S. Secret Service in 1930. The mandate of the White House Police, incorporated in Title 3 of the U.S. Code, involves duties in connection with the protection of the Executive Mansion and grounds in the District of Columbia; any building in which White House offices are located; and the President and members of his immediate family. The members of the UD assigned to the White House Branch perform many functions that thrust them into the public light. These officers process thousands of staff members, other workers, members of the press and those individuals with appointments into the White House Complex on a daily basis. Officers assigned to this Branch provide protection to the White House Complex through the effective use of fixed posts, foot beats, bicycle patrols and police cruisers. Technicians assigned to the Counter Sniper Unit, Canine Unit and the Emergency Response Team also provide their expertise to our mission on a daily basis in and around the White House Complex. The Special Operations Section of the UD is an additional unit responsible for tours of the White House Mansion and for the coordination of special events such as the Easter Egg Roll, Presidential Receptions, and Inaugural events. The White House Vehicle Inspection Team and the Counter Surveillance Unit also help achieve the UD goal of providing a safe and protected environment.

The UD provides a safe and secure environment for the President, his immediate family, the Vice President, their staff members and myriad other White House employees that work there each day. In addition to these responsibilities, personnel assigned to the White House Branch perform similar functions at the Treasury Building, the New Executive Office Building, the Eisenhower Executive Office Building, and other locations which house Presidential Offices. In addition to the White House Branch, other publicly visible components of the UD are the Naval Observatory Branch and Foreign Missions Branch. At the end of FY 2009, there were 1,344 filled Uniformed Division positions; nearly achieving the authorized level of 1,400 positions.

Significant accomplishments in FY 2009 include the following:

- Continued to provide protection to protectees while they made domestic and foreign stops.
- Protected 189 heads-of-state/government and 60 spouses at the 64th United Nations General Assembly.
- Protected 22 heads of state/government and 15 spouses at the G20 summit in Pittsburgh, Pennsylvania in September 2009.
- Opened operations at the newly relocated JOC in September 2009.
- Continued to implement operational security for designated NSSEs.

Significant planned accomplishments in FY 2010 include the following:

- Continue to provide Protection for the President and Vice President, their families, visiting heads-of-state/government, other designated individuals, the White House and other buildings within the Washington, DC area.
- Continue to implement operational security for designated NSSE.
- Implementation of a new scheduling system.

Significant planned accomplishments in FY 2011 include the following:

- Continue to provide Protection for the President and Vice President, their families, visiting heads-of-state/government, other designated individuals, the White House and other buildings within the Washington, DC area.
- Continue to implement operational security for designated NSSE.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
National Special Security Event Fund
Program Performance Justification
(Dollars in Thousands)

PPA: National Special Security Event Fund

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	6,611
2010 Enacted	-	-	1,000
2011 Current Services	-	-	1,000
2011 Total Request	-	-	1,000
Total Change 2010 to 2011	-	-	-

The United States Secret Service requests \$1.0 million for this activity.

CURRENT SERVICES ACTIVITY DESCRIPTION:

The Secret Service plans and implements security designs for designated National Special Security Events (NSSEs). In addition, the Secret Service ensures the physical protection of the President, the public, and other Service protectees who participate in NSSEs.

Security at NSSEs is strategically crucial to homeland security in that NSSEs, by definition, involve persons, institutions, and landmarks that are integral to the governance of the nation, vital to national and/or global economic stability, or symbolically important to American citizens. The requested amount provides funding for the design, planning, and implementation of operational security plans for NSSEs.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Presidential candidate nominee protection
Program Performance Justification
(Dollars in Thousands)

PPA: Presidential candidate nominee protection

	Perm. Pos	FTE	Amount
2009 Actuals	120	125	46,182
2010 Enacted	-	-	-
Campaign Labor Adjustment	24	24	3,867
2011 Current Services	24	24	3,867
2011 Program Change	-	-	14,000
2011 Total Request	24	24	17,867
Total Change 2010 to 2011	24	24	17,867

The United States Secret Service requests \$17.9 million and 24 FTE for this activity. This is a \$14 million increase over the FY 2010 Enacted level. In addition, this request shifts \$3.867 million and 24 FTE from investigative activities to support staffing requirements for the Presidential campaign.

CURRENT SERVICES ACTIVITY DESCRIPTION:

Significant accomplishments in FY 2009 included the following:

- Provided protection for Presidential and Vice-Presidential candidates during the final month of the 2008 Presidential Campaign.
- Provided protection of the post-election President and Vice President-elect along with security for the Inaugural events.

Significant planned accomplishments in FY 2011 include the following:

- Provide training to candidate protective detail personnel.
- Procure supplies and equipment to support candidate/nominee protective operations.
- Procure critical protective vehicles and equipment for the campaign.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
White House mail screening
Program Performance Justification
(Dollars in Thousands)

PPA: White House mail screening

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	27,632
2010 Enacted	-	-	22,415
2011 Adjustments-to-Base	-	-	2,900
2011 Current Services	-	-	25,315
2011 Total Request	-	-	25,315
Total Change 2010 to 2011	-	-	2,900

The United States Secret Service requests \$25.3 million for this activity. This is an increase of \$2.9 million over the FY 2010 Enacted level for equipment.

CURRENT SERVICES ACTIVITY DESCRIPTION:

Due to the heightened potential of biological and chemical threats, the Secret Service implemented a security program to screen all incoming mail, equipment, supplies, and agricultural products destined for the White House Complex. The goal of this security enhancement is to identify lethal threats at a remote location away from the White House Complex, and contain, mitigate, and investigate any vulnerability posed by these threats.

At the present time, the Secret Service is utilizing temporary facilities and personnel provided by the U.S. Army to assist in the screening. Once the mail and other items are transported to the screening facility by the Executive Office of the President (EOP), security personnel and technical specialists at the facility utilize strict protocols to sample the mail for contamination and monitor the environment for potentially hazardous substances. Any items containing unknown substances are subjected to analysis at an on-site laboratory and are quarantined at the facility until any potential hazards have been positively identified and subjected to appropriate mitigation procedures. Following a determination that the screened items pose no security risks to the White House Complex and Secret Service protectees, they are released to the EOP for administrative processing and distribution.

The Secret Service and GSA have received funding to design and construct a permanent White House Mail facility. In March 2008, the groundbreaking ceremony for this facility was held to mark the commencement of construction on the new facility. The Secret Service continues to work with GSA, the design-build construction team, and numerous technical experts to ensure that the new building meets all safety and operational requirements.

Significant accomplishments in FY 2009 included the following:

- Continued to screen all incoming mail, packages and gifts destined for the White House complex for select chemical, biological, radiological, nuclear and explosive (CBRNE) contamination.
- Procurement of laboratory equipment, specialized detection equipment, security equipment, information technology, work stations and all other support equipment required to commence operations at the new White House mail screening facility.
- Development of facility standard operating procedures, incident response procedures and work with appropriate agencies to establish incident response agreements.

Significant planned accomplishments in FY 2010 include the following:

- Complete building commissioning and installation of all government furnished equipment to include laboratory equipment, processing equipment, CBRNE detection equipment, security and access control equipment.
- Complete hiring and training of new facility FTE's (Chemist, Facility Operations Specialist, Administrative Budget Coordinator, Industrial Hygienist and Logistics Management Specialist). Award contracts for the operations contractor and program management contractor to support the new White House mail screening facility.
- Continue to screen all incoming mail, packages and gifts destined for the White House complex for select chemical, biological, radiological, nuclear and explosive (CBRNE) contamination at both the current mail screening facility and commence transition of operations to the new mail screening facility.

Significant planned accomplishments in FY 2011 include the following:

- Continue to screen all incoming mail, to include packages and gifts, destined for the White House complex for select chemical, biological, radiological, nuclear and explosive (CBRNE) contamination.

- Continue to perform research and development to ensure that the program is utilizing all pertinent detection technologies available and that current intelligence information is monitored to ensure possible threats are mitigated.
- Transition the facility laboratory to an independent Secret Service laboratory. The initial facility laboratory services were initiated with aid from Department of Defense personnel, Edgewater Chemical Biological Center (ECBC).

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Domestic field operations
Program Performance Justification
(Dollars in Thousands)

PPA: Domestic field operations

	Perm. Pos	FTE	Amount
2009 Actuals	1,597	1,504	237,480
2010 Enacted	1,705	1,705	260,892
Campaign Labor Shift	(22)	(22)	520
2011 Current Services	1,683	1,683	261,412
2011 Program Change	-	-	(4,000)
2011 Total Request	1,683	1,683	257,412
Total Change 2010 to 2011	(22)	(22)	(3,480)

The United States Secret Service requests \$257.4 million and 1,683 FTE for this activity. This is a decrease of \$3.5 million and 22 FTE from the FY 2010 Enacted level and includes pay inflation, a (22) FTE shift to the Presidential Candidate Nominee Protection PPA to support staffing requirements for the 2012 Presidential campaign, and a program decrease for domestic field offices.

CURRENT SERVICES ACTIVITY DESCRIPTION:

The United States Secret Service investigates violations of laws relating to counterfeiting of obligations and securities of the United States, and financial crimes that include, but are not limited to, financial institution fraud, identity theft, access device fraud, money laundering and electronic crimes. Domestic field resources are focused on achieving the Department of Homeland Security strategic objective of economic security. The requested amount funds field offices nationwide in a strategic context which addresses the spread of the Internet and other consumer-friendly technologies that facilitate electronic commerce, and the increasing criminal exploitation of those technologies.

Significant accomplishments in FY 2009 included the following:

- Maintained current investigative operations while continuing to pursue efficiencies within program areas.

- The Secret Service made 5,808 financial crimes arrests (5,035 domestic / 770 foreign / 3 court pending) and 2,946 counterfeit arrests (2,506 domestic / 430 foreign / 10 court pending)

With regards to Cyber / Financial Crimes Investigations, the Secret Service:

- Opened 5,582 cases and closed 5,117 cases
- 99% conviction rate for the 5,808 suspects that were arrested
- Conducted 650 seizures totaling \$142M in criminal proceeds
- Conducted 7,629 computer forensic exams in CY2009
- Prosecuted financial and cybercrime cases involving \$443M in actual loss
- Prevented \$1.8B in potential loss
- Above figures do not include Heartland Payment Systems (\$65B in potential loss) and the TJX case (\$20B in potential loss) because these cases remain open

Currency seized was \$108.8M (\$7.6M domestic / \$101.2 foreign) and the total amount passed was \$73.3M (\$69M domestic / \$4.3M foreign).

Significant planned accomplishments in FY 2010 include the following:

- Maintain current investigative operations while continuing to pursue efficiencies within program areas.
 - The growth and complexity of electronic criminal threats to our nation's financial payment systems, financial institutions and banking has increased exponentially. It is critical that the Secret Service is equipped with a superior level of investigative manpower and resources, both domestic and international, to keep pace with the onslaught of organized transnational cyber and online criminals, their methods, and the widening array of emerging cyber technologies.
- Key priorities for the Secret Service are to enhance its capabilities to prevent and mitigate attacks against the U.S. critical infrastructures including:
 - Expand Electronic Crimes Task Forces (ECTFs)
 - Expand Financial Crimes Task Forces (FCTFs)
 - Expand training efforts through the Electronic Crimes Special Agent Program (ECSAP).
 - Increased focus on Cyber Intelligence

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 - Expand Financial Crimes Task Forces (FCTFs)
 - Expand training efforts through the Electronic Crimes Special Agent Program (ECSAP).
 - Increased focus on Cyber Intelligence

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
International field office administration and operations
Program Performance Justification
(Dollars in Thousands)

PPA: International field office administration and operations

	Perm. Pos	FTE	Amount
2009 Actuals	74	79	29,488
2010 Enacted	74	74	30,705
2011 Adjustments-to-Base	-	-	466
2011 Current Services	74	74	31,171
2011 Total Request	74	74	31,171
Total Change 2010 to 2011	-	-	466

The United States Secret Service requests \$31.2 million and 74 FTE for this activity. This is an increase of \$0.5 million over the FY 2010 Enacted level and includes pay inflation as well as third year annualization of staffing for the international field offices program.

CURRENT SERVICES ACTIVITY DESCRIPTION:

The Secret Service provides a comprehensive, internationally coordinated response to new threats to the integrity of U.S. currency and other transnational crimes.

International field resources are focused on achieving the DHS strategic objective of economic security (e.g. combating foreign counterfeiting of U.S. currency). The requested amount funds 22 international offices and one domicile office in 18 countries in a strategic context of the worldwide spread of the Internet and other consumer-friendly technologies that facilitate electronic commerce, the increasing criminal exploitation of those technologies, and dollarization.

Significant accomplishments in FY 2009 included the following:

- Maintained current investigative operations while continuing to pursue efficiencies within program areas.
- The Secret Service made 5,808 financial crimes arrests with 770 from foreign offices. In addition, the Secret Service made 2,946 counterfeit arrests with 430 from foreign offices.

- The total amount of counterfeit currency seized was \$108.8M, with \$101.2M of that amount attributed to overseas seizures. Additionally, the total amount of counterfeit currency passed totaled \$73.3M with \$4.3M passed overseas.

Significant planned accomplishments in FY 2010 include the following:

- Maintain current investigative operations while continuing to pursue efficiencies within program areas.
- The main obstacles encountered by agents investigating transnational crimes are jurisdictional limitations. To fundamentally address this issue, appropriate levels of liaison and partnerships must be established with foreign law enforcement counterparts. Currently, the Secret Service operates 22 offices abroad. Over the next five years, the Office of Investigations will explore additional foreign office openings based on the operational needs of the Secret Service and appropriate strategy to combat today's organized transnational criminal groups. This will significantly impact the Service's capabilities in pursuing, arresting, and prosecuting the criminals that are operating in an increasingly "global" world.
- Expand overseas presence with an initial focus on the continued effort to open the Tallinn, Estonia office; the NSDD-38 is currently under review at DHS OIA.

Significant planned accomplishments in FY 2011 include the following:

- Maintain current investigative operations while continuing to pursue efficiencies within program areas.
- The main obstacles encountered by agents investigating transnational crimes are jurisdictional limitations. To fundamentally address this issue, appropriate levels of liaison and partnerships must be established with foreign law enforcement counterparts. Currently, the Secret Service operates 22 offices abroad. Over the next five years, the Office of Investigations will explore additional foreign office openings based on the operational needs of the Secret Service and appropriate strategy to combat today's organized transnational criminal groups. This will significantly impact the Service's capabilities in pursuing, arresting, and prosecuting the criminals that are operating in an increasingly "global" world.
- Expand overseas presence with an initial focus on the continued effort to open the Tallinn, Estonia office; the NSDD-38 is currently under review at DHS OIA.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Electronic crimes special agent program and electronic crimes task forces
Program Performance Justification
(Dollars in Thousands)

PPA: Electronic crimes special agent program and electronic crimes task forces

	Perm. Pos	FTE	Amount
2009 Actuals	305	301	50,971
2010 Enacted	317	317	56,541
Campaign Labor Adjustment	(2)	(2)	617
2011 Current Services	315	315	57,158
2011 Total Request	315	315	57,158
Total Change 2010 to 2011	(2)	(2)	617

The United States Secret Service requests \$57.2 million and 315 FTE for this activity. This is an increase of \$0.6 million over the FY 2010 Enacted level and includes pay inflation and a shift of (2) FTE to the Presidential Candidate Nominee Protection PPA to support staffing requirements for the 2012 Presidential campaign.

CURRENT SERVICES ACTIVITY DESCRIPTION:

Through the Electronic Crimes Special Agent Program (ECSAP), the Service trains special agents to detect network intrusions and conduct examinations on all types of electronic evidence, including computers, personal data assistants, telecommunications devices, electronic organizers, scanners, and other electronic equipment. Through Electronic Crimes Task Forces (ECTF), the Service forms partnerships with private industry, academia, other federal law enforcement, and state and local law enforcement to prevent, detect, mitigate, and aggressively investigate attacks on our nation's financial infrastructures.

The ECSAP and ECTF's combat those who seek to defraud financial institutions, private industry, or individuals through electronic or digital media. The requested amount funds these entities in an environment characterized by a rise in electronic financial transactions and associated criminal activity.

Significant accomplishments in FY 2009 included the following:

- Provided 180 new agents with ECSAP training.

- Expanded the training provided by the National Computer Forensics Institute (NCFI) to our state and local partners.
- Maintained current investigative operations while continuing to pursue efficiencies within program areas.

Significant planned accomplishments in FY 2010 include the following:

- Continue to foster exceptional relationships with other federal, state, and local law enforcement agencies by building on proven investigative techniques and expanding methodologies that have already been developed and deployed.
- Maintain current investigative operations while continuing to pursue efficiencies within program areas.

Significant planned accomplishments in FY 2011 include the following:

- Continue to foster exceptional relationships with other federal, state, and local law enforcement agencies by building on proven investigative techniques and expanding methodologies that have already been developed and deployed.
- Maintain current investigative operations while continuing to pursue efficiencies within program areas.

**Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Forensic support and grants to NCMEC
Program Performance Justification
(Dollars in Thousands)**

PPA: Forensic support and grants to NCMEC

	Perm. Pos	FTE	Amount
2009 Actuals	20	20	8,357
2010 Enacted	20	20	8,366
2011 Current Services	20	20	8,366
2011 Total Request	20	20	8,366
Total Change 2010 to 2011	-	-	-

The United States Secret Service requests \$8.4 million and 20 FTE for this activity. There is no change from the FY 2010 Enacted level.

CURRENT SERVICES ACTIVITY DESCRIPTION:

Language contained in the Violent Crime Reduction Trust Fund legislation in 1995 directed the U.S. Secret Service to provide forensic support to the National Center for Missing and Exploited Children. Since that time, forensic support has included polygraph examinations, handwriting examinations, voiceprint comparisons, audio and video enhancements, age progressions/regressions, and fingerprint research and identification.

Requested funding provides state of the art forensics support for investigations involving missing and exploited children and grant funds for activities related to the investigations of missing and exploited children. In a strategic context characterized by predators determined to abuse the nation's children, the Secret Service's technologies provide critical support to associated investigations.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Headquarters, management and administration
Program Performance Justification
(Dollars in Thousands)

PPA: Headquarters, management and administration

	Perm. Pos	FTE	Amount
2009 Actuals	328	353	181,739
2010 Enacted	333	331	221,045
2011 Adjustments-to-Base	-	2	1,531
2011 Current Services	333	333	222,576
2011 Program Change	5	3	30,600
2011 Total Request	338	336	253,176
Total Change 2010 to 2011	5	5	32,131

The United States Secret Service requests \$253.2 million and 336 FTE for this activity. This is an increase of \$32.1 million over the FY 2010 Enacted level and includes pay inflation, pay annualization for positions to be hired in FY 2010 to support the Information Integration and Transformation program, and program increases for U.S. Secret Service Cyber Security, Database Architecture, and Information Assurance.

CURRENT SERVICES ACTIVITIES DESCRIPTION:

Administration is responsible for:

- Tracking, monitoring, executing, and reporting the financial activities of the Secret Service;
- Improving the efficiency and productivity of personnel;
- Conducting analyses of program objectives and strategies to examine operational and cost factors impacting the continued viability of ongoing activities and the feasibility of proposed initiatives;
- Procuring quality goods and services in a timely fashion; and
- Administering the design, construction, acquisition, assignment, maintenance, and disposal of Service properties.

Administrative Operations

This activity plans, develops and administers policies and procedures and performs related activities for a variety of real and personal property management areas in support of the U.S. Secret Service Headquarters and field offices.

Functions include Protective and Investigative Facilities Management; JJRTC Facilities Management; Mail and Print Operations Management; Property Management; Warehouse and Disposal Management; and Fleet Management.

Acts as the primary acquisition agent between the Secret Service and GSA; Department of State; the U.S. Army Corps of Engineers and other Federal Government and Department of Defense organizations for the acquisition, construction and renovation of Secret Service owned or leased real property.

Organizes and coordinates facilities and property management activities in support of the Secret Service's protective missions as well as designated NSSEs; and manages and coordinates administrative operations and services functions related to the planning, preparation, establishment, and deactivation of permanent and temporary protective sites. This activity provides building maintenance management, general repairs, engineering, architectural and design services, as well as labor services in support of all U.S. Secret Service Memorial Headquarters Directorates and Divisions.

Significant accomplishments in FY 2009 include the following:

- Continued division support for the close-out of Campaign 2008 and UN General Assembly (UNGA-64) major event support sites
- Established and closed out residence Command Posts for selected protectees impacted by the transition to a new Administration
- Initiated site preparation and provided operational support resources for the Inauguration and G-20 Economic Summit major event support sites
- Supported the transition site renovations for FPOTUS Bush and FVPOTUS Cheney sites, as well as the close-out of residential security sites for campaign candidates Sen. McCain and Gov. Palin.

Significant planned accomplishments in FY 2010 include the following:

- Initiate planning and preparation to provide major event infrastructure support for the next annual UN General Assembly (UNGA-65) and other events as announced.

Significant planned accomplishments in FY 2011 include the following:

- Initiate planning and preparation to provide major event infrastructure support for the next annual UN General Assembly and other events as announced.

Financial Management

The financial management activity includes systems development in specific business areas including: core financial accounting and reporting; travel and relocation management; property management; and procurement management. This activity develops appropriate interfaces between these and other administrative systems, and supports system users through training, communications, user procedures, and technical support services.

Significant accomplishments in FY 2009 include the following:

- Migrated to a more efficient infrastructure by replacing outdated equipment and instituting operating system upgrades.
- Supported the implementation of a web-based time and labor distribution system.
-

Significant planned accomplishments in FY 2010 include the following:

- Provide the infrastructure to integrate time and labor with the enterprise financial application. This will support the improved financial reporting required by Congress, the Office of Management and Budget, and the Secret Service.

Significant planned accomplishments in FY 2011 include the following:

- Continue to provide the infrastructure to integrate time and labor with the enterprise financial application. This will support the improved financial reporting required by Congress, the Office of Management and Budget, and the Secret Service.

Program Management

This activity continues to actively participate in the Department of Homeland Security (DHS) planning and performance measurement processes, including (DHS) Strategic Plan revision, Risk Steering Committee Tier III (and associated working group) meetings, DHS Performance Improvement Officer Council meetings, and the DHS Performance Team Working group and associated activities. It continues to coordinate the Secret Service's submission of timely responses to quarterly reporting requirements for the President's Management Agenda (PMA), and facilitate the Service's achievement of scores above the DHS average. This activity contributes to managing organizational change initiatives by continuously monitoring and coordinating the regular update and publication of official Secret Service policy directives.

Significant accomplishments in FY 2009 included the following:

- Continued to refine the conceptual framework, formal process, and required resources for conducting meaningful program evaluations.
- Implemented and institutionalized a new process for developing a Secret Service Concept of Operations (CONOPS), integral to the strategic planning process.
- Reconfigured the current process for data transfer between Secret Service IT systems, in order to realize increased efficiency and substantial cost savings.
- Modified hard copy distribution protocols for agency directives and forms.
- Took steps to ensure Records Management in the Secret Service is understood and tools are in place to facilitate effective and efficient records management, in order to pave the way for deployment of an Enterprise Records Management System (ERMS) to help manage records electronically.

Significant accomplishments in FY 2010 included the following:

- Continue to take steps to ensure Records Management in the Secret Service is understood and tools are in place to facilitate effective and efficient records management, in order to pave the way for deployment of an Enterprise Records Management System (EMRS) to help manage records electronically.

Significant accomplishments in FY 2010 included the following:

- Continue to take steps to ensure Records Management in the Secret Service is understood and tools are in place to facilitate effective and efficient records management, in order to pave the way for deployment of an Enterprise Records Management System (EMRS) to help manage records electronically; the establishment of a file plan database module, development of user guides, and deployment of an on-line training course following are the major implementation actions presently occurring.

**Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Training
Rowley training center
Program Performance Justification
(Dollars in Thousands)**

PPA: Rowley training center

	Perm. Pos	FTE	Amount
2009 Actuals	273	263	55,107
2010 Enacted	273	273	54,360
2011 Adjustments-to-Base	-	-	861
2011 Current Services	273	273	55,221
2011 Total Request	273	273	55,221
Total Change 2010 to 2011	-	-	861

The United States Secret Service requests \$55.2 million and 273 FTE for this activity. This is an increase of \$0.86 million over the FY 2010 Enacted level and includes pay inflation.

CURRENT SERVICES ACTIVITY DESCRIPTION:

The James J. Rowley Training Center (JJRTC) is responsible for:

- (1) developing, administering, and coordinating training programs for Secret Service employees, and for other federal law enforcement agencies and law enforcement officials from various state and local police departments;
- (2) providing all basic, in-service, and specialized skills training for special agents, Uniformed Division officers, special officers and other professional personnel;
- (3) providing training for the executive, managerial, supervisory, administrative support, cyber/IT solutions, and foreign language needs for all Secret Service components;
- (4) providing specialized operational training for the Service's tactical elements (counter-assault, counter-sniper, and emergency response teams), which include the core components of the protective methodology;
- (5) evaluating, selecting, and training all Secret Service explosive detection canines/tactical canines;
- (6) administering and coordinating fitness, control tactics, vehicle operation training, emergency medicine, and water safety programs;
- (7) conducting research and testing of munitions, and related equipment technology; and

(8) administering the acquisition, storage, maintenance, and issuance of firearms, operational weapons and ammunition to all Secret Service personnel.

Significant accomplishments in FY 2009 included the following:

- JJRTC provided all basic and in-service training and specialized operational skills training for special agents, Uniformed Division officers, special officers, and other professional personnel.
- JJRTC provided training for executive, supervisory, administrative, cyber/IT solutions, and foreign language training for all Service components.
- JJRTC substantially increased in-service training to Secret Service field offices on a regional basis. This initiative provided a substantial increase in the number of available training opportunities to Secret Service employees and allowed for enhanced training with other local, state and federal law enforcement agencies.

Significant planned accomplishments in FY 2010 include the following:

- JJRTC will continue to provide all basic and in-service training and specialized operational skills training for special agents, Uniformed Division officers, special officers, and other professional personnel.
- JJRTC will continue to provide training for executive, supervisory, administrative, cyber/IT solutions, and foreign language training for all Service components.

Significant planned accomplishments in FY 2011 include the following:

- JJRTC will continue to provide all basic and in-service training and specialized operational skills training for special agents, Uniformed Division officers, special officers, and other professional personnel.
- JJRTC will continue to provide training for executive, supervisory, administrative, cyber/IT solutions, and foreign language training for all Service components.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Protective intelligence activities
Program Performance Justification
(Dollars in Thousands)

PPA: Protective intelligence activities

	Perm. Pos	FTE	Amount
2009 Actuals	535	531	64,320
2010 Enacted	535	535	67,824
2011 Adjustments-to-Base	-	-	1,090
2011 Current Services	535	535	68,914
2011 Total Request	535	535	68,914
Total Change 2010 to 2011	-	-	1,090

The United States Secret Service requests \$68.9 million and 535 FTE for this activity. This is an increase of \$1.1 million over the FY 2010 Enacted level for pay inflation.

CURRENT SERVICES ACTIVITY DESCRIPTION:

Subjects (individuals and groups) and activities that pose threats to protectees and protected events are investigated. The Secret Service analyzes threats, investigates threats, and conducts intelligence advances in order to minimize the risk of harm to protected persons, property, and events. The requested amount funds these activities in an environment characterized by terrorists' sustained motivation to attack these targets, and by the increasingly technological sophistication of the threat environment.

IV. Program Justification Changes

**Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Protection of persons and facilities
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: WHCA Interoperability
PPA: Protection of persons and facilities
Program Increase: Positions 0.0, FTE 0.0, Dollars \$15000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	15,000
Total Request	-	-	\$23,800	-	-	-	-	-	15,000

Description of Item

The White House Communications Agency (WHCA) provides worldwide telecommunications support to Secret Service Protective Operations per PL 94-524, "Presidential Protection Assistance Act of 1976" and PL 104-208, "Department of Defense Appropriations Act of 1997." Between 2003 and 2008, WHCA modernized its telecommunications infrastructure by transitioning to Internet Protocol (IP) for all Voice, Radio, Satellite, Video, Secure Voice, Secure Video, and Wireless communications. This transformation revolutionized WHCA's overall communications capacity and agility while rendering Secret Service systems and devices incompatible with the IP capability. This initiative will allow the Secret Service to implement IP protocols and multi-level secure technologies into the Secret Service planned IT and voice infrastructure in support of the Protective mission.

Justification

The Secret Service instituted a temporary and partial solution to address this incompatibility of technologies with the White House Communications Agency; however, the agency must address this mission-critical capability gap with a permanent solution for the agency to continue to adequately protect the President and others as required by law. Personnel tasked with providing such protection require immediate

access to data and the ability to communicate with one another over a seamless web of encrypted, secure, and highly available communications.

The Secret Service will modernize its global mobile communications program by combining the existing domestic land mobile radio system with the WHCA shared satellite-based communications system for international protective operations. The transformation plan also provides additional classified capability at Secret Service Headquarters and field offices by adding Homeland Security Data Network (HSDN) terminals to satisfy multi-level security requirements and ensure seamless information sharing with the Intelligence Community (IC) regarding mission critical protective intelligence.

In addition to closing the technology gap for the interoperability disparity with WHCA, this initiative improves efficiencies. Upon completion of the project, the Secret Service will experience improved security, performance, flexibility and reliability of its communications capabilities and IT infrastructure to meet ever demanding mission needs.

Impact on Performance (Relationship of Increase to Strategic Goals)

Without funding, the special agents and officers performing their protective and investigative missions run the risk of a breakdown of command and control communications, breach in communications security, loss of situational awareness, or a failure in operational procedures due to a lack of reliable, available, flexible and secure communication systems. When special agents and officers cannot talk to each other or pass mission critical information, operations may fail. During both protective and investigative missions, special agents and officers require communications with partners via various methods of communications. A failure of communications could cause failure of the mission and/or loss of a protectee, which could impact DHS, partners and even the security of United States citizens. Communications is fundamental and funding is required to not only keep pace with technology, but to stay one step ahead of the adversary.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Protection of persons and facilities
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 2: Reduction to staff provided by PL 111-8 (3rd year)
PPA: Protection of persons and facilities
Program Decrease: Positions -46.0, FTE -46.0, Dollars \$-9600.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Decrease							(46)	(46)	(9,600)
Total Request	-	-	-	-	-	-	(46)	(46)	(9,600)

Description of Item

As a result of the passage of the Omnibus Appropriations Act of 2009, the Secret Service was provided no-year funding to hire personnel to support the protective mission. The need for these positions was recognized and approved by the Department of Homeland Security and Congress.

Justification

The justification for the Omnibus hiring was to meet the increasing demands of ongoing protective operations, to include the associated intelligence activity related to protection of the new President. These critical functions required immediate shifts of existing assets in order for the Service to continue to function with the necessary operational and tactical flexibility.

The new FTE allow for greater mediation of emerging terrorist threat capabilities, an appropriate level of protection in a manner consistent with the nature and schedules of the people being protected, and broader operational flexibility Secret Service-wide.

Impact on Performance (Relationship of Decrease to Strategic Goals)

A total of 200 special agent and administrative, professional, technical positions were hired through the end of FY 2009 with funding from the Omnibus Appropriations Act of 2009. The proposed position reduction will come from existing vacant positions within the ranks of the administrative, professional, technical workforce and will include support positions such as Management and Program Analysts, Information Technology Specialists, and Intelligence Research Specialists.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Protection of persons and facilities
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 3: Reduction to primary limousine program
PPA: Protection of persons and facilities
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-3200.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Decrease							-	-	(3,200)
Total Request	-	-	-	-	-	-	-	-	(3,200)

Description of Item

The Presidential Primary Limousine essentially becomes the Oval Office when the President is traveling beyond the perimeter of the White House Complex. Presidential Primary Limousines are utilized daily by the President in Washington, DC and wherever the President chooses to travel throughout the world. Presidential Primary Limousines contain highly classified protective systems that are designed to mitigate an extensive array of potential threats and hazards.

These limousines play an important role in the overall protection of the President and are the most sophisticated and secure protective vehicles ever constructed. To achieve this level of protection, each vehicle is hand-built using highly skilled technicians, engineers, and world-class experts in protective countermeasures. At the present time, the Secret Service has nine operational Presidential Primary Limousines.

Justification

The Service’s limousine acquisition plan is based upon six years of front-line Presidential service for each vehicle with a maximum life-span of 10 years before being completely removed from the inventory. The plan also increases the fleet to twelve vehicles; six complete Presidential Primary Limousine “packages”, since a minimum of two vehicles (one package) must be utilized for each Presidential motorcade movement.

Funding is critical to preparing for, and obtaining contracted services, equipment and supplies for the sustainment of the primary limousines. The purchase, delivery, and

deployment of these specialized vehicles require twelve month lead-time from a classified contracted facility.

Impact on Performance (Relationship of Decrease to Strategic Goals)

The Service's limousine acquisition plan is based upon six years of front-line Presidential service for each vehicle with a maximum life-span of 10 years before being completely removed from the inventory. The Service procured one Presidential Primary Limousine in FY 2009. This funding reduction allows for the continued procurement of one limo per year.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Protection of persons and facilities
Justification of Program Changes
(Dollars in Thousands)

Program Increase 4: Upgrade to COLD Database
PPA: Protection of persons and facilities
Program Increase: Positions 0.0, FTE 0.0, Dollars \$3000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	3,000
Total Request	-	-	900	-	-	-	-	-	3,000

Description of Item

The Combined Operations Logistics Database (COLD) is a new enterprise application that will automate the notification processes and the tracking of all logistical planning operations supporting protective and investigative missions. The proposed COLD application will allow the Secret Service to identify and document the human and technical resources utilized to support mission operations. The new application enhances information sharing, would automate existing manual processes and provides close to “real time” management data to better project work requirements and operational costs. This application will replace existing antiquated systems that cannot be re-engineered.

Justification

The Secret Service requires a robust logistics planning, tracking and scheduling tool that enables the efficient use of its human and technical resources supporting mission operations. The new COLD application will provide the Secret Service with a modernized capability to analyze its resources, programs and operations close to “real-time”. The logistical planning information necessary to project workforce requirements, automate notifications, and define operational mission costs would be consolidated into one data source and accessed by the new application. Frequent analysis of this information is critical to improving the business processes of the Secret Service. Extensive needs analysis activities and operational requirement reviews have been conducted and the findings will be incorporated into this enterprise application initiative.

Impact on Performance (Relationship of Increase to Strategic Goals)

The new COLD system will integrate current disparate data sets and automate operational planning and notification processes. This initiative provides the Secret Service with a new capability to analyze information closer to “real time” to more efficiently manage its human and technical resources. The application will collect and report on such items as the number of personnel and resources deployed to support missions, work schedules and special skill requirements.

The development of this new system is critical to supporting mission operations, improving business processes and enhancing decision making. Additionally, it will allow the Service to conduct in depth analysis of its operations with vastly better data sets than are available with the current systems. The proposed investment directly supports the Secret Service’s strategic goal of Protecting the Nation’s Critical Infrastructure and Key Resources. Conversely, if this initiative is unfunded, the Secret Service will continue operating antiquated systems and manual processes.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Presidential candidate nominee protection
Justification of Program Changes
(Dollars in Thousands)

Program Increase 5: 2012 Presidential Campaign
PPA: Presidential candidate nominee protection
Program Increase: Positions 0.0, FTE 0.0, Dollars \$14000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	14,000
Total Request	-	-	-	-	-	-	-	-	14,000

Description of Item

Funding is requested for the start-up costs of the 2012 Presidential Campaign. During FY 2011, the Secret Service will provide specialized training for its workforce and will procure screening and detection equipment, armored vehicles, and supplies to support the increase in protective mission requirements. Sufficient lead time is critical to properly conduct service-wide training, acquire specialized protective equipment and pre-position these assets at Secret Service field offices.

Justification

The Secret Service is mandated by law (Title 18 U.S.C. § 3056) to provide protection and security for “major presidential and vice presidential candidates, and their spouses.” During presidential campaigns, the Secret Service experiences a significant increase in its protective workload as it provides protection for the designated candidates/nominees, in addition to its other protective responsibilities.

During FY 2011, Secret Service personnel will need to travel to Washington, DC and other regional locations to receive specialized protective training. The Secret Service plans to train other Department of Homeland Security agents/officers and Department of Defense personnel to assist with campaign protection requirements.

In order to ensure the integrity of protective sites during the presidential campaign, unique protective identification/credentials are required. Specialized credentialing

equipment and supplies will be purchased to produce secure photograph identification/credentials for distribution as needed.

Vehicles will be purchased for use as protective limousine and follow-up security vehicles for protective details. Each vehicle requires communications equipment, emergency lights, and other protective equipment. The vehicles will be strategically and economically positioned at Secret Service field offices throughout the country in preparation for use by candidate/nominee details.

State-of-the-art screening and detection systems, magnetometers and x-ray systems, medical and rescue equipment, and other protective supplies are required to support the increase in mission requirements. This specialized equipment is critical to the overall success of campaign protective operations.

The Secret Service does not have enough of these critical assets now to accommodate the anticipated increase in protective workload requirements. As such, this funding is requested to address the identified needs.

Impact on Performance (Relationship of Increase to Strategic Goals)

Title 18 U.S.C. § 3056 mandates the Secret Service to provide protection and security for major presidential and vice presidential candidates, and their spouses. During FY 2011, the Secret Service will provide training to its workforce, and procure equipment and supplies to support candidate/nominee protective operations.

The Secret Service does not have base funding to cover the costs associated with the anticipated increase in protective mission responsibilities during this quadrennial event. Historically, the Secret Service has requested and received a temporary increase to its annual budget to cover Presidential Campaign planning and preparation costs.

If funding is not available in FY 2011, the Secret Service would be unable to properly prepare for the increase in protective mission requirements critical to supporting the 2012 Presidential Campaign.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Domestic field operations
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 1: Reduction to domestic field offices
PPA: Domestic field operations
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-4000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Decrease							-	-	(4,000)
Total Request	-	-	-	-	-	-	-	-	(4,000)

Description of Item

The United States Secret Service investigates violations of laws relating to counterfeiting of obligations and securities of the United States, and financial crimes that include, but are not limited to, financial institution fraud, identity theft, access device fraud, money laundering and electronic crimes. Domestic field resources are focused on achieving the Department of Homeland Security strategic objective of economic security. Funding for domestic field offices nationwide addresses the spread of the internet and other consumer-friendly technologies that facilitate electronic commerce, and the increasing criminal exploitation of those technologies.

Justification

The Secret Service operates 142 domestic field offices. These are necessary to support and carryout the Service's investigative mission. They also provide critical support to the protective mission. Special agents assigned to Secret Service field offices are integral to threat identification and mitigation, as they conduct protective intelligence investigations. Field office special agents also aid in developing and implementing operational security plans to ensure the safety of protectees who conduct business or visit within their districts.

Impact on Performance (Relationship of Decrease to Strategic Goals)

Proposed reductions include benefits, travel, contractual services, supplies and materials, and equipment. A reduction to domestic field operations will potentially cause the citizens of the United States to incur financial crime loss that will not be prevented and a great amount of counterfeit currency that will not be removed from circulation. Field offices also participate on task forces and other partnerships with state and local law enforcement, private companies and academia. These partnerships provide the Secret Service with information and enable other law enforcement agencies to better tackle electronic crimes.

This cross-cutting reduction will directly impact investigative performance measures including – the Financial Crimes Loss Prevented (Through a Criminal Investigation and by the Secret Service Electronic Crimes Task Forces) and Counterfeit Passed as the Percent of Amount of Genuine U.S. Currency in Circulation.

The temporary FTE shift (22) mentioned in the chart above refers to the resource shift from investigations to the Presidential Candidate Nominee Protection PPA to support staffing requirements for the 2012 Presidential Campaign.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Headquarters, management and administration
Justification of Program Changes
(Dollars in Thousands)

Program Increase 2: Information Assurance
PPA: Headquarters, management and administration
Program Increase: Positions 2.0, FTE 1.0, Dollars \$6000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	2,400
Program Increase							2	1	6,000
Total Request	-	-	-	-	-	2,400	2	1	8,400

Description of Item

The Information Assurance (IA) initiative will provide enterprise protection of the information-sharing environment by consolidating disparate information assurance activities into one comprehensive IT security program. This will include formation of a new comprehensive Certification and Accreditation (C&A) process that provides an independent verification and validation test environment and enables the agency’s use of DHS Enterprise test and evaluation services. This initiative will improve IT security and enhance mission performance by improving organizational practices, policies, and procedures. Effective security ensures that vital services are delivered in a timely manner in all operating conditions.

Justification

Information and information systems serve as fundamental enablers for the Secret Service to meet its business needs and mission goals. This funding is required provide IA capability that is fully compliant with federal guidelines and supports timely C&A of critical equipment and systems.

Impact on Performance (Relationship of Increase to Strategic Goals)

The Secret Service enterprise information infrastructure must be securely managed and protected from any adversarial cyber threat to prevent negative impacts to its data confidentiality, availability, and integrity that directly supports both the protective and investigative missions. The Secret Service is in need of a comprehensive Certification

and Accreditation process and capabilities. These capabilities will benefit the Service by providing an environment in support of future spiral development and testing against implemented capability prior to integration and follow-on operational testing. This benefit will greatly reduce the operational risk of losing critical data and system performance with other DHS shared resources.

Without the full funding, the Secret Service will be unable to emulate the operational environment for integration testing of applications or systems being implemented including: interfaces, associated data, memory, processing power, and display. The Service will be unable to eliminate operational risk to existing production systems.

**Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Headquarters, management and administration
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: Cyber Security
PPA: Headquarters, management and administration
Program Increase: Positions 1.0, FTE 1.0, Dollars \$6000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	6,400
Program Increase							1	1	6,000
Total Request	-	-	-	-	-	6,400	1	1	12,400

Description of Item

The Cyber Security initiative improves and enhances the Secret Service’s data perimeter security, access and authentication mechanisms, real-time event logging, and Federal Information Security Act (FISMA) compliance. The Secret Service enterprise infrastructure must be securely managed and protected from cyber threats to ensure data reliability, availability, and integrity in support of protective and investigative missions.

Justification

The Cyber Security initiative will provide increased security capabilities across the core of the Secret Service infrastructure. By focusing on key external mandates and aligning critical information technology security infrastructure modernization activities, this investment continues to improve and enhance the Secret Service’s data perimeter security, access and authentication mechanisms, real-time event logging, and Federal Information Security Management Act (FISMA) compliance. The Secret Service enterprise infrastructure must be securely managed and protected from any adversarial cyber threat to prevent negative impacts to its data reliability, availability, and integrity that directly supports both the protective and investigative missions.

Impact on Performance (Relationship of Increase to Strategic Goals)

The lack of full funding of this investment would result in an extension of the project schedule and/or a reduced set of delivered quantitative and qualitative cyber security products. The inability to adequately secure Secret Service IT systems will impact the ability of the Service to succeed in both the protective and investigative missions.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Headquarters, management and administration
Justification of Program Changes
(Dollars in Thousands)

Program Increase 1: Database Architecture and Maintenance
PPA: Headquarters, management and administration
Program Increase: Positions 2.0, FTE 1.0, Dollars \$6000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	4,000
Program Increase							2	1	6,000
Total Request	-	-	-	-	-	4,000	2	1	10,000

Description of Item

The Database Architecture initiative provides the foundation for designing, implementing, and ensuring the integrity of the databases supporting all Secret Service protective, investigative, and administrative applications. This multi-year program includes modernization and transformation efforts to augment database infrastructure and tools to improve overall performance, reliability, and provide failover and disaster recovery capabilities.

Justification

This initiative will replace or upgrade existing, outdated database hardware and software components for enterprise-wide database systems and introduce high availability, fault tolerance, optimal performance, and scalability at all layers in the technology stack. The core database upgrade will provide the Secret Service with a robust infrastructure to handle growing data processing needs. The expanded infrastructure will have new database servers, new ETL (extract, transform, and load) servers, database and system monitoring tools, more storage to handle a growing volume of data for existing applications and newer data marts and Business Intelligence repositories.

The current hardware capacity to support any new applications and the increase in volume of data is very limited. The database server hardware is at the end of its lifecycle. This initiative will provide a much needed infusion of funding that will enable a rapid technology refresh of database systems to bring us to standards based, reliable, and supportable technologies that will enable and improve much needed capabilities in the

areas of data security, data quality, system failover, and disaster recovery. Funding will also allow the Database Architecture Branch of the Secret Service to augment its data competencies and tools to better facilitate information sharing capabilities across divisions and field offices within the agency and with the Department of Homeland Security and other external partners.

Impact on Performance (Relationship of Increase to Strategic Goals)

Achieving the commitments in the National Security Strategy (NSS) requires a fundamental change in the way Information Technology (IT) is provided and managed by the Secret Service. The Secret Service cannot transform its data operations to support the DHS Enterprise Data Management Directive 103.01 and the Homeland Security Act 2002 by merely maintaining and expanding the status quo. The Secret Service data environment is fragile and cannot sustain the tempo of current or future operational missions.

The existing hardware infrastructure is more than five years old and is prone to failures. The operating system software code is a couple of versions old and is soon expected to be no longer supported by the manufacturer. A loss of a server or a software component corruption would result in extended downtime and a potential loss of mission-critical data.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Headquarters, management and administration
Justification of Program Changes
(Dollars in Thousands)

Program Increase 1: Data Center Migration
PPA: Headquarters, management and administration
Program Increase: Positions 0.0, FTE 0.0, Dollars \$12600.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	-
Program Increase	-	-	-	-	-	-	-	-	12,600
Total Request	-	-	-	-	-	-	-	-	12,600

Description

FY 2011 data center development funding, to be managed through the DHS Working Capital Fund (WCF), will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2011. This includes:

- Discovery, migration planning, and scheduling activities specifically related to systems/applications that will transition to the DHS Data Centers in FY 2010
- Purchase of new equipment for placement in the DHS Data Centers as part of migration/transition efforts
- Installation of equipment racks at the DHS Data Centers
- Migration-related build-out of DHS Data Center infrastructure
- Transition of disaster recovery/backup/COOP (Continuity of Operations) capability to DHS Data Centers
- Installation of infrastructure support as part of system migrations at the DHS Data Centers
- Migration of USCIS hardware, systems/applications to occupy rack space at the DHS Data Centers.

Justification

The Data Center consolidation efforts will standardize IT resource acquisitions across DHS Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Department of Homeland Security
United States Secret Service
Justification of Proposed Changes in Salaries and Expenses
Appropriation Language

For necessary expenses of the United States Secret Service, including purchase of not to exceed 652 vehicles for police-type use, for replacement only, and hire of passenger motor vehicles; purchase of motorcycles made in the United States; hire of aircraft; services of expert witnesses at such rates as may be determined by the Director of the Secret Service; rental of buildings in the District of Columbia, and fencing, lighting, guard booths, and other facilities on private or other property not in Government ownership or control, as may be necessary to perform protective functions; payment of per diem or subsistence allowances to employees where a protective assignment during the actual day or days of the visit of a protectee requires an employee to work 16 hours per day or to remain overnight at a post of duty; conduct of and participation in firearms matches; presentation of awards; travel of United States Secret Service employees on protective missions without regard to the limitations on such expenditures in this or any other Act [if approval is obtained in advance from the Committees on Appropriations of the Senate and the House of Representatives]; research and development; grants to conduct behavioral research in support of protective research and operations; and payment in advance for commercial accommodations as may be necessary to perform protective functions; [\$1,478,669,000] \$1,567,642,000; of which not to exceed \$25,000 shall be for official reception and representation expenses; of which not to exceed \$100,000 shall be to provide technical assistance and equipment to foreign law enforcement organizations in counterfeit investigations; of which \$2,366,000 shall be for forensic and related support of investigations of missing and exploited children; and of which \$6,000,000 shall be for a grant for activities related to the investigations of missing and exploited children and shall remain available until expended: Provided, That up to \$18,000,000 provided for protective travel shall remain available until September 30, [2011] 2012: Provided further, That up to \$1,000,000 for National Special Security Events shall remain available until expended: Provided further, That the United States Secret Service is authorized to obligate funds in anticipation of reimbursements from Federal agencies and entities, as defined in section 105 of title 5, United States Code, receiving training sponsored by the James J. Rowley Training Center, except that total obligations at the end of the fiscal year shall not exceed total budgetary resources available under this heading at the end of the fiscal year: Provided further, That none of the funds made available under this heading shall be available to compensate any employee for overtime in an annual amount in excess of \$35,000, except that the Secretary of Homeland Security, or the designee of the Secretary, may waive that amount as necessary for national security purposes: Provided further, That none of the funds appropriated to the United States Secret Service by this Act or by previous appropriations

Acts may be made available for the protection of the head of a Federal agency other than the Secretary of Homeland Security: Provided further, That the Director of the United States Secret Service may enter into an agreement to perform such service on a fully reimbursable basis [: Provided further, That of the total amount made available under this heading, \$33,960,000, to remain available until expended, is for information technology modernization: Provided further, That none of the funds made available in the preceding proviso shall be obligated to purchase or install information technology equipment until the Chief Information Officer of the Department of Homeland Security submits a report to the Committees on Appropriations of the Senate and the House of Representatives certifying that all plans for such modernization are consistent with Department of Homeland Security data center migration and enterprise architecture requirements: Provided further, That none of the funds made available to the United States Secret Service by this Act or by previous appropriations acts may be obligated for the purpose of opening a new permanent domestic or overseas office or location unless the Committee on Appropriations of the Senate and the House of Representatives are notified 15 days in advance of such obligation]. (Department of Homeland Security Appropriations Act, [2010] 2011.)

Explanation of Changes

[\$1,478,669,000] \$1,567,642,000– No substantive changes proposed.

[2011] 2012 – No substantive changes proposed.

[: Provided further, That of the total amount made available under this heading, \$33,960,000, to remain available until expended, is for information technology modernization: Provided further, That none of the funds made available in the preceding proviso shall be obligated to purchase or install information technology equipment until the Chief Information Officer of the Department of Homeland Security submits a report to the Committees on Appropriations of the Senate and the House of Representatives certifying that all plans for such modernization are consistent with Department of Homeland Security data center migration and enterprise architecture requirements: Provided further, That none of the funds made available to the United States Secret Service by this Act or by previous appropriations acts may be obligated for the purpose of opening a new permanent domestic or overseas office or location unless the Committee on Appropriations of the Senate and the House of Representatives are notified 15 days in advance of such obligation] – Program increase in FY 2010 Enacted budget.

Authorization Cites

The Secret Service is established in 18 U.S.C. 3056 and 3 U.S.C. 202. 18 U.S.C. 1029 and 1030 specifically authorize the Service to investigate offenses under those sections.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	7,052	6,574	1,450,665
FY 2010 Enacted	7,057	7,055	1,478,669
Adjustments-to-Base	-	-	-
Transfers	-	-	-
2012 Campaign Labor Shift	24	24	3,867
Total Transfers	24	24	3,867
Increases	-	-	-
Annualization of FY 2010 Pay Raise	-	-	5,381
FY 2011 Pay Increase	-	-	14,100
Enhanced WH Protectees (3rd Year)	-	-	1,328
International Field Office (3rd Year)	-	-	190
President Bush Post-Presidency detail (3rd Year)	-	-	1,230
Cyber Crime	-	-	184
Information Integration and Transform (2nd Year)	-	2	198
Staffing from PL 111-8 (3rd year costs)	-	-	9,662
UD Modernization	-	-	8,000
White House Mail Equipment Replacement	-	-	2,900
Total Increases	-	2	43,173
Decreases	-	-	-
2012 Campaign Labor Shift	(2)	(2)	(387)
2012 Campaign Shift	(22)	(22)	(3,480)
Total Decreases	(24)	(24)	(3,867)
Total, Adjustments-to-Base	-	2	43,173
FY 2011 Current Services	7,057	7,057	1,521,842
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
WHCA Interoperability	-	-	15,000

Information Assurance	2	1	6,000
Cyber Security	1	1	6,000
Database Architecture and Maintenance	2	1	6,000
2012 Presidential Campaign	-	-	14,000
Reduction to staff provided by PL 111-8 (3rd year)	(46)	(46)	(9,600)
Reduction to primary limousine program	-	-	(3,200)
Data Center Migration	-	-	12,600
Reduction to domestic field offices	-	-	(4,000)
Upgrade to COLD Database	-	-	3,000
Total, Program Changes	(41)	(43)	45,800
FY 2011 Request	7,016	7,014	1,567,642
FY 2010 to FY 2011 Total Change	(41)	(41)	88,973

C. Summary of Requirements

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
 Summary of Requirements
 (Dollars in Thousands)

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	7,052	6,574	1,450,665
FY 2010 Enacted	7,057	7,055	1,478,669
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Transfers	24	24	3,867
Increases	-	2	43,173
Total, Adjustments-to-Base	24	26	47,040
FY 2011 Current Services	7,081	7,081	1,525,709
Program Changes	-	-	-
Total, Program Changes	(41)	(43)	45,800
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	7,016	7,014	1,567,642
Total Change 2010 to 2011	(41)	(41)	88,973

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Protection of persons and facilities	3,800	3,800	755,521	3,754	3,754	792,042	(46)	(46)	36,521	(46)	(46)	5,200	-	-	31,321
National Special Security Event Fund	-	-	1,000	-	-	1,000	-	-	-	-	-	-	-	-	-
Presidential candidate nominee protection	-	-	-	24	24	17,867	24	24	17,867	-	-	14,000	24	24	3,867
White House mail screening	-	-	22,415	-	-	25,315	-	-	2,900	-	-	-	-	-	2,900
Protective intelligence activities	535	535	67,824	535	535	68,914	-	-	1,090	-	-	-	-	-	1,090
Domestic field operations	1,705	1,705	260,892	1,683	1,683	257,412	(22)	(22)	(3,480)	-	-	(4,000)	(22)	(22)	520
International field office administration and operations	74	74	30,705	74	74	31,171	-	-	466	-	-	-	-	-	466
Electronic crimes special agent program and electronic crimes task forces	317	317	56,541	315	315	57,158	(2)	(2)	617	-	-	-	(2)	(2)	617
Forensic support and grants to NCMEC	20	20	8,366	20	20	8,366	-	-	-	-	-	-	-	-	-
Headquarters, management and administration	333	331	221,045	338	336	253,176	5	5	32,131	5	3	30,600	-	2	1,531
Rowley training center	273	273	54,360	273	273	55,221	-	-	861	-	-	-	-	-	861
Subtotal, Estimates Program Project Activity	7,057	7,055	1,478,669	7,016	7,014	1,567,642	(41)	(41)	88,973	(41)	(43)	45,800	-	2	43,173
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	7,057	7,055	1,478,669	7,016	7,014	1,567,642	(41)	(41)	88,973	(41)	(43)	45,800	-	2	43,173

D. Summary of Reimbursable Resources

**Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Summary of Reimbursable Resources
(Dollars in Thousands)**

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Department of Defense Army	-	-	21	-	-	300	-	-	300	-	-	-
Department of Defense, Air Force	-	-	14	-	-	200	-	-	200	-	-	-
Department of State	-	-	294	-	-	384	-	-	384	-	-	-
Department of Treasury, DAIP	7	7	11,490	6	6	24,580	6	6	6,690	-	-	(17,890)
Navy (Group 1)	-	-	2	-	-	25	-	-	25	-	-	-
Navy (Group 2)	-	-	3	-	-	35	-	-	35	-	-	-
US Trade Representative	-	-	8	-	-	2	-	-	2	-	-	-
White House Office	-	-	84	-	-	-	-	-	-	-	-	-
Department of Homeland Security	-	-	5,207	-	-	4,801	-	-	4,801	-	-	-
Total Budgetary Resources	7	7	17,123	6	6	30,327	6	6	12,437	-	-	(17,890)

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
Domestic field operations	-	-	10,612	-	-	23,317	-	-	5,427	-	-	(17,890)
Electronic crimes special agent program and electronic crimes task forces	-	-	3,915	-	-	4,000	-	-	-	-	-	(4,000)
International field office administration, operations and training	-	-	294	-	-	384	-	-	384	-	-	-
Protection of persons and facilities	7	7	1,788	6	6	2,560	6	6	2,560	-	-	-
Rowley Training Center	-	-	514	-	-	66	-	-	4,066	-	-	4,000
Total Obligations	7	7	17,123	6	6	30,327	6	6	12,437	-	-	(17,890)

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	717,461	736,825	771,874	35,049
12.1 Benefits	285,694	305,516	299,754	(5,762)
13.0 Unemployment Compensation	22	-	-	-
21.0 Travel	116,864	98,973	100,495	1,522
22.0 Transportation of things	7,683	7,279	7,284	5
23.1 GSA rent	78,315	83,108	83,128	20
23.2 Other rent	3,481	905	905	-
23.3 Communications, utilities, and misc. charges	28,312	27,418	29,526	2,108
24.0 Printing	1,054	702	713	11
25.0 Other services	131,432	128,349	155,905	27,556
26.0 Supplies and materials	15,901	18,942	18,806	(136)
31.0 Equipment	46,888	52,311	80,911	28,600
32.0 Land & structures	11,023	12,241	12,241	-
41.0 Grants/Subsidies/Contributions	6,000	6,000	6,000	-
42.0 Insurance Claims and Indemnity	535	100	100	-
Total, Object Class	1,450,665	1,478,669	1,567,642	88,973
Unobligated no-year balances returned	1,192	-	-	-
Unobligated Balance, start of year	(13,230)	-	-	-
Unobligated Balance, end of year	58,398	-	-	-
Recoveries of Prior Year Obligations	(2,490)	-	-	-
Total, Adjustments	43,870	-	-	-
Total, Direct Obligations	1,494,535	1,478,669	1,567,642	88,973

F. Permanent Positions by Grade

Department of Homeland Security U.S. Secret Service Salaries & Expenses Permanent Positions by Grade

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	50	50	50	-
GS-15	211	197	197	-
GS-14	604	596	596	-
GS-13	2,621	2,512	2,510	(2)
GS-12	453	491	488	(3)
GS-11	348	409	403	(6)
GS-10	62	62	62	-
GS-9	224	450	447	(3)
GS-8	174	210	190	(20)
GS-7	100	140	136	(4)
GS-6	40	42	42	-
GS-5	57	59	56	(3)
GS-4	82	83	83	-
GS-3	19	17	17	-
GS-2	11	10	10	-
GS-1	7	7	7	-
Unfilled Positions	233	-	-	-
Ungraded Positions	1,756	1,722	1,722	-
Total Permanent Positions	7,052	7,057	7,016	(41)
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
Full Time Equivalents	6,574	7,055	7,014	(41)
Headquarters	4,321	4,317	4,302	(15)
U.S. Field	2,649	2,658	2,632	(26)
Foreign Field	82	82	82	-
Total, Location	7,052	7,057	7,016	(41)
Average ES Salary	160,639	163,611	165,942	2,331
Average GS Salary	85,511	87,093	88,334	1,241
Average Grade	12	12	12	0

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Protection of persons and facilities
Funding Schedule
(Dollars in Thousands)**

PPA: Protection of persons and facilities	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	400,675	424,607	455,331	30,724
12.1 Benefits	160,339	182,058	173,055	(9,003)
13.0 Unemployment Compensation	22	-	-	-
21.0 Travel	69,324	61,703	61,703	-
22.0 Transportation of things	2,535	1,423	1,423	-
23.1 GSA rent	32,188	31,020	31,020	-
23.3 Communications, utilities, and misc. charges	15,884	11,809	13,909	2,100
24.0 Printing	157	76	76	-
25.0 Other services	29,672	15,777	20,477	4,700
26.0 Supplies and materials	6,834	7,001	7,001	-
31.0 Equipment	22,110	15,978	23,978	8,000
32.0 Land & structures	2,977	4,003	4,003	-
42.0 Insurance Claims and Indemnity	61	66	66	-
Total, Object Class	742,778	755,521	792,042	36,521
Total, Protection of persons and facilities	742,778	755,521	792,042	36,521
Full Time Equivalents	3,398	3,800	3,754	(46)

PPA Mission Statement

Protection of Persons and Facilities - Ensure the safety and security of national leaders, visiting heads of state and government and other designated protectees. Safeguard the White House Complex, the Vice President's residence, foreign missions in the Washington, DC area and other high profile sites.

Protection resources directly support the DHS strategic goal to protect critical infrastructure, which includes our nation's leaders, other high profile persons and designated sites. The Service ensures protectees' physical protection at all times. Protection includes all activities related to identifying threats, mitigating vulnerabilities and creating secure environments wherever protectees work, reside and travel. The requested amount addresses strategic challenges which include terrorists' sustained motivation to attack U.S. interests (including its leaders), and the increasing complexity and technological sophistication of the threat environment.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	400,675	424,607	455,331	30,724

Salaries and benefits includes funding for 3,754 FTE, including \$1,328,000 for full performance costs associated with 27 positions hired in FY 2009 for enhanced protection for White House protectees,

\$9,662,000 and 46 FTE for the increased level of staffing initially funded in FY 2009 by P.L. 111-8, and \$1,230,000 for full performance costs associated with 103 positions hired in FY 2009 to staff the President Bush post-presidency detail. The FY 2011 request also includes a reduction of (\$9,600,000) and (46) FTE to the increased level of staffing initially funded in FY 2009 with P.L. 111-8, \$8,000,000 for Uniformed Division modernization, \$3,066,000 for annualization of the FY 2010 pay raise, an increase of \$8,035,000 to cover increased payroll costs, and an object class realignment between salaries and benefits.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	160,339	182,058	173,055	(9,003)

See description in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	22	-	-	-

Benefits for former officers and employees or their survivors that are based (at least in part) on the length of service to the Federal Government.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	69,324	61,703	61,703	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	2,535	1,423	1,423	-

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	32,188	31,020	31,020	-

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	15,884	11,809	13,909	2,100

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request includes \$2,100,000 to support White House Communications Agency (WHCA) Interoperability.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	157	76	76	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other federal entities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.0 Other Services	29,672	15,777	20,477	4,700

Other services include contractual services from federal and non-federal sources. The FY 2011 request includes \$1,700,000 to support White House Communications Agency (WHCA) Interoperability and \$3,000,000 for the Combined Operations Logistics Database (COLD).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	6,834	7,001	7,001	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	22,110	15,978	23,978	8,000

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes a reduction of (\$3,200,000) to the presidential primary limousine program and \$11,200,000 to support White House Communications Agency (WHCA) Interoperability.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	2,977	4,003	4,003	-

Land and structures includes the costs of land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	61	66	66	-

Insurance claims and indemnities include payments for losses and claims including those under the Equal Access to Justice Act.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
National Special Security Event Fund
Funding Schedule
(Dollars in Thousands)

PPA: National Special Security Event Fund	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,389	300	300	-
21.0 Travel	2,713	700	700	-
23.3 Communications, utilities, and misc. charges	2,509	-	-	-
Total, Object Class	6,611	1,000	1,000	-
Total, National Special Security Event Fund	6,611	1,000	1,000	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

National Special Security Events - Effectively lead and manage the planning, coordination and implementation of operational security plans at designated NSSEs. Ensure the physical protection of the President, the public, and other Secret Service protectees who participate in NSSEs.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,389	300	300	-

Salaries and benefits includes funding to cover overtime payments to provide security at National Special Security Events.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	-	-	-	-

See above description in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	2,713	700	700	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	2,509	-	-	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Presidential candidate nominee protection
Funding Schedule
(Dollars in Thousands)

PPA: Presidential candidate nominee protection	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	18,410	-	2,809	2,809
12.1 Benefits	6,367	-	1,058	1,058
21.0 Travel	16,592	-	1,066	1,066
22.0 Transportation of things	232	-	5	5
23.3 Communications, utilities, and misc. charges	1,676	-	-	-
24.0 Printing	14	-	11	11
25.0 Other services	1,928	-	939	939
26.0 Supplies and materials	198	-	361	361
31.0 Equipment	751	-	11,618	11,618
42.0 Insurance Claims and Indemnity	14	-	-	-
Total, Object Class	46,182	-	17,867	17,867
Total, Presidential candidate nominee protection	46,182	-	17,867	17,867
Full Time Equivalents	125	-	24	24

PPA Mission Statement

Presidential Candidate Nominee Protection - Ensure the safety and security of Presidential and Vice Presidential candidates, nominees and spouses.

Protection resources directly support the DHS strategic goal to protect critical infrastructure, which includes candidates seeking our nation's highest offices. The Service ensures protectees' physical protection at all times. Protection includes all activities related to identifying threats, mitigating vulnerabilities and creating secure environments wherever protectees work, reside and travel. The requested amount addresses strategic challenges which include terrorists' sustained motivation to attack U.S. interests (including its leaders), and the increasing technological sophistication of the threat environment.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	18,410	-	2,809	2,809

Salaries and benefits includes funding for 24 FTE. The FY2011 request includes a resource shift of \$3,480,000 and 22 FTE from domestic field operations and \$387 and 2 FTE from ECSAP/ECTF.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	6,367	-	1,058	1,058

See description above in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	16,592	-	1,066	1,066

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations. The FY 2011 request includes \$1,066,000 for the FY 2012 Presidential Campaign.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	232	-	5	5

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things. The FY 2011 request includes \$5,000 for the FY 2012 Presidential Campaign.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	-	-	-	-

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	-	-	-	-

Other rent includes all payments to a non-federal source for rental of space, land, and structures.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	1,676	-	-	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	14	-	11	11

Printing includes all costs for printing and reproduction obtained from the private sector or from other federal entities. The FY 2011 request includes \$11,000 for the FY 2012 Presidential Campaign.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.0 Other Services	1,928	-	939	939

Other services include contractual services with federal and non-federal sources. The FY 2011 request includes \$939,000 for the FY 2012 Presidential Campaign.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	198	-	361	361

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes \$361,000 for the FY 2012 Presidential Campaign.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	751	-	11,618	11,618

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes \$11,618,000 for the FY 2012 Presidential Campaign.

**Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
White House mail screening
Funding Schedule
(Dollars in Thousands)**

PPA: White House mail screening	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 GSA rent	-	6,214	6,214	-
25.0 Other services	27,632	16,201	16,201	-
31.0 Equipment	-	-	2,900	2,900
Total, Object Class	27,632	22,415	25,315	2,900
Total, White House mail screening	27,632	22,415	25,315	2,900
Full Time Equivalents	-	-	-	-

PPA Mission Statement

White House Mail Screening - Screen White House mail to ensure it is free of harmful toxins or other dangerous materials.

White House mail screening resources directly support the DHS strategic goal to protect critical infrastructure, which includes measures ensuring the safety and security of the White House Complex and persons who reside and/or work within it.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	-	6,214	6,214	-

GSA Rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.0 Other Services	27,632	16,201	16,201	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes a increase of \$2,900,000 for equipment to support White House mail screening.

**Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Domestic field operations
Funding Schedule
(Dollars in Thousands)**

PPA: Domestic field operations	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	140,194	148,587	148,251	(336)
12.1 Benefits	55,976	60,227	59,451	(776)
21.0 Travel	5,376	10,914	10,863	(51)
22.0 Transportation of things	437	42	42	-
23.1 GSA rent	25,069	24,092	24,092	-
23.3 Communications, utilities, and misc. charges	394	320	320	-
24.0 Printing	2	7	7	-
25.0 Other services	5,108	8,456	7,133	(1,323)
26.0 Supplies and materials	2,257	3,680	3,180	(500)
31.0 Equipment	1,261	2,047	1,553	(494)
32.0 Land & structures	1,406	2,520	2,520	-
Total, Object Class	237,480	260,892	257,412	(3,480)
Total, Domestic field operations	237,480	260,892	257,412	(3,480)
Full Time Equivalents	1,504	1,705	1,683	(22)

PPA Mission Statement

Domestic Field Operations - Investigate violations of laws relating to counterfeiting of obligations and securities of the United States; investigate financial crimes that include, but are not limited to, financial institution fraud, identity theft, access device fraud, and money laundering.

Domestic field office resources directly support the DHS strategic goal to protect critical infrastructure, which includes protecting our nation's currency and financial systems within our borders. The requested amount funds field offices nationwide in a strategic context that includes advances in photographic and printing device technologies and the spread of the internet and other consumer-friendly technologies. These developments both facilitate electronic commerce and increase the scope and complexity of financial crimes. As criminal exploitation of available technologies increases, field resources must continue to demonstrate agility in combating criminal efforts.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	140,194	148,587	148,251	(336)

Salaries and benefits includes funding for 1,683 FTE. The FY 2011 request includes a resource shift of (\$3,480,000) and (22) FTE to Presidential Candidate/Nominee Protection for the 2012 Presidential Campaign, \$1,105,000 for the annualization of the FY 2010 pay raise, and an increase of \$2,895,000 to cover increased payroll costs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	55,976	60,227	59,451	(776)

See description above 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	5,376	10,914	10,863	(51)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	437	42	42	-

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	25,069	24,092	24,092	-

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services. The FY 2011 request includes a reduction of (\$4,000,000) for field office consolidation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	394	320	320	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	2	7	7	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.0 Other Services	5,108	8,456	7,133	(1,323)

Other services include contractual services with federal and non-federal sources.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	2,257	3,680	3,180	(500)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	1,261	2,047	1,553	(494)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	1,406	2,520	2,520	-

Land and structures includes the costs of land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
International field office administration and operations
Funding Schedule
(Dollars in Thousands)

PPA: International field office administration and operations	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	7,273	7,672	7,692	20
12.1 Benefits	5,447	5,570	6,016	446
21.0 Travel	2,461	2,428	2,428	-
22.0 Transportation of things	297	143	143	-
23.1 GSA rent	-	421	421	-
23.2 Other rent	3,481	905	905	-
23.3 Communications, utilities, and misc. charges	489	1,888	1,888	-
25.0 Other services	9,307	10,995	10,995	-
26.0 Supplies and materials	267	223	223	-
31.0 Equipment	466	311	311	-
32.0 Land & structures	-	149	149	-
Total, Object Class	29,488	30,705	31,171	466
Total, International field office administration and operations	29,488	30,705	31,171	466
Full Time Equivalents	79	74	74	-

PPA Mission Statement

International Field Office Administration and Operations - Provide a comprehensive, internationally-coordinated response to threats to the integrity of U.S. currency and other transnational financial crimes.

International field office administration and operations resources directly support the DHS strategic goal to protect critical infrastructure, which includes protecting our nation's currency and financial systems from threats originating abroad. The requested amount funds field offices in 18 countries in a strategic context that includes advances in photographic and printing device technologies and the worldwide spread of the internet, other consumer-friendly technologies and dollarization (when a developing county replaces its national currency with the U.S. dollar). These developments both facilitate electronic commerce and increase the scope and complexity of financial crimes. As criminal exploitation of available technologies and practices increases, field resources must continue to demonstrate agility in combating criminal efforts.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	7,273	7,672	7,692	20

Salaries and benefits includes funding for 74 FTE. The FY 2011 request includes \$190,000 to for full performance costs associated with four positions hired in FY 2009, an increase of \$200,000 to cover increased payroll costs, and \$76,000 for annualization of the FY 2010 pay raise.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	5,447	5,570	6,016	446

See description above 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	2,461	2,428	2,428	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	297	143	143	-

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	-	421	421	-

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	3,481	905	905	-

Other rent includes all payments to a non-federal source for rental of space, land, and structures.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	489	1,888	1,888	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.0 Other Services	9,307	10,995	10,995	-

Other services include contractual services with federal and non-federal sources.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	267	223	223	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	466	311	311	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	-	149	149	-

Land and structures includes the costs of land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Electronic crimes special agent program and electronic crimes task forces
Funding Schedule
(Dollars in Thousands)

PPA: Electronic crimes special agent program and electronic crimes task forces	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	28,763	30,520	30,893	373
12.1 Benefits	11,249	12,488	12,732	244
21.0 Travel	1,124	1,534	1,534	-
22.0 Transportation of things	311	152	152	-
23.1 GSA rent	585	4,720	4,720	-
23.3 Communications, utilities, and misc. charges	798	106	106	-
24.0 Printing	30	33	33	-
25.0 Other services	3,345	2,628	2,628	-
26.0 Supplies and materials	1,080	1,047	1,047	-
31.0 Equipment	3,681	3,022	3,022	-
32.0 Land & structures	5	291	291	-
Total, Object Class	50,971	56,541	57,158	617
Total, Electronic crimes special agent program and electronic crimes task forces	50,971	56,541	57,158	617
Full Time Equivalents	301	317	315	(2)

PPA Mission Statement

Electronic Crimes Special Agent Program (ECSAP) - Develop and deploy personnel trained specifically to detect network intrusions and conduct examinations on all types of electronic evidence, including computers, personal data assistants, telecommunications devices, electronic organizers, scanners, and other electronic equipment, to investigate complex electronic crimes and develop strong cases for prosecution. Electronic Crimes Task Forces (ECTFs) - Form and expand partnerships to reinforce strategic alliances among law enforcement, academia and private industry to prevent, detect, investigate and mitigate the effects of electronic crimes on our nation's financial infrastructure.

ECSAP and ECTF resources directly support the DHS strategic goal to protect critical infrastructure, which includes reducing losses resulting from electronic crimes perpetrated against our nation's financial infrastructure. The ECSAP and ECTFs combat those who seek to defraud U.S. financial institutions, private industry or individuals through electronic or digital means. The requested amount funds the ECSAP and ECTF entities in a strategic context that includes advances in photographic and printing device technologies and the worldwide spread of the internet and other consumer-friendly technologies. These developments both facilitate electronic commerce and increase the scope and complexity of financial crimes. As criminal exploitation of available technologies and practices increases, the ECSAP and ECTF ensure the Service remains on the cutting edge of electronic crime investigations, and that it maintains liaisons with critical partners and stakeholders.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	28,763	30,520	30,893	373

Salaries and benefits includes funding for 315 FTE. The FY 2011 request includes \$184,000 for full performance costs associated with three positions hired in FY 2009, a resource shift of (\$386,000) and (2) FTE to Presidential Candidate/Nominee Protection for the 2012 Presidential Campaign, \$226,000 for the annualization of the FY 2010 pay raise, and an increase of \$593,000 to cover increased payroll costs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	11,249	12,488	12,732	244

See description above 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	1,124	1,534	1,534	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	311	152	152	-

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	585	4,720	4,720	-

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	798	106	106	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	30	33	33	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.0 Other Services	3,345	2,628	2,628	-

Other services include contractual services with federal and non-federal sources.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,080	1,047	1,047	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	3,681	3,022	3,022	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	5	291	291	-

Land and structures includes the costs of land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Forensic support and grants to NCMEC
Funding Schedule
(Dollars in Thousands)

PPA: Forensic support and grants to NCMEC	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,300	1,300	1,300	-
12.1 Benefits	777	777	777	-
22.0 Transportation of things	3	3	3	-
25.0 Other services	25	27	27	-
26.0 Supplies and materials	50	44	44	-
31.0 Equipment	202	215	215	-
41.0 Grants/Subsidies/Contributions	6,000	6,000	6,000	-
Total, Object Class	8,357	8,366	8,366	-
Total, Forensic support and grants to NCMEC	8,357	8,366	8,366	-
Full Time Equivalents	20	20	20	-

PPA Mission Statement

Support for Missing and Exploited Children - Provides grant funding and forensic support for cases involving missing and exploited children. Forensic support includes polygraph examinations, handwriting examinations, voiceprint comparisons, audio and video enhancements, age progressions/regressions, and fingerprint research and identification.

Funding provides state of the art forensics support for investigations involving missing and exploited children and grant funds. In a strategic context characterized by predators determined to abuse the nation's children, the Secret Service's technologies provide critical support to associated investigations.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,300	1,300	1,300	-

Salaries and benefits includes funding for 20 FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	777	777	777	-

See description above 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	3	3	3	-

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.0 Other Services	25	27	27	-

Other services include contractual services with federal and non-federal sources.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	50	44	44	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	202	215	215	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	6,000	6,000	6,000	-

Grants/subsidies/contributions includes cash payments to states, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings or projects.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Headquarters, management and administration
Funding Schedule
(Dollars in Thousands)

PPA: Headquarters, management and administration	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	42,463	51,352	51,689	337
12.1 Benefits	18,613	18,086	19,526	1,440
21.0 Travel	12,680	14,531	15,038	507
22.0 Transportation of things	3,719	5,452	5,452	-
23.1 GSA rent	19,208	8,630	8,650	20
23.3 Communications, utilities, and misc. charges	6,200	11,982	11,990	8
24.0 Printing	848	563	563	-
25.0 Other services	50,904	70,609	93,849	23,240
26.0 Supplies and materials	3,494	4,961	4,964	3
31.0 Equipment	17,177	29,643	36,219	6,576
32.0 Land & structures	5,974	5,202	5,202	-
42.0 Insurance Claims and Indemnity	459	34	34	-
Total, Object Class	181,739	221,045	253,176	32,131
Total, Headquarters, management and administration	181,739	221,045	253,176	32,131
Full Time Equivalents	353	331	336	5

PPA Mission Statement

Headquarters, Management and Administration - Support and sustain operational success through progressive planning and performance in the areas of science and technology, organizational effectiveness, professional responsibility, stewardship of resources, and communication.

Headquarters, management and administration resources support the DHS strategic goal to protect critical infrastructure by enhancing the Service's administrative, professional, and technical infrastructure as well as the management systems and processes. In a strategic context of heightened threat, the Service must ensure that its business processes promote and strengthen the investigative and protective missions.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	42,463	51,352	51,689	337

Salaries and benefits includes funding for 336 FTE. The FY 2011 request includes \$198,000 for 2nd year annualized costs associated with 5 positions hired in FY 2010 for information integration and transformation, \$368,000 for annualization of the FY 2011 pay raise, \$965,000 to cover increased payroll costs, and \$246,000 for 5 positions to be hired to support information integration and transformation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	18,613	18,086	19,526	1,440

See description above 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	12,680	14,531	15,038	507

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations. The FY 2011 request includes \$507,000 for costs associated with positions to be hired to support information integration and transformation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	3,719	5,452	5,452	-

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	19,208	8,630	8,650	20

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services. The FY 2011 request includes \$20,000 for costs associated with positions to be hired to support information integration and transformation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	6,200	11,982	11,990	8

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request includes \$8,000 for costs associated with positions to be hired to support information integration and transformation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	848	563	563	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.0 Other Services	50,904	70,609	93,849	23,240

Other services include contractual services with federal and non-federal sources. The FY 2011 request includes \$10,640,000 for costs associated with supporting information integration and transformation and \$12,600,000 for data center consolidation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	3,494	4,961	4,964	3

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes \$3,000 for costs associated with positions to be hired to support information integration and transformation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	17,177	29,643	36,219	6,576

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes \$6,576,000 for costs associated with supporting information integration and transformation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	5,974	5,202	5,202	-

Land and structures includes the costs of land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	459	34	34	-

Insurance claims and indemnities include payments for losses and claims including those under the Equal Access to Justice Act.

**Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Training
Rowley training center
Funding Schedule
(Dollars in Thousands)**

PPA: Rowley training center	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	31,624	29,781	30,035	254
12.1 Benefits	10,216	10,560	11,167	607
21.0 Travel	6,515	6,667	6,667	-
22.0 Transportation of things	129	54	54	-
23.1 GSA rent	542	1,214	1,214	-
23.3 Communications, utilities, and misc. charges	35	882	882	-
24.0 Printing	1	2	2	-
25.0 Other services	3,012	2,940	2,940	-
26.0 Supplies and materials	1,292	1,314	1,314	-
31.0 Equipment	1,135	912	912	-
32.0 Land & structures	605	34	34	-
42.0 Insurance Claims and Indemnity	1	-	-	-
Total, Object Class	55,107	54,360	55,221	861
Total, Rowley training center	55,107	54,360	55,221	861
Full Time Equivalents	263	273	273	-

PPA Mission Statement

Rowley Training Center - Strengthen the agency's ability to develop and retain a highly specialized and dedicated workforce to fulfill mission-critical requirements.

Rowley Training Center resources support the DHS strategic goal to protect critical infrastructure by ensuring the USSS workforce is continuously prepared to meet the challenges of the investigative and protective missions. The requested amount will ensure that the Service's most important resource - its employees - have the knowledge and skills and abilities to execute the investigative and protective missions. In a strategic context of threat, the Service must ensure that its workforce planning and development practices outpace the threat environment.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	31,624	29,781	30,035	254

Salaries and benefits includes funding for 273 FTE. The FY 2011 request includes an increase of \$623,000 to cover increased payroll costs and \$238,000 for the annualization of the FY 2010 pay raise.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	10,216	10,560	11,167	607

See description above 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	6,515	6,667	6,667	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	129	54	54	-

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	542	1,214	1,214	-

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	35	882	882	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	1	2	2	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other federal entities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,292	1,314	1,314	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	1,135	912	912	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	605	34	34	-

Land and structures includes the costs of land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract.

Department of Homeland Security
U.S. Secret Service
Salaries & Expenses
Protective intelligence activities
Funding Schedule
(Dollars in Thousands)

PPA: Protective intelligence activities	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	45,370	42,706	43,574	868
12.1 Benefits	16,710	15,750	15,972	222
21.0 Travel	79	496	496	-
22.0 Transportation of things	20	10	10	-
23.1 GSA rent	723	6,797	6,797	-
23.3 Communications, utilities, and misc. charges	327	431	431	-
24.0 Printing	2	21	21	-
25.0 Other services	499	716	716	-
26.0 Supplies and materials	429	672	672	-
31.0 Equipment	105	183	183	-
32.0 Land & structures	56	42	42	-
Total, Object Class	64,320	67,824	68,914	1,090
Total, Protective intelligence activities	64,320	67,824	68,914	1,090
Full Time Equivalents	531	535	535	-

PPA Mission Statement

Protective Intelligence Activities - Ensure protective intelligence processes, policies and systems provide quality information and services to securely and efficiently support the protective mission by investigating subjects (individuals or groups) and activities that pose threats to protectees and protected events.

Protective intelligence activities resources directly support the DHS strategic goal to protect critical infrastructure, which includes proactively leveraging advances in the behavioral and technological sciences in order to minimize the risk of harm to persons, property and events under Secret Service protection. The requested amount funds these activities in a strategic environment characterized by terrorists' sustained motivation to attack these targets, and by the increasing complexity and technological sophistication of the threat environment.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	45,370	42,706	43,574	868

Salaries and benefits includes funding for 535 FTE. The FY 2011 request includes an increase of \$789,000 to cover increased payroll costs and \$301,000 for the annualization of the FY 2010 pay raise.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	16,710	15,750	15,972	222

See above description in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	79	496	496	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	20	10	10	-

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	723	6,797	6,797	-

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	327	431	431	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	2	21	21	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.0 Other Services	499	716	716	-

Other services include contractual services with federal and non-federal sources.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	429	672	672	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	105	183	183	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	56	42	42	-

Land and structures includes the costs of land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract.

I. Changes in Full Time Equivalent

Department of Homeland Security U.S. Secret Service Salaries & Expenses Changes in Full Time Equivalent

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	6,806	6,806	7,055
INCREASES	-	-	-
Downward adjustment based on actuals	31	-	-
Upward adjustment based on actuals	40	-	-
Upward adjustment based on actuals	5	-	-
Increases	76	-	-
Campaign Labor Shift	-	120	-
Enhanced White House Protectees(2nd Year)	-	13	-
IFO (2nd Year)	-	1	-
Bush Detail (2nd Year)	-	17	-
Cyber Crime (2nd Year)	-	2	-
Omnibus Annualization	-	213	-
Information Integration and Transformation	-	3	-
2012 Campaign Labor Shift	-	-	24
Information Assurance	-	-	1
Cyber Security	-	-	1
Database Architecture and Maintenance	-	-	1
Information Integration and Transform (2nd Year)	-	-	2
Subtotal, Increases	76	369	29
DECREASES	-	-	-
Downward adjustment based on actuals	(308)	-	-
Decreases	(308)	-	-
Campaign Labor Shift	-	(120)	-
2012 Campaign Labor Shift	-	-	(2)
2012 Campaign Shift	-	-	(22)
Reduction to staff provided by PL 111-8 (3rd year)	-	-	(46)
Subtotal, Decreases	(308)	(120)	(70)
Year End Actual / Estimated FTEs:	6,574	7,055	7,014
Net Change from prior year base to Budget Year Estimate:	(232)	249	(41)

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
U.S. Secret Service
Salaries & Expenses**

**FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Domestic field operations	624	734	394	(340)
Electronic crimes special agent program and electronic crimes task forces	110	137	80	(57)
Headquarters Management and Administration	2,692	2,365	12,648	10,283
International field office administration, operations and training	54	70	49	(21)
Protection of persons and facilities	1,821	2,471	1,798	(673)
Protective intelligence activities	136	173	103	(70)
Rowley Training Center	358	418	368	(50)
Support for missing and exploited children	20	26	15	(11)
Total Working Capital Fund	5,815	6,394	15,455	9,061

Department of Homeland Security
U.S. Secret Service
Acquisition, Construction, Improvements, and Related Expenses



Fiscal Year 2011
Congressional Budget Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Acquisition, Construction, Improvements, and Related Expenses

I. Appropriation Overview

A – Mission Statement for Acquisition, Construction, Improvements, and Related Expenses

The United States Secret Service performs two critical homeland security missions: protection and criminal investigations. The Secret Service protects the President and Vice President, their families, visiting heads-of-state/government, and other designated individuals, such as the Secretary of Homeland Security; investigates threats against these protectees; protects the White House, Vice President’s Residence, foreign missions, and other designated buildings within the Washington, D.C. area; and designs, coordinates, and implements operational security plans for designated National Special Security Events. The Secret Service investigates violations of laws relating to: counterfeiting of obligations and securities of the United States; financial crimes such as access device fraud, financial institution fraud, identity theft, and computer fraud; and to crimes involving computer-based attacks on our nation’s financial, banking, and telecommunications infrastructure. In order to accomplish both its protective and investigative missions, the Secret Service has offices located throughout the United States and in 18 foreign countries. The employees of the Secret Service are special agents, uniformed officers, and support personnel.

B – Budget Activities:

James J. Rowley Training Center (JJRTC)

The Acquisition, Construction, Improvements, and Related Expenses account is used to maintain the Service’s JJRTC which provides the protection and criminal investigation training required to meet the needs of the Service’s dual mission.

C – Budget Request Summary:

The U.S. Secret Service requests \$3,975,000 (0 FTE) to maintain the JJRTC located in Beltsville, Maryland; this reflects no funding change from the FY 2010 Enacted budget level.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U.S. Secret Service
Acquisition, Construction, Improvements, and Related Expenses
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Acquisition, Construction, Improvements, and Related Expenses	-	6,257	-	3,975	-	3,975	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	-	6,257	-	3,975	-	3,975	-	-	-	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	-	6,257	-	3,975	-	3,975	-	-	-	-	-	-

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Secret Service
Acquisition, Construction, Improvements, and Related Expenses
Program Performance Justification
(Dollars in Thousands)**

PPA: Acquisition, construction, improvements & expenses (Rowley Training Ctr):

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	-	-	6,257
2010 Enacted	-	-	3,975
2011 Current Services	-	-	3,975
2011 Total Request	-	-	3,975
Total Change 2010 to 2011	-	-	-

The United States Secret Service requests \$3.975 million (0 FTE) for this activity. This reflects no funding change from the FY 2010 Enacted budget level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Acquisition, Construction, Improvements, and Related Expenses account is used to maintain the JJRTC. This facility provides the protection and criminal investigation training required to meet the needs of the Service's dual mission.

Significant accomplishments in FY 2009 include the following:

- Completion of the Wilson Building and Tactical Village renovations.
- Conversion of the Merletti Building computer classroom and boiler replacement; installation of the Knight Building sprinkler/fire alarm system; and waterproofing of the Wilkie Building.
- Initiated the process of the Knight Building chiller replacement, repairs to the Merletti and Bowron Buildings (caulk masonry joints, weather stripping, gutters, fascia, and soffits), and campus-wide transformer replacements.

Significant planned accomplishments in FY 2010 include the following:

- Continue the replacement of the Baughman outdoor range roof and campus-wide ARC flash study, analysis, and correction upgrades.

- Continue the replacement of campus-wide HVAC/building management systems, emergency generators, lightning protection systems, surge suppression systems, street lighting, and perimeter fence.
- Continue Protective Obstacle Driving Course Pad repaving project and repairs to campus sewage lines and water tower.

Significant planned accomplishments in FY 2011 include the following:

- Continue to maintain the facilities and grounds at the James J. Rowley Training Center.

IV. Program Justification Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
United States Secret Service
Justification of Proposed Changes in
Acquisition, Construction, Improvements, and Related Expenses
Appropriation Language**

For necessary expenses for acquisition, construction, repair, alteration, and improvement of facilities, [\$3,975,000] **\$3,975,000**, to remain available until expended.

Explanation of Changes

No substantive changes.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
U.S. Secret Service
Acquisition, Construction, Improvements, and Related Expenses
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	-	-	6,257
FY 2010 Enacted	-	-	3,975
Adjustments-to-Base	-	-	-
FY 2011 Current Services	-	-	3,975
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	-	-	3,975
FY 2010 to FY 2011 Total Change	-	-	-

C. Summary of Requirements

**Department of Homeland Security
U.S. Secret Service
Acquisition, Construction, Improvements, and Related Expenses
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	-	-	6,257
FY 2010 Enacted	-	-	3,975
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
FY 2011 Current Services	-	-	3,975
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	-	-	3,975
Total Change 2010 to 2011	-	-	-

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Acquisition, Construction, Improvements, and Related Expenses	-	-	3,975	-	-	3,975	-	-	-	-	-	-	-	-	-
Subtotal, Estimates Program Project Activity	-	-	3,975	-	-	3,975	-	-	-	-	-	-	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
et, Estimates Program Project Activity:	-	-	3,975	-	-	3,975	-	-	-	-	-	-	-	-	-

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Secret Service
Acquisition, Construction, Improvements, and Related Expenses
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	5,210	14,500	2,928	(11,572)
26.0 Supplies and materials	38	38	38	-
31.0 Equipment	35	35	35	-
32.0 Land & structures	974	974	974	-
Total, Object Class	6,257	15,547	3,975	(11,572)
Unobligated Balance, end of year	11,572	-	-	-
Unobligated Balance, start of year	(874)	(11,572)	-	11,572
Total, Adjustments	10,698	(11,572)	-	11,572
Total, Direct Obligations	16,955	3,975	3,975	-

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

Department of Homeland Security
U.S. Secret Service
Acquisition, Construction, Improvements, and Related Expenses
 Funding Schedule
 (Dollars in Thousands)

PPA: Acquisition, construction, improvements & expenses (Rowley Training Ctr):	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	5,210	14,500	2,928	(11,572)
26.0 Supplies and materials	38	38	38	-
31.0 Equipment	35	35	35	-
32.0 Land & structures	974	974	974	-
Total, Object Class	6,257	15,547	3,975	(11,572)
Unobligated Balance, end of year	11,572	-	-	-
Unobligated Balance, start of year	(874)	(11,572)	-	11,572
Total, Adjustments	10,698	(11,572)	-	11,572
Total, Acquisition, construction, improvements & expenses (Rowley Training Ctr):	16,955	3,975	3,975	-

PPA Mission Statement

Acquisition, Construction, Improvements, and Related Expenses Account - Used to maintain the Rowley Training Center, which supports the protection and criminal investigation missions, the two critical homeland security missions covered by the Secret Service.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	5,210	14,500	2,928	(11,572)

Other services include contractual services with non-Federal sources.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	38	38	38	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	35	35	35	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	974	974	974	-

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease.

I. Changes in Full Time Equivalent

Not Applicable

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security

United States Secret Service



Fiscal Year 2011
Strategic Context
Congressional Justification

FY 2011 CONGRESSIONAL JUSTIFICATION STRATEGIC CONTEXT

United States Secret Service

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I. STRATEGIC CONTEXT FOR FY 2011 BUDGET

A. Mission and Description of the USSS

The USSS performs a critical homeland security mission of protecting some of our nation's most critical infrastructures and key assets. The USSS protects the President and Vice President, their families, visiting heads-of-state/government, and other designated individuals; investigates threats against these protectees; protects the White House, Vice President's Residence, Foreign Missions, and other designated buildings within the Washington, D.C. area; and designs, coordinates, and implements operational security plans for designated National Special Security Events (NSSE). The USSS safeguards the U. S. financial systems by investigating violations of laws relating to: counterfeiting of obligations and securities of the United States; financial crimes, such as access device fraud, financial institution fraud, identity theft, and computer fraud; and computer-based attacks on our nation's financial, banking, and telecommunications infrastructure.

In order to accomplish both its protective and investigative missions, the USSS has offices located throughout the United States and in 18 foreign countries. The USSS employs special agents, uniformed officers, and support personnel.

B. Major Activities and Key Strategic Issues

Protection

In FY 2009, the USSS provided protection to all designated protectees in travel status and within protected facilities, and provided appropriate equipment and staffing for enhanced protection services for White House protectees. The USSS provided protection and security operations at the 64th United Nations General Assembly and at NSSEs, including the 56th Presidential Inauguration, the President's State of the Union message to Congress, and the G-20 Economic Summit in Pittsburgh, PA. Beginning in January 2009, the USSS activated a fully-equipped operational protective detail for Former President and Mrs. George W. Bush in Dallas, Texas. Additionally, the USSS provided protection for Former Vice President Richard Cheney and his wife in accordance with the Former Vice President Protection Act of 2008.

Both President Obama and Vice President Biden engaged in extensive international and domestic travel during FY 2009. Since January 2009, President Obama has made 26 international stops, unprecedented for a first year administration.

The international, domestic and individual threat environments for protected individuals, venues, and infrastructure remained high in FY 2009 after the historic 2008 Presidential Campaign and Presidential Transition. The USSS hired and trained additional special agents and professional staff to assess and investigate the increased volume of protective threat information referred for evaluation by the intelligence community, federal, state and local law enforcement agencies and the general public. Additionally, the USSS increased the number of special agents, specialists and professional staff assigned to tactical, counter surveillance and countermeasure programs to ensure

critical coverage for the President and his family, while providing resources to other high threat protectees and protected sites as appropriate.

In FY 2011, the USSS will continue to provide incident-free protection to all designated protectees in travel status and within protected facilities, including the White House Complex. The USSS will also provide protection and plan security operations for NSSes.

Investigations

Perhaps best known for protecting the nation's leaders, the Secret Service was established in 1865 to investigate and prevent counterfeiting. As the original guardian of the nation's financial payment system, the Secret Service has established a long history of protecting American consumers, industries, and financial institutions from fraud. Congress continues to recognize the Secret Service's 144 years of investigative expertise in financial crimes and over the last two decades has expanded the Secret Service's statutory authorities to include access device fraud (18 USC 1029), which includes credit and debit card fraud, and concurrent jurisdiction with other law enforcement agencies for identity theft (18 USC 1028), Aggravated Identity Theft (18 USC 1028A), computer fraud (18 USC 1030), wire fraud (18 USC 1343), and bank fraud (18 USC 1344). The Secret Service takes its mission to combat these financial crimes seriously and, as a result, the Secret Service is recognized worldwide for its investigative expertise and innovative approaches to detecting, investigating, and preventing financial crimes.

In FY 2009, the Secret Service was responsible for prosecuting financial crimes cases involving \$463M in actual loss, arresting 5,809 suspects, conducting 4,275 computer forensic examinations, and preventing \$1.8B in potential loss to the American public and financial institutions.

To continue to fulfill its obligation to protect the nation's financial infrastructure, industry, and the American public, the Secret Service has adopted a multi-faceted approach to aggressively combat financial crimes. The Secret Service has dismantled and continues to dismantle some of the largest known transnational criminal organizations by:

- collaborating with other law enforcement agencies and private industry through 35 Secret Service **Financial Crimes Task Forces (FCTF)**;
- collaborating with other law enforcement agencies, private industry, and academia through 28 Secret Service **Electronic Crimes Task Forces (ECTF)**;
- providing the necessary computer-based training to enhance the investigative skills of special agents through the Secret Service **Electronic Crimes Special Agent Program (ECSAP)**; and
- providing state and local law enforcement partners with the necessary computer-based training, tools, and equipment to enhance their investigative skills.

Financial Crimes Task Forces (FCTF)

The Secret Service has established unique partnerships with state, local and other federal law enforcement agencies through years of collaboration on investigative and protective endeavors. The Secret Service has established a national network of 35 Financial Crimes Task Forces (FCTF) to

combine the resources of the private sector and other law enforcement agencies in an organized effort to combat threats to the nation's financial payment systems and critical infrastructures.

Electronic Crimes Task Forces (ECTF)

In response to the USA PATRIOT Act, the Secret Service has established 28 ECTFs, to include the first international ECTF based in Rome, Italy. ECTF membership includes: 299 academic partners; over 2,100 international, federal, state, and local law enforcement partners; and over 3,100 private sector partners. The Secret Service ECTF model is unique in that it is an international network with the capabilities to focus on regional issues. For example, as the nation's largest "banking center," the New York ECTF focuses heavily on protecting the nation's financial institutions and financial infrastructure while the Houston ECTF works closely with partners such as ExxonMobil, Chevron, Shell, and Marathon Oil to protect the vital energy sector. By joining the Secret Service's ECTFs, all of the task force partners enjoy the resources, information, expertise, and advanced research provided by the Secret Service's international network of members while focusing on issues with significant regional impact.

Electronic Crimes Special Agent Program (ECSAP)

A central component of the Secret Service's cyber-crime investigations is the Electronic Crimes Special Agent Program (ECSAP). This program is comprised of 1,148 special agents who have received at least one of three levels of computer crimes related training. These agents are deployed in more than 98 offices throughout the world and have received extensive training in forensic identification, preservation, and retrieval of electronically-stored evidence. ECSAP agents are computer investigative specialists and among the most highly-trained experts in law enforcement, qualified to conduct examinations on all types of electronic evidence. This core cadre of special agents is equipped to investigate the continually evolving arena of electronic crimes and have proven invaluable in the successful prosecution of criminal groups involved in computer fraud, bank fraud, identity theft, access device fraud, and various other electronic crimes targeting our financial institutions and private sector.

Over the years, the Secret Service's investigative mission has expanded in both scope and in depth. Today, the Secret Service's investigative programs and expertise not only provide essential support and services to various state, local, federal, and international law enforcement partners but this expertise has also become an essential element to the success of the Secret Service's Office of Protective Operations and Protective Intelligence Division.

Secret Service ECSAP agents conducted 88 computer forensic examinations on matters relating to protective intelligence cases, conducted 2,961 computer forensic examinations for other state, local, and federal law enforcement partners, and conducted 258 computer forensic examinations in support of the National Center for Missing and Exploited Children (NCMEC). Additionally, the Office of Investigations provides support to the Office of Protective Operations by routinely supporting all National Special Security Events (NSSE) and other major protective venues with the Secret Service's Cellular Phone Tracking Program and the Critical Systems Protection Initiative (CSPI).

C. Resources Requested and Performance Impact

The proposed FY 2011 budget totals \$1,567,642,000 for the Salaries and Expenses account and \$3,975,000 for the Acquisition, Construction, Improvements, and Related Expenses account. Funding will be used to maintain current levels of program operations, provide funding for adjustments to the base, fund Uniformed Division pay restructuring, enhance electronic crimes investigations and support Task Force operations, and increase funding to support information integration and technology transformation efforts.

Current Services

Currently the USSS is redeploying and managing existing baseline resources to augment its current capabilities in information integration and technology transformation, network security, and protective countermeasures. The agency is leveraging Departmental resources as well as conducting a disciplined assessment of mission needs to find efficiencies. At present, budget allocations are closely aligned with the USSS goals and objectives, and the agency is working with near-term reviews to continue with a sharpened focus.

Program Increases

Adjustments-to-the-Base

The USSS is a labor-intensive operation, and it is vital that each program has all necessary resources to remain fully operational. This funding will cover increasing payroll and other personnel-related costs. This funding will allow program managers to direct an appropriate level of human and financial capital to continue the USSS's mission of protecting some of our nations most critical infrastructures and key assets.

The number of protectees receiving varying levels of protection from the USSS has significantly increased since September 11, 2001. Furthermore, the methods potentially utilized by terrorists to attack all core statutory responsibilities are becoming more sophisticated and, as a result, the countermeasures, tactics, and investigative methods are more complex and resource intensive. USSS personnel are performing critical tasks on a daily basis to meet core statutory responsibilities. These activities directly impact the USSS mission critical performance measures.

2012 Presidential Campaign

During FY 2011, the Secret Service will be required to make preparations for the 2012 Presidential Campaign by providing training to candidate protective detail personnel, and procuring and leasing equipment and supplies to support candidate/nominee protective operations. In order to have vehicles, equipment, and office space in place for the 2012 campaign, the procurement of these items must be accomplished during FY 2011. The equipment and services will be pre-positioned throughout the country to support the increased protective mission as the candidates/nominees travel throughout the country. The equipment and services procured with this funding support directly impact the performance measure – the *Percentage of Instances Campaign Protectees Arrive and Depart Safely*.

Information Integration and Transformation Program

The White House Communications Agency (WHCA) provides limited worldwide telecommunications support to USSS Presidential and Vice Presidential protective operations. In 2008, WHCA completed a modernization of its telecommunications infrastructure by transitioning to Internet Protocol (IP) and advanced encryption. This modernization transformation revolutionized WHCA's overall communications security capacity while rendering USSS systems and devices utilized at field offices and tactical and countermeasure support elements incompatible.

FY 2011 funding will continue efforts to establish communications parity with WHCA, by implementing IP protocols and multi-level secure technologies into the USSS's planned Information Integration and Transformation Program (IIT) modernization efforts. The USSS will modernize its mobile communications program by combining the existing domestic land mobile radio system with the WHCA shared satellite-based communications system. The transformation plan provides new classified Information and Technology (IT) capabilities at USSS field offices through deployment of Homeland Security Data Network (HSDN) terminals to satisfy multi-level security requirements and ensure seamless information sharing. This initiative will directly impact protective performance measures including – the *Percentage of Instances Protectees Arrive and Depart Safely (Campaign, Domestic, and Foreign Dignitary Protectees)* and the *Volume of Intelligence Assessed (classified information)*.

IIT program funding allows for a cross-domain application multi-level security project necessary to meet the National Security Strategy (NSS) and DHS directives. The IIT program consists of the following elements: A major acquisition process involving systems engineering, architecture, design, development, test and evaluation, deployment, maintenance, sustainment, hardware and software. This multi-level secured cross-domain IT application and data environment will provide the USSS with the most efficient and effective means to perform mission critical operations.

This funding will support engineering and architecture activities to modernize the USSS database architecture to provide a higher rate of availability, and to optimize performance, scalability and disaster recovery capabilities to meet current and future mission requirements. The new database architecture will provide improved application and database performance, fewer outages, support continuity of operations, and support DHS Enterprise Data Management Directive 103.01.

This funding enables a proactive, cyber defense environment that provides real-time enterprise-wide protection through the dynamic information-sharing environment at DHS and the Director of National Intelligence cyber programs.

The cross-cutting database architecture and cyber security initiatives will directly impact protective and investigative performance measures including – the *Percentage of Instances Protectees Arrive and Depart Safely (Campaign, Domestic, and Foreign Dignitary Protectees)*, the *Volume of Intelligence Assessed (classified information)*, *Financial Crimes Loss Prevented (Through a Criminal Investigation and by the USSS Electronic Crimes Task Forces)* and *Counterfeit Passed as the Percent of the Amount of Genuine U.S. Currency in Circulation*.

The protective workload for the USSS has increased substantially. Domestic and international travel amongst protectees has become more frequent, complex, sensitive, and generally involves the deployment of more specialized teams. Protectee details, especially the President's, have become more time and logistics intensive, increasing the need for an integrated, enterprise-level operations logistics and scheduling capability.

Funding for the Combined Operations Logistics Database (COLD) will enable a robust operations logistics and scheduling capability that enables effective, efficient, and seamless achievement of mission objectives. The enhanced logistics and scheduling capabilities will improve planning and execution of mission activities while also enabling information sharing across the USSS enterprise.

The database system will directly impact all of the protective performance measures including – the *Percentage of Instances Protectees Arrive and Depart Safely (Campaign, Domestic, and Foreign Dignitary Protectees)*.

D. Performance Highlights, Resources, and Alignment to Strategic Goals

For each mission-oriented program, the program performance goal, alignment to Secretary's Priorities mission areas, total dollars and FTE, and Government Performance and Results Act (GPRA) performance plan measure/s are shown below. Additional measures are also displayed, as appropriate, to provide a more thorough context of expected performance results.

Program: Campaign Protection						
Performance Goal: Protect our Presidential and Vice Presidential Candidates and Nominees.						
Secretary's Priority: Preventing Terrorism and Enhancing Security						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$0	\$33,650	\$85,250	\$41,082	\$0	\$17,867
FTE	0	74	250	120	0	24

Performance Plan Measures

Measure: Percent of instances protectees arrive and depart safely (campaign protectees)						
Description of Measure: The security of protectees is the ultimate priority of the Secret Service; therefore, all necessary resources are utilized before and during a protective assignment in order to provide the highest - quality protection the Secret Service demands for all protectees. This measure represents the percent of travel stops where the protectee safely arrives and departs. The performance target is always 100%. Anything under 100% is unacceptable.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	N/A	N/A	100%	100%	N/A	N/A
Actual:	N/A	100%	100%	100%	N/A	N/A

Program: Domestic Protectees (DP)						
Performance Goal: Protect our Nation's leaders and other protectees.						
Secretary's Priority: Preventing Terrorism and Enhancing Security						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$830,560	\$859,669	\$910,127	\$1,046,216	\$1,012,592	\$1,081,508

FTE	3,374	3,440	3,491	3,578	3,778	3,734
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Performance Plan Measures

Measure: Percent of instances protectees arrive and depart safely (domestic protectees)						
Description of Measure: The percent of travel stops where our Nation's leaders and other protectees arrive and depart safely. The security of protectees is the ultimate priority of the Secret Service; therefore, all necessary resources are utilized before and during a protective assignment in order to provide the highest - quality protection the Secret Service demands for all protectees. The performance target is always 100%. Anything under 100% is unacceptable.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	100%	100%	100%	100%	100%	100%
Actual:	100%	100%	100%	100%	N/A	N/A

Program: Financial Investigations (FI)						
Performance Goal: Reduce losses to the public attributable to counterfeit currency, other financial crimes, and identity theft crimes that are under the jurisdiction of the Secret Service, which threaten the integrity of our currency and the reliability of financial payment systems worldwide.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$341,612	\$345,329	\$334,371	\$364,189	\$388,536	\$397,841
FTE	1,796	1,726	1,573	1,693	1,803	1,783

Performance Plan Measures

Measure: Counterfeit passed as a percent of the amount of genuine currency in circulation						
Description of Measure: The dollar value of counterfeit notes passed on the public reported as a percent of dollars of genuine currency. This measure is calculated by dividing the dollar value of counterfeit notes passed by the dollar value of genuine currency in circulation. This measure is an indicator of the proportion of counterfeit currency relative to the amount of genuine U.S. Currency in circulation, and reflects our efforts to reduce financial losses to the public attributable to counterfeit currency.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	<.01%	<.01%	<.0098%	<.0096%	<.0099%
Actual:	None	.0079%	0.0086%	0.0081%	N/A	N/A

Measure: Financial crimes loss prevented through a criminal investigation (in billions).						
Description of Measure: An estimate of the direct dollar loss to the public that was prevented due to Secret Service intervention or interruption of a criminal venture through a criminal investigation. This estimate is based on the likely amount of financial crime that would have occurred had the offender not been identified nor the criminal enterprise disrupted, and reflects the Secret Service's efforts to reduce financial losses to the public attributable to financial crimes. The Investigative program provides manpower on a temporary basis to support protective assignments; a role that is both purposeful and efficient. Field agents provide a "surge capacity" of protective manpower, without which the Secret Service could not accomplish its protective mandate in a cost - effective manner. Although these temporary assignments occur every year, they increase significantly during a presidential campaign requiring the Secret Service to decrease its investigative performance measure targets in campaign years.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011

Target:	\$1.5	\$1.5	\$1.0	\$1.8	\$1.9	\$1.9
Actual:	\$1.23	\$3.9	\$1.96	\$1.28	N/A	N/A

Program: Foreign Protectees and Foreign Missions (FP/FM)						
Performance Goal: Protect visiting world leaders.						
Secretary's Priority: Preventing Terrorism and Enhancing Security						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$129,134	\$130,781	\$136,012	\$141,544	\$145,704	\$150,968
FTE	659	659	659	659	660	661

Performance Plan Measures

Measure: Percent of instances protectees arrive and depart safely (Foreign Dignitaries)						
Description of Measure: The percent of travel stops where visiting world leader protectees safely arrive and depart. The security of protectees is the ultimate priority of the Secret Service; therefore, all necessary resources are utilized before and during a protective assignment in order to provide the highest - quality protection the Secret Service demands for all protectees. The performance target is always 100%. Anything under 100% is unacceptable.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	100%	100%	100%	100%	100%	100%
Actual:	100%	100%	100%	100%	N/A	N/A

Program: Infrastructure Investigations						
Performance Goal: Reduce losses to the public attributable to electronic crimes and crimes under the jurisdiction of the Secret Service that threaten the integrity and reliability of the critical infrastructure of the country.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$50,958	\$54,140	\$54,794	\$63,254	\$68,867	\$71,317
FTE	289	300	277	291	305	303

Performance Plan Measures

Measure: Financial crimes loss prevented by the Secret Service Electronic Crimes Task Forces (in millions).						
Description of Measure: An estimate of the direct dollar loss to the public prevented due to investigations by Secret Service ECTFs throughout the United States, which were established pursuant to the USA PATRIOT Act. The estimate is based on the likely amount of electronic financial crime that would have occurred had the offender not been identified nor the criminal enterprise disrupted. It reflects the Secret Service's efforts to reduce financial losses to the public attributable to electronic crimes. The Investigative program provides manpower on a temporary basis to support protective assignments; a role that is both purposeful and efficient. Field agents provide a "surge capacity" of protective manpower, without which the Secret Service could not accomplish its protective mandate in a cost - effective manner. Although these temporary assignments occur every year, they increase during a presidential campaign requiring the Secret Service to decrease its performance measure targets in campaign years.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011

Target:	\$150	\$150	\$150	\$300	\$310	\$304
Actual:	\$315.9	\$355.1	\$410.9	\$534.2	N/A	N/A

Program: Protective Intelligence (PI)						
Performance Goal: Reduce threats posed by global terrorists and other adversaries.						
Secretary's Priority: Preventing Terrorism and Enhancing Security						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$71,225	\$73,548	\$74,942	\$81,669	\$86,945	\$92,116
FTE	446	450	450	465	509	509

Performance Plan Measures

Measure: Number of Protective Intelligence cases completed.						
Description of Measure: The total number of intelligence cases completed by agents assigned to field operations. These cases generally represent an assessment of individuals or groups who have threatened a protectee of the Secret Service.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	4,000	3,300	4,200	4,000	4,000	4,000
Actual:	4,164	3,631	3,036	3,008	N/A	N/A

F. Digest Tables by FYHSP Programs - Salaries and Expenses - Discretionary and Mandatory

DIGEST OF FY 2011 BUDGET ESTIMATES BY FYHSP PROGRAM (dollars in thousands)

FYHSP Program	FY 2009 Revised Enacted		FY 2010 Enacted		FY 2011 Request	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
1. PROTECTION	4,752	\$1,048,224	4,947	\$1,083,759	4,928	\$1,166,755
Domestic Protectees	3,523	820,007	3,778	881,122	3,734	938,454
<i>White House Mail Processing</i>	-	33,701	-	22,415	---	25,315
Foreign Protectees and Foreign Missions	659	120,696	660	126,345	661	130,610
Protective Intelligence	450	66,439	509	76,292	509	79,824
Campaign Protection	120	41,082	-	---	24	17,867
2. INVESTIGATIONS	1,984	364,730	2,108	398,885	2,086	404,862
Financial Investigations	1,693	310,622	1,803	338,708	1,783	343,254
Infrastructure Investigations	291	54,108	305	60,177	303	61,608
Net Discretionary (Excluding Supplemental)	6,736	\$1,412,954	7,055	\$1,482,644	7,014	\$1,571,617
Mandatory - DC Annuity		\$225,000		\$220,000		\$240,000
Subtotal	6,736	\$1,637,954	7,055	\$1,702,644	7,014	\$1,811,617
Supplementals	70	\$100,000				
Prior Year Reprogramming		\$2,490				
Total, enacted appropriations and budget estimates	6,806	\$1,740,444	7,055	\$1,702,644	7,014	\$1,811,617

DEPARTMENT OF HOMELAND SECURITY
National Protection and Programs Directorate



Fiscal Year 2011
Congressional Budget Justification

i. Summary of FY 2011 Budget Estimates by Appropriation

**Department of Homeland Security
National Protection and Programs Directorate
Strategic Context Overview**
Summary of FY 2011 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)

Program/Project Activity	FY 2009 Actuals		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Management and Administration	67	50,967	129	44,577	183	46,137	54	1,560	---	1,848	54	(288)
Infrastructure Protection and Information Security	539	693,743	1,024	899,416	1,162	865,965	138	(33,451)	(6)	(28,759)	144	(4,692)
United States Visitor and Immigrant Status Indicator Technology	131	296,659	199	373,762	399	334,613	200	(39,149)	200	(39,621)	---	472
Federal Protective Service * **	[1,181]	[1,000,520]	1,225	1,115,000	1,225	1,115,000	---	---	---	---	---	---
Subtotal Enacted Appropriations and Budget Estimates	737	1,041,369	2,577	2,432,755	2,969	2,361,715	392	(71,040)	194	(66,532)	198	(4,508)
Less: Adjustments for Othre Funding Sources:												
Offsetting Collections		[-985,000]		(1,115,000)		(1,115,000)						
Rescission of Prior Year Funds				(8,000)								
Net, Enacted Appropriations and Budget Estimates	737	1,041,369	2,577	1,309,755	2,969	1,246,715	392	(71,040)	194	(66,532)	198	(4,508)

* FY2009 actuals do not include \$57,236,000 for Capital Investments funded from prior year funds.

** Federal Protective Service (FPS) FY 2009 funding was in the U.S. Immigration and Customs Enforcement. FPS was enacted within NPPD in FY 2010.

ii: Homeland and Non-Homeland Allocation

Department of Homeland Security
National Protection and Programs Directorate
 Homeland and Non-Homeland Allocation by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	FY 2009 Actuals						FY 2010 Enacted						FY 2011 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Management and Administration	67	\$50,967	---	---	67	\$50,967	129	\$44,577	---	---	129	\$44,577	183	\$46,137	---	---	183	\$46,137
Directorate Administration	56	41,385	---	---	56	41,385	104	34,682	---	---	104	34,682	145	36,347	---	---	145	36,347
Risk Management and Analysis	11	9,581	---	---	11	9,581	25	9,895	---	---	25	9,895	38	9,790	---	---	38	9,790
Infrastructure Protection and Information Security (IPIS)	539	\$693,743	---	---	539	\$693,743	1,024	\$899,416	---	---	1,024	\$899,416	1,162	\$865,965	---	---	1,162	\$865,965
Identification & Analysis	75	\$79,232	---	---	75	79,232	130	\$90,610	---	---	130	\$90,610	127	\$82,837	---	---	127	\$82,837
Coordination & Information Sharing	83	\$57,862	---	---	83	57,862	89	\$59,582	---	---	89	\$59,582	86	\$52,515	---	---	86	\$52,515
Mitigation Programs	194	\$147,583	---	---	194	147,583	469	\$197,111	---	---	469	\$197,111	487	\$198,426	---	---	487	\$198,426
National Cyber Security Division	79	\$252,140	---	---	79	252,140	---	---	---	---	---	---	---	---	---	---	---	\$0
US-CERT	---	---	---	---	---	---	144	\$323,629	---	---	144	\$323,629	263	\$314,989	---	---	263	\$314,989
Strategic Initiatives	---	---	---	---	---	---	28	\$64,179	---	---	28	\$64,179	29	\$56,880	---	---	29	\$56,880
Outreach and Programs	---	---	---	---	---	---	14	\$9,346	---	---	14	\$9,346	14	\$6,875	---	---	14	\$6,875
Priority Telecommunications Service	40	\$57,178	---	---	40	57,178	41	\$56,773	---	---	41	\$56,773	41	\$56,283	---	---	41	\$56,283
Programs to Study & Enhance Telecommunications	18	\$11,877	---	---	18	11,877	28	\$16,774	---	---	28	\$16,774	28	\$16,657	---	---	28	\$16,657
Critical Infrastructure Protection Programs	23	\$8,116	---	---	23	8,116	29	\$11,352	---	---	29	\$11,352	29	\$14,884	---	---	29	\$14,884
Next Generation Networks	---	\$43,200	---	---	---	43,200	---	\$25,000	---	---	---	\$25,000	---	\$21,095	---	---	---	\$21,095
National Command and Coordination Capability	---	\$2,417	---	---	---	2,417	---	\$0	---	---	---	\$0	---	\$0	---	---	---	\$0
Office of Emergency Communications	27	\$34,138	---	---	27	34,138	52	\$45,060	---	---	52	\$45,060	58	\$44,524	---	---	58	\$44,524
United States Visitor and Immigrant Status Indicator Technology	131	\$296,659	---	---	131	296,659	199	\$373,762	---	---	199	\$373,762	399	\$334,613	---	---	399	\$334,613
Federal Protective Service* **	[1,181]	[1,000,520]	---	---	[1,181]	[1,000,520]	1,225	\$1,115,000	---	---	1,225	\$1,115,000	1,225	\$1,115,000	---	---	1,225	\$1,115,000
Subtotal, Direct Appropriations and Budget Estimates	737	1,041,369	---	---	737	\$1,041,369	2,577	2,432,755	---	---	2,577	2,432,755	2,969	2,361,715	---	---	2,969	2,361,715
Less: Adjustments for Othre Funding Sources:																		
Offsetting Collections		[-985,000]				[-985,000]		(\$1,115,000)				(\$1,115,000)		(\$1,115,000)				(\$1,115,000)
Rescission of Prior Year Funds								(\$8,000)				(\$8,000)						
Net, Enacted Appropriations and Budget Estimates	737	1,041,369	---	---	737	1,041,369	2,577	1,309,755	---	---	2,577	1,309,755	2,969	1,246,715	---	---	2,969	1,246,715

* FY2009 actuals do not include \$57,236,000 for Capital Investments funded from prior year funds.

** Federal Protective Service (FPS) FY 2009 funding was in the U.S. Immigration and Customs Enforcement. FPS was enacted enacted within NPPD in FY 2010.

iii. Status of Congressionally Requested Studies, Reports, and Evaluation

**Department of Homeland Security
National Protection and Programs Directorate**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009	March 30, 2009	Reference: JES, Title III, p. 614; Senate Report, Title III, p. 97	Vulnerability Assessments: The Committee notes that while the Office of Infrastructure Protection has conducted many vulnerability assessments of critical infrastructure and key resources, much work remains to be done. The fiscal year 2009 justification indicates that it will "conduct approximately 315 vulnerability assessments on Tier 1 and 2 Critical Infrastructure and Key Resources, utilizing the National Guard in coordination and collaboration with Federal, State, local, and private sector partners." While the Committee strongly supports this work, it notes at that pace, it will take roughly 10 years to finish these assessments, even if no new facilities are added to the inventory. The Committee recommends \$25,409,000, an increase of \$8,000,000 from the budget request to accelerate these assessments and training programs and directs the Department to report to the Committee by March 20, 2009, on progress it has made to expand vulnerability assessment capacity.	Action Office
2009	September 13, 2008	Reference: Conference Report 109-699	Annual Report - NECP Coordination -- "(2) prepare and submit to Congress, on an annual basis, a strategic assessment regarding the coordination efforts of Federal departments and agencies to advance— '(A) the ability of emergency response providers and relevant government officials to continue to communicate in the event of natural disasters, acts of terrorism, and other man-made disasters; and '(B) interoperable emergency communications; '(3) consider, in preparing the strategic assessment under paragraph (2), the goals stated in the National Emergency Communications Plan under section 1802:...	Action Office
2008	December 26, 2008	Reference: PL 110-161 , p. 1008	Section 563 -- Ammonium Nitrate: issue a final rule implementing not later than 1 year after the date of enactment.	Action Office
2009	December 28, 2008	Reference: PL 110-161, p.1072	4th Qtr: FY08 - The Department is also directed to provide quarterly reports on US-VISIT implementation to include coordination with the Western Hemisphere Travel Initiative, the Secure Border Initiative, and other DHS efforts related to border security and interdiction of terrorist travel.	Action Office
2009	December 31, 2009	Reference: Section 2(a) Data Management Act Report (P.L. 106-215); Visa Waiver Permanent Program Act (P.L. 106-396)	Alien Arrival and Departure: By 12/31 of each year, Secretary shall report to House and Senate Judiciary Committees on the prior fiscal year data and any appropriate analysis reflecting no. of: 1. Aliens for whom departure data was collected during FY, with accounting by nationality of departing alien. 2. Departing aliens whose departure data was matched to the alien's arrival data, with accounting by nationality and by classification as an immigrant or nonimmigrant. 3. Aliens who arrived with a nonimmigrant visa, or as a visitor under the VWP, for whom no matching departure data have been obtained through system or any other means as of the end of authorized period of stay, with accounting by nationality and date of arrival in US. 4. Lawfully admitted nonimmigrants identified as having remained in US beyond period authorized by AG, with accounting by nationality. 5. Percentage of nationals lacking a departure record for each VWP country for the previous FY, together with analysis of that info.	Action Office
2009	April 6, 2008	Reference: House Report 110, Title III, p. 103	Exit Solution: The exit component of US-VISIT remains behind schedule. DHS has issued a notice or proposed rule making for a biometric exit solution for air and sea ports that would require air and sea carriers to collect and transmit biometric information to DHS in order to implement an air and sea exit system by the end of 2008. Section 711 of the 9/11 Act requires such as system to be implemented by that time in order for the Secretary to retain his authority to approve visa waiver program participation. The Committee is concerned that no pilot tests have been carried out or are planned for the proposed assignment of biometric collection responsibilities to private industry. Previous exit pilots involved the use of kiosks by departing passengers, but only on a voluntary basis. The Committee directs that the report on pilot results be reviewed by GAO, which shall provide an independent assessment of the report.	With GAO in Review

2010	Quarterly	Senate Report 111-31, p. 87	As discussed in the Senate Report, the Under Secretary is directed to provide quarterly briefings to the Committees on the specific use of resources"	Action Office
2010	Monthly	Senate Report 111-31, p. 89	For Infrastructure Security Compliance project, "The Committee expects that an accelerated hiring process will be fully maximized to bring qualified and vetted personnel on board quickly and directs NPPD to provide a monthly update of the FTE on-board and specific actions being taken to ensure expeditious hiring."	Action office
2010	90 days after Appropriation Act enactment and quarterly	Senate Report 111-31, p. 8	"The Committee understands that the Office of Infrastructure Protection, the Coast Guard, and the Transportation Security Administration are working together to coordinate chemical security responsibilities established by the Chemical Facilities Anti-Terrorism Standards regulations, the Maritime Transportation Security Act of 2002, and railroad security regulations. The Committee directs the Deputy Secretary to coordinate efforts and to work with the White House Office of Domestic Policy to develop' a coordinated and integrated approach for securing chemical facilities. Further, the Committee directs that the Department review and, if necessary, consider revising its information security regulations related to chemical facilities to ensure companies cannot misuse the regulations to improperly delay or impede Federal safety investigations following chemical accidents. "The Committee directs the Department to provide a report to the Committee no later than 90 days after the date of enactment of this act, and quarterly thereafter, on the agency's efforts to coordinate chemical security across departments, particu	Action Office
2010	60 Days after Enactment	House Report 111-298, p. 96	"The conferees note the importance of a comprehensive effort to assess the security level of cyberspace at all levels of government. To accomplish this, cyber network security assessment tools must first be in place; however, the conferees understand that no such tools currently exist. Given this, the conferees do not require the Secretary to provide a report by June 1, 2010 on the status of cyber security measures in States and large urban areas, as proposed in the Senate report. Instead, NPPD, in cooperation with FEMA and relevant stakeholders, shall develop the necessary tools for all levels of government to complete a cyber network security assessment so that a full measure of gaps and capabilities can be completed in the near future. NPPD, in conjunction with FEMA, shall brief the committees within 60 days after the date of enactment of this Act on the specific timeframes and deliverables necessary to complete the development and execution of such tools in order to complete such an assessment by June 2011." p. 223	Action Office
2010	60 Days after Enactment	P.L. 111-83, p. 15	"Provided, that of the amount made available under this heading, \$161,815,000 may not be obligated for the National Cyber Security Division program and \$12,500,000 may not be obligated for the Next Generation Networks program until the Committees on Appropriations of the Senate and the House of Representatives receive an approve a plan for expenditure for each of these programs that describes the strategic context of the program, the specific goals and milestones set for the program, and the funds allocated to achieving each of those goals and milestones." p. 44-45	Undergoing DHS Review
2010	90 Days after Enactment	House Report 111-157, p. 116	"Therefore, the Committee directs FEMA, OEC, and SAFECOM to report to the Committee no later than 90 days after enactment of this Act on their collective efforts to provide technical assistance to States and localities on effective disaster and resilient communications systems. The report should also identify efforts to encourage States and localities to incorporate resilient communications into their emergency response planning and training. This report shall include a description of completed and planned tests and evaluations of resilient communications systems currently available for purchase of lease by States and localities. Furthermore, the report shall include data on the percentage of Public Safety Interoperable Communications grant funding allocated by States and localities for resilient communications."	Action Office
2010	90 Days after Enactment	P.L. 111-83, p. 16	"Provided, that of the total amount made available under this heading, \$75,000,000 may not be obligated for the United States Visitor and Immigrant Status Indicator Technology project until the Committees on Appropriations of the Senate and the House of Representatives receive a plan for expenditure, prepared by the Secretary of Homeland Security, not later than 90 days after the enactment of this Act that meets the statutory conditions specified under this heading in Public Law 110-329"	Action Office

2010	Quarterly	House Report 111-298, p. 99	"...and to continue to provide quarterly briefings on biometric exit implementation to the Committees, beginning November 1, 2009. The briefings should cover the status of air exit implementation, prospects for other exit solutions, and the status of discussions with Canada and Mexico on sharing immigration information to improve the ability to track departures. The monthly reports on implementation of biometric entrance and exit are no longer required."	Action Office
2010	Quarterly	House Report 111-298, p. 99	"The conferees direct US-VISIT to provide quarterly briefings to the Committees on its hiring and position conversion efforts, as called for in the House report. These briefings should be provided at the same time as the biometric exit briefings." p. 227	Action Office
2010	Quarterly	Senate Report 111-31, p. 93	"The Committee directs the US-VISIT program office to continue aggressively pursuing this issue and to continue providing quarterly briefings on progress being made on Unique Identity."	Action Office
2010	Quarterly	House Report 111-157, p. 100	"[...]The Committee directs US-VISIT and its counterparts at the Justice Department to continue providing quarterly interoperability briefings. These should indicate the remaining gaps in system interoperability, the operational impacts such gaps have on agency operations, and measures being taken to close them in the near term."	Action Office
2010	January 15, 2010	House Report 111-157, p. 100	"[...]The Committee understands that the Department is in the process of establishing a policy with regard to its use of identifiers, and directs DHS to report not later than January 15, 2010, on the status of this policy and the steps it will take to ensure compliance of DHS components and programs with such policy."	Action Office
2010	December 1, 2009	House Report 111-157, p. 101	"[...]The Committee directs US-VISIT to report not later than December 1, 2009, on steps that are being taken to reduce the backlog of "unreviewed" overstay records. The report should also include a summary of DIG performance in meeting targets for credibility and cost identified in the 2010 budget submission."	Undergoing DHS Review and adjudication
2010	January 15, 2010 and July 15, 2010	House Report 111-298, p. 97-98	"DHS managers overseeing this transition are instructed to brief the Committees on progress transferring FPS to NPPD at least semi-annually, starting no later than January 15, 2010, as discussed in the Senate report. The content of this briefing should include at a minimum as much detail as the transition plan discussed in the House report, which was submitted to the Committees on August 21, 2009."	Action Office
2010	December 31, 2009	P.L. 111-83, p. 16	"...Provided, That the Secretary of Homeland Security and the Director of the Office of Management and Budget shall certify in writing to the Committees on Appropriations of the Senate and the House of Representatives no later than December 31, 2009, that the operations of the Federal Protective Service will be fully funded in fiscal year 2010 through revenues and collection of security fees, and shall adjust the fees to ensure fee collections are sufficient to ensure that the Federal Protective Service maintains not fewer than 1,200 full-time equivalent staff and 900 full-time equivalent Police Officers, Inspectors, Area Commanders, and Special Agents who, while working, are directly engaged on a daily basis protecting and enforcing laws at Federal buildings (referred to as "in-service field staff")."	Action Office

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
National Protection and Programs Directorate**

Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2011 Request
	Fiscal Year	Amount	Amount	Amount
Directorate Administration	N/A	N/A	N/A	36,347
Risk Management and Analysis	N/A	N/A	N/A	9,790
Identification & Analysis				82,837
Coordination & Information Sharing				52,515
Mitigation Programs				198,426
US-CERT				314,989
Strategic Initiatives				56,880
Outreach and Programs				6,875
Priority Telecommunications Service				56,283
Programs to Study & Enhance Telecommunications				16,657
Critical Infrastructure Protection Programs				14,884
Next Generation Networks				21,095
Office of Emergency Communications				44,524
United States Visitor and Immigrant Status Indicator Technology				334,613
Federal Protective Service				1,115,000
Total Direct Authorization/Appropriation		\$ -	\$ -	\$ 2,361,715

Department of Homeland Security
National Protection & Programs Directorate
Management and Administration



Fiscal Year 2011
Overview
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Management and Administration

I. Appropriation Overview

A – Mission Statement for Management and Administration

Programs funded through the Department of Homeland Security (DHS) National Protection and Program Directorate (NPPD) Management and Administration appropriation contribute to the NPPD goal of advancing the Department's risk reduction mission. Reducing risk requires an integrated approach that encompasses both physical and virtual threats and their associated human elements. NPPD reduces the risk of attack against the Nation by protecting critical physical and cyber infrastructure, guarding against threats posed by foreign travelers to the country, and by standardizing the Department's approach to the analysis and management of potential risks to the Nation.

B – Budget Activities

The Management and Administration appropriation major program activities include Directorate Administration and Risk Management and Analysis.

Directorate Administration

Directorate Administration includes the Office of the Under Secretary, which consists of: (1) Resource Administration, (2) Budget and Financial Administration, (3) Information Management, (4) Communications and Public Affairs, and (5) Office of Information Technology.

Risk Management and Analysis

Risk Management and Analysis (RMA) conducts strategic integrated risk analysis and develops the DHS Integrated Risk Framework.

C – Budget Request Summary

NPPD requests 184 positions and 183 FTE and \$46.137 million in the FY 2011. This represents an increase of \$1.560 million from the FY 2010 Enacted Budget of \$44.577 million.

Adjustments-to-Base

- Annualization of the calendar year 2010 pay increase: \$0.052 million
- Calendar year 2011 pay increase: \$0.186 million
- GSA Rent inflation: \$0.028 million

- NPPD is offsetting the funding for 55 Federal positions from program funds within Directorate Administration and Risk Management and Analysis. The table below summarizes the offsets. There is a \$0.554 million efficiency in Directorate Administration to realign program funds to Federal positions.

<i>in thousands</i>	Total FTE	Total FTP	FY 2011 Program Funding	FY 2011 Salaries Funding	Net Budget Change
Dir. Administration	41	41	(\$5,668)	\$5,114	(\$554)
RMA	13	14	(\$1,198)	\$1,198	---
Total	54	55	(\$6,866)	\$6,312	(\$554)

Program Changes

1. *Directorate Administration.* A \$2.000 million program increase to Information Technology to manage the NPPD data center migration and consolidation efforts across the Directorate.
2. *Risk Management & Analysis.* A \$0.152 million program decrease to technical assistance that RMA provides to other DHS components.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
National Protection & Programs Directorate
Management and Administration
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Directorate Administration	56	41,386	104	34,682	145	36,347	41	1,665	-	2,000	41	(335)
Risk Management & Analysis	11	9,581	25	9,895	38	9,790	13	(105)	-	(152)	13	47
Subtotal, Enacted Appropriations and Budget Estimates	67	50,967	129	44,577	183	46,137	54	1,560	-	1,848	54	(288)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	67	50,967	129	44,577	183	46,137	54	1,560	-	1,848	54	(288)

III. Current Services Program Description by PPA

**Department of Homeland Security
National Protection & Programs Directorate
Management and Administration
Directorate Administration
Program Performance Justification**
(Dollars in Thousands)

PPA: Directorate Administration

	Perm. Pos	FTE	Amount
2009 Actuals	78	56	41,386
2010 Enacted	104	104	34,682
2011 Adjustments-to-Base	41	41	(335)
2011 Current Services	145	145	34,347
2011 Program Change	-	-	2,000
2011 Total Request	145	145	36,347
Total Change 2010 to 2011	41	41	1,665

The National Protection and Programs Directorate requests \$34.347 million and 145 positions/FTE for Directorate Administration.

The FY 2011 request reflects an adjustment-to-base net decrease of \$0.335 million, which includes an additional 41 Federal positions/FTE offset by \$5.114 million in program/contract dollars; \$0.044 million for the 2010 pay increase, \$0.152 million for the 2011 pay increase; and \$0.023 million in GSA rent inflation. Other adjustments include efficiencies of \$0.554 million gained through the funding additional Federal staff from program funds. The \$2.000 million program increase will fund support to NPPD systems and applications migration to the two DHS Enterprise Data Centers.

As part of Secretary Napolitano's Departmentwide Efficiency Review, DHS is determining the most effective balance of contractors to Federal employees throughout the Department, and converting contractor positions to Federal employees when feasible and appropriate. In FY 2011, NPPD will convert contractor positions to government staff throughout the Office of the Under Secretary, avoiding \$554,000 in contract costs.

CURRENT SERVICES PROGRAM DESCRIPTION

Office of the Under Secretary

The Office of the Under Secretary provides Directorate leadership and management; coordinates Directorate activities throughout the Department; and serves as an advocate for protection across all governmental sectors, protection stakeholders, and citizens. The Office of the Under Secretary consists of the Under Secretary, Deputy Under Secretary, Chief Operating Officer, and Chief of Staff, as well as legal and administrative support.

Office of Budget and Financial Administration

The Office of Budget and Financial Administration supports the NPPD mission by providing financial management information, oversight, and fiscal services and policies. The Office of Budget and Financial Administration consists of the following activities and elements:

- *Budget Formulation* - Reviews the current state of programs and projects, assesses activities against the desired future direction, and builds and justifies funding requests to resource mission needs.
- *Budget Execution* - Responsible for the workflow and funds control process to ensure that resources are available when needed, do not exceed authorized levels, are used in accordance with law and congressional intent, and are recorded and reported on in accordance with Federal accounting principles and guidelines.
- *Strategic Planning and Performance Management* - Fulfills internal and external performance management requirements, including the collection, analysis, monitoring, and reporting of performance data.
- *Accounting Operations* - Responsible for the overall accounting operations of NPPD and ensures that the Directorate meets financial execution and accounting requirements in support of DHS' centralized financial management program. Functions include commitment/obligations input and tracking, travel and purchase card processing, status of funds monitoring, and payroll reconciliation.
- *Financial Systems Reporting and Internal Controls* - Responsible for the preparation and submission of financial reports to DHS and the Immigration and Customs Enforcement (ICE) Chief Financial Officer. Works closely with the ICE CFO office to monitor and reconcile Treasury Information Executive Repository reports and to provide analysis to validate accuracy of data. Responsible for the development and monitoring of NPPD internal control programs.
- *Acquisition Operations* - Reviews and monitors NPPD's acquisition documents and ensures compliance with Federal and DHS acquisition regulations.
- *Procurement Operations* - Reviews and tracks NPPD contracts and small purchases, provides procedural guidance and support to NPPD staff, administers the purchase card program, and supports investment review. This office also serves as a liaison to the DHS procurement office.
- *Regulatory and Economic Analysis* - Ensures that NPPD guidance and regulatory actions consider alternatives and impacts; ensures that regulatory analyses are

completed following the requirements of statute, executive order, and Office of Management and Budget (OMB) policy; provides leadership with economic impact analysis related to NPPD programs and activities.

FY 2009 Accomplishments

- Provided day-to-day fiscal services and financial operations including funds approval, prompt payment of invoices, and payroll reconciliations
- Initiated an NPPD Internal Controls Program; in accordance with OMB Circular A-123, conducted assessments of internal controls on Funds Control and Budgetary Resource Management that will lead toward assurances in financial control and operational effectiveness. NPPD has:
 - Tested the design and control of Budgetary Resource Management processes
 - Tested the design and effectiveness of Entity Controls utilizing the Government Accountability Office tools checklist
 - Tested the design of fund balance with Treasury
 - Developed an improved process for analyzing and closing out undelivered obligations and unliquidated obligations
 - Improved invoice processing to reduce prompt pay penalties to less than \$200 per \$1 million of invoices processed
 - Improved the Intra-Governmental Payment and Collection processing and all payments were under 30 days
- Transitioned from Travel Manager to FedTraveler - a travel management system that allows for improved recordkeeping of electronic travel receipts
- Prepared the FY 2010 budget submission, Congressional briefings and testimony, and responded to questions for the record and getbacks
- Assisted with the transition planning to bring the Federal Protective Service (FPS) into NPPD in FY 2010
- Developed FY 2010 performance measures and managed the performance reporting for FY 2009 measures and year end results for the Annual DHS Performance Report; initiated a program self-assessment to validate and verify performance measure development and results reporting; supported the DHS Performance Improvement Council
- Worked with NPPD Human Capital to ensure the Government Performance Result Act performance measures were included in the appropriate Senior Executive Service performance plans
- Represented NPPD in the DHS Working Capital Fund Governance Board to review activities and proposals for new activities
- Conducted evaluations throughout FY 2009 of the NPPD payroll actuals and on board projections to evaluate the enacted payroll and expenditures; maintained and distributed to NPPD leadership and NPPD offices a detailed status of funds report to track financial performance
- Developed the NPPD Acquisition Review Process, which is designed to evaluate and improve the program management activities of all the Level 1 (>\$1,000 million), Level 2 (>\$300 million), and Level 3 (<\$300 million) programs in NPPD. As part of that development:

- Established the NPPD Acquisition Review Calendar
- Developed an Acquisition Advisory Council (AAC) Charter
- Conducted acquisition review process training and development for all the NPPD subcomponents
- Signed US-VISIT Mission Needs Statement Endorsed
- Reviewed and assessed all Level 1 and Level 2 NPPD acquisition portfolios
- Supported NPPD facilities expansion with cost estimation support, procurement requests, and monitoring of progress against the plan
- Provided ongoing assistance and review of ammonium nitrate rulemaking process and regulatory impact analysis
- Assisted US-VISIT acquisition and costing staff with ensuring consistency between regulatory and acquisition efforts; actively assisted US-VISIT with exit evaluation and rulemaking; provided senior leadership with analysis and recommendations on future program considerations
- Coordinated NPPD efforts for Secretary's Efficiency Initiative
- Conducted analytical review of NPPD subcomponent investment lifecycle cost estimates

FY 2010 Planned Accomplishments

- Design and conduct assessments of internal controls over financial and program operations; retest the design and control of budgetary resource management and test its effectiveness
- Develop an improved reconciliation process for the Federal Financial Management System and the procurement system to better evaluate the accuracy of processing commitments and obligations into the Federal Financial Management System
- Implement a web-based invoice consolidation payment system
- Transition the certification of purchase requests in the procurement and financial systems to the offices; train staff to transition and support requests for assistance during the year
- Prepare the FY 2011 budget submission, Congressional briefings and testimony, and respond to questions for the record and getbacks
- Institute Directorate-wide detailed operating plans for program and financial execution; measure progress against the plans through quarterly NPPD leadership reviews
- Audit program performance measure verification and validation data and develop corrective action plans for any weaknesses identified
- Update NPPD acquisition review process in accordance with the revised version of Directive-102
- Introduce FPS personnel to NPPD acquisition review process
- Ensure 80 percent of NPPD's acquisition portfolio undergoes an acquisition review
- Strengthen the Directorate knowledge base of program management techniques to enhance status reporting and to reduce program/project risk

FY 2011 Planned Accomplishments

- Consolidate multiple instances of accounting into a single instance to create efficiency and improve overall budgetary and financial operations and reporting
- Initiate internal control evaluations on budgetary and financial operations of sub-offices to ensure internal controls are maintained
- Prepare the FY 2012 budget submission, Congressional briefings and testimony, and respond to questions for the record and getbacks
- Review status of corrective action plans for performance measure verification and validation weaknesses and ensure that actions stay on track
- Mature the detailed operating plans to expand the financial planning to include expenditure projections and timelines; measure progress against the plans through quarterly NPPD leadership reviews
- Facilitate integration of improved regulatory and program alternative analysis to include appropriate cost benefit or other economic analysis in decision making
- Provide routine assessment of economic considerations of NPPD programs to leadership; develop toolkit of readily available models and economic database access to support decision making
- Enhance data utilization and facilitate component training where required to ensure NPPD continuously improves quantitative and regulatory analysis

Office of Resource Administration

The Office of Resource Administration (ORA) provides operational services for human capital planning, facilities and property, security, training, and emergency plans and continuity. The ORA consists of the following activities and elements:

- Human Capital - Responsible for recruiting, staffing, classification, performance management, awards, employee relations, benefits, pay & compensation, and personnel and payroll processing, as well as workforce utilization tracking by office and maintaining records of NPPD personnel.
- Training - Coordinates all of the mandatory and voluntary training requirements of the Directorate, the Department, and the Government.
- Facilities - Responsible for facilities property and logistics support, facility space planning, rent, procurement and oversight of facilities support services and Continuity of Operations activities.
- Assets and Property - Records Directorate property, manages the fleet of GSA-owned vehicles, and documents property records as well as disposal.
- Security- Implements all of the national security information programs, controlled unclassified information, and sensitive security information programs; procures the armed guards and escort services for NPPD facilities, physical access control and key control for NPPD facilities, and ensures that NPPD facilities' intrusion detection systems and security access control mechanisms are maintained and up-to-date.
- Emergency Plans and Continuity - Leads and coordinates the implementation of NPPD business continuity and emergency preparedness activities, including

continuity of operations (COOP) plans, incident information reporting, occupant evacuation plans, pandemic planning, and test, training, and exercise activities.

- Exercise Program - Plans exercises and coordinates NPPD participation in Departmental or governmentwide exercises.

FY 2009 Accomplishments

- 75 percent of positions authorized were filled or tentative job offers were extended
- Managed staffing level growth along with the associated need for space, equipment, and vehicles
- Implemented and established a full-service training program in conjunction with the Department's Training Branch
- Managed the Directorate Table of Organization, which lays out how personnel are aligned within the Directorate and staffing levels to assist in workforce planning
- Participated in DHS COOP exercises
- Updated NPPD COOP, Pandemic Influenza Annex, conducted COOP Exercise Eagle Horizon '09, and completed a net assessment of the Directorate's business continuity and emergency preparedness function

FY 2010 Planned Accomplishments

- Support long-range facilities planning efforts, including participating in the planning efforts for the eventual move to the St. Elizabeth's campus.
- Hire new positions requested in FY 2010
- Effectively transition the FPS workforce into NPPD
- Establish a full service human resources operation
- Participate in DHS COOP and Pandemic and H1N1 planning and exercises
- Strengthen the Directorate's business continuity and emergency preparedness posture and readiness to continue mission essential functions under all conditions
- Develop a consolidated facility plan for all NPPD components
- Implement and establish a full-service training program in conjunction with the Department's Training Branch
- Complete the absorption of FPS staff seamlessly into the NPPD training environment; establish full range of professional development opportunities for NPPD

FY 2011 Planned Accomplishments

- Strengthen the Directorate's business continuity and emergency preparedness posture and readiness to continue mission essential functions under all conditions
- Fill vacant and new positions
- Acquire an automated personnel tracking system for NPPD
- Participate in DHS COOP exercises
- Effectively transition all FPS facility, training, COOP and security functions into NPPD
- Create and deliver in-house developed training programs for NPPD staff to supplement Departmental offerings

NPPD Office of the Chief Information Officer

The NPPD Chief Information Officer actively participates in strategic planning efforts for information technology management by ensuring that systems and processes are integrated with the DHS Chief Information Office Strategic Plan and DHS goals and objectives. The Chief Information Officer approves, oversees, and monitors Cyber Security & Coordination, US-VISIT, Infrastructure Protection, and Risk Management and Analysis IT investment requests, as well as performs System Engineering Life Cycle reviews; recommends new IT projects and program activity priorities for funding to support NPPD mission; and evaluates future technologies and their ability to support DHS and NPPD future missions. The Chief Information Officer works closely with the Under Secretary and Deputy Under Secretary in overall planning, program alignment, coordination, and assessments associated with information technology management for NPPD, Cyber Security & Coordination, US-VISIT, Infrastructure Protection, and Risk Management and Analysis within DHS. The Chief Information Officer and staff serves as the NPPD representative on planning, oversight, leadership, and counsel committees sponsored by the DHS Chief Information Office.

FY 2009 Accomplishments

- Delivered and provided a wide-range of IT services via a Project Management Office in direct support of the NPPD mission, goals, objectives, and programs for major systems
- Successfully coordinated program/project execution according to the standards of the System Development Life Cycle for NPPD IT investments and projects, ensuring mission requirements were met and are cost-effective
- Developed and maintained NPPD enterprise architecture alignment with the DHS enterprise architecture
- Supported NPPD IT investment funding prioritization, allocation, and periodic reporting providing enhanced decision support capabilities to Directorate leadership
- Developed and maintained a Directorate information security program that is fully aligned with the Department, including development and enforcement of security policy, communications security management, designated approving authority, information system security management, and information system security officer training

FY 2010 Planned Accomplishments

- Work with the DHS Office of Chief Information Officer (OCIO) and improve NPPD subcomponent program and project alignment with DHS policy, directives, and mandates as evidenced by enhanced program/project justifications, expenditure plans, and project reports
- Work with DHS OCIO to further support implementation of DHS and NPPD initiatives for personal identification verification and logical access, trusted internet connection planning, and data center migration to achieve enhanced technology security, integrity, and efficiency

- Provide comprehensive leadership, oversight, and support to NPPD offices and improve efficiencies and effectiveness of NPPD and its technology management to bring enhanced discipline, clarity, and transparency to NPPD technology programs and activities
- Promote NPPD major program alignment to the DHS enterprise architecture in order to optimize the value of information technology and demonstrate sound stewardship of information technology resources
- Maintain a Directorate information security program that is fully aligned with the Department, including development and enforcement of security policy, communications security management, designated approving authority, information system security management, and information system security officer training

FY 2011 Planned Accomplishments

- Work with the DHS OCIO and improve NPPD component office program and project alignment with DHS policy, directives, and mandates as evidenced by enhanced program/project justifications, expenditure plans, and project reports
- Work with DHS OCIO to further support implementation of DHS and NPPD initiatives for personal identification verification and logical access, trusted internet connection planning, and data center migration to achieve enhanced technology security, integrity, and efficiency
- Provide comprehensive leadership, oversight, and support to NPPD offices and improve efficiencies and effectiveness of NPPD and its technology management to bring enhanced discipline, clarity, and transparency to NPPD technology programs and activities
- Promote NPPD major program alignment to the DHS enterprise architecture in order to optimize the value of information technology and demonstrate sound stewardship of information technology resources
- Ensure that the Directorate's information security program is fully aligned with the Department, including development and enforcement of security policy, communications security management, designated approving authority, information system security management, and information system security officer training

Office of Communications and Public Affairs

The Office of Communications and Public Affairs is the nexus for all NPPD communications, outreach, and awareness. The Office of Communications and Public Affairs is comprised of three branches: Internal Communications, External Communications, and Strategic Communications.

The Office of Communications and Public Affairs plays a lead role in developing and approving all correspondence and messaging intended for external or internal outreach or distribution. The Office of Communications and Public Affairs develops communications strategies and action plans to promote Directorate programs and

activities, and develops and posts content for all directorate and component pages on the Intranet site (DHSONline.gov) and on the Department's external website (DHS.gov).

FY 2009 Accomplishments

- Produced and distributed a variety of electronic products to improve communication with internal and external audiences. Products included:
 - Daily News Clips (NPPD/DHS-related media coverage)
 - Daily Report (summary of public speaking events, interviews, products, etc.)
 - "Weekly Update" Newsletter (NPPD/DHS news and announcements)
- Managed and monitored NPPD Speaker's Bureau through the OCPA External Communications branch. The Speaker's Bureau serves as the clearinghouse for all external public speaking requests multimedia (radio, television, and film opportunities).

FY 2010 Planned Accomplishments

- Launch iShare information sharing resource through Internal Communications branch. iShare will enable the NPPD workforce to blog/post about Directorate issues and events, as well as directly engage the Directorate's leadership team.
- Establish a series of topical monthly leadership fora led by NPPD leadership to discuss issues of interest or concern to the workforce through the NPPD Employee Advisory Council

FY 2011 Planned Accomplishments

- Develop NPPD blog for employees to communicate with leadership on a regular basis through the NPPD intranet site
- In coordination with DHS Office of Public Affairs and senior communicators throughout the Federal Government, devise a comprehensive and effective National Cybersecurity Awareness Month education and outreach campaign targeting nontraditional audiences (K-12, collegiate, urban).

Office of Information Management

The Office of Information Management is responsible for managing and improving external communications for NPPD. Information Management is comprised of the Executive Secretariat, Freedom of Information Act (FOIA)/Privacy, Records Management, and Audit Liaison functions.

- Executive Secretariat - Serves as the central processing point for formal documents and taskers sent to/from NPPD.
- Freedom of Information Act (FOIA)/Privacy - Works in concert with the Department Privacy Office, which serves as the steward of Section 222, the responsibilities of the Chief Privacy Officer, of the Homeland Security Act, the Privacy Act of 1974, the Freedom of Information Act, the E-Government Act of 2002 and the numerous laws, Executive Orders, court decisions, and

Departmental policies that protect the collection, use, and disclosure of personal and Departmental information.

- Records Management - Provides leadership and direction for the NPPD records management program; develops an overall records management strategy producing the policy, procedures, and guidance necessary to implement that program; develops policies and guidance on the application of technology to records management; coordinates the program within and outside NPPD overall.
- Audit Liaison - Serves as a liaison among external Departmental offices, the Government Accountability Office (GAO), Office of the Inspector General (OIG), and NPPD offices for all audit activities undertaken by either the GAO or OIG. Activities include entrance/exit conferences, fieldwork, release of draft and final reports, and recommendation follow-up.

FY 2009 Accomplishments

- Managed NPPD responses to OIG/GAO requests and tracked progress on open recommendations to promote closure of recommendations as appropriate; instituted policies and procedures to align with DHS Directive #077-02, Relations with the U.S. Government Accountability Office, including quarterly metrics reporting
- Researched and purchased Lockheed Martin's document management software, Internet Quorum, for the assignment, monitoring, reviewing, and editing of correspondence, action and information memoranda, congressional reports, White House requests, congressional questions for the record, and other material
- Ensured timely review and completion of NPPD reports to Congress
- Received and processed FOIA requests for information held by NPPD and provided guidance to NPPD personnel responsible for assisting with FOIA document and information requests
- In cooperation with Office of General Counsel, conducted Directorate-wide training on GAO and IG audit processes and procedures
- Continued working to build privacy protections into NPPD programs and systems
- Received approval to hire Directorate-level records manager and posted job by year-end

FY 2010 Planned Accomplishments

- Assign, monitor, review, edit, and manage correspondence, action and information memoranda, congressional reports, White House requests, congressional questions for the record, and other material
- Ensure timely review and completion of NPPD reports to Congress
- Receive and process FOIA requests for information held by NPPD and provide guidance to NPPD personnel responsible for assisting with FOIA document and information requests
- Ensure that privacy protections are maintained in NPPD programs and systems

FY 2011 Planned Accomplishments

- Assign, monitor, review, edit, and manage correspondence, action and information memoranda, congressional reports, White House requests,

congressional questions for the record, and other material using IQ software; conduct Directorate-wide training on processes and technology and provide guidance via an Executive Secretariat website

- Ensure timely review and completion of NPPD reports to Congress
- Ensure that privacy protections are maintained in NPPD programs and systems
- Formalize process mapping of all Office of the Under Secretary – Office of Information Management processes and procedures to make available to directorate components via the intranet
- Implement Electronic Records Management System and conduct Directorate-wide training on records retention processes and procedures

**Department of Homeland Security
National Protection & Programs Directorate
Management and Administration
Risk Management & Analysis
Program Performance Justification**
(Dollars in Thousands)

PPA: Risk Management & Analysis

	Perm. Pos	FTE	Amount
2009 Actuals	11	11	9,581
2010 Enacted	25	25	9,895
2011 Adjustments-to-Base	14	13	47
2011 Current Services	39	38	9,942
2011 Program Change	-	-	(152)
2011 Total Request	39	38	9,790
Total Change 2010 to 2011	14	13	(105)

In FY 2011, the NPPD requests \$9.790 million and 39 positions/38 FTE for Risk Management and Analysis (RMA). The FY 2011 Request includes 14 FTP/13 FTE offset by \$1.198 million in program/contract dollars. Adjustments-to-base include \$0.008 million for the 2010 pay increase; \$0.034 million for the 2011 pay increase; and a \$0.005 million increase to GSA rent. RMA’s program change is a \$0.152 million decrease to technical assistance programs supporting DHS components.

CURRENT SERVICES PROGRAM DESCRIPTION:

It is the mission of RMA to enable and advance the effective management of risk by the homeland security enterprise. RMA, collaborating across DHS, is working to achieve an integrated risk management capability that ensures risk information and analysis are provided to decision-makers to inform a full range of decisions – including strategy formulation, preparedness priorities, and resource allocation.

The Nation’s homeland security is imperiled by a wide variety of hazards including natural disasters, terrorism, cyber attacks, pandemics, manmade accidents, and transnational crime. Balancing competing requirements to address these hazards, prioritizing among ways and means to promote our homeland security, and determining and communicating the current and expected level of risk to the Nation are serious challenges for leadership, and ones that can be addressed, at least in part, through effective risk management. The National Strategy for Homeland Security states that the Department must apply a “risk-based framework across all homeland security efforts in order to identify and assess potential hazards and their downstream effects, determine

what levels of relative risk are acceptable, and prioritize and allocate resources among all homeland security partners, both public and private, to prevent, protect against, and respond to and recover from all manner of incidents¹.” Risk management is integral to effective decision making and must be a core element of homeland security enterprise management processes.

The Department’s approach to risk-informed decision making has matured considerably over the past 7 years and will continue to evolve as new analytic approaches are developed to deal with the complexities and uncertainties inherent in many of the risks for which DHS holds responsibility. Despite considerable progress, there is much that remains to be done. RMA, in conjunction with partners from across DHS and the homeland security enterprise – to include Federal, State, local, tribal, and territorial government organizations, the private sector, and NPPD’s international partners – is working to achieve an integrated approach to risk management that will increase the effectiveness of homeland security risk management. This approach will ensure that risk information and analysis are provided to decision makers to inform a full range of decisions, including strategy formulation, preparedness and mitigation priorities, and resource allocation.

FY 2009 Accomplishments

- Under the auspices of the Department’s Quadrennial Homeland Security Review (QHSR), RMA led a study team in 2009 that conducted a full review of the Homeland Security National Risk Assessment (HSNRA) concept. The work of the study group was captured in the October 2009 study group report, *HSNRA: Findings and Recommendations from the QHSR*, which clarified the need and requirements for a national risk assessment, and proposed a viable process and implementation plan to execute the assessment.
- Completed the Risk Assessment Process for Informed Decision-making (RAPID) prototype. The RAPID tool supports strategic policy and budgetary decision making, by assessing risk, evaluating risk reduction effects of DHS programs, and evaluating alternative resource allocation strategies. Its goal is to risk-inform the DHS Planning, Programming, Budgeting, and Execution (PPBE) cycle, including the Integrated Planning Guidance (IPG) and Resource Allocation Plans (RAP) guidance and the Resource Allocation Decision (RAD) process.
- Began implementing RAPID II, addressing a much fuller range of homeland security scenarios. Using RAPID II, RMA provided to the DHS Office of Policy on July 30, 2009, a detailed mapping for chemical and bioterrorism scenarios and a comparison of chemical, biological, radiological, and nuclear (CBRN) risks targeted for use in the FY 12-16 IPG. On September 30, 2009, RMA delivered to Policy a RAPID chemical and biological defense parametric analysis and demonstrated a functioning RAPID Analytical Tool. RMA will deliver RAPID II programmatic evaluations and tradeoff analyses based on program effectiveness judgments and validated program mapping by Spring 2010, together with the RAPID II analytical tool.

¹ The National Strategy for Homeland Security, October 2007, page 41.

- Published the Interim Integrated Risk Management Framework in January 2009. This keystone publication provides a foundation for developing follow-on policy, doctrine, and guidance that will institutionalize integrated risk management in the Department. The document outlines a vision, objectives, principles, and a process for integrated risk management within DHS, and identifies how the Department will achieve integrated risk management by developing and maturing governance, processes, training, and accountability methods.
- Published the first set of Risk Management Guidelines for risk practitioners across the homeland security enterprise. The Risk Management Guidelines provide a body of knowledge for DHS and its components to improve their risk management capabilities by promoting common and promising risk management processes and techniques. These primers capture and promulgate promising practices and lessons learned to promote convergence across DHS risk management activities and support education and training.
- Provided risk analytic expertise and support to DHS components and headquarters elements as requested. RMA provided technical assistance to the following programs:
 - **Interoperable Emergency Communications Grant Program (IECGP):** RMA supported the Federal Emergency Management Agency (FEMA) Grant Programs Directorate in the development of an “all-hazards” risk model for the IECGP. An “all-hazards” model is one of the implementing recommendations of the 9/11 Commission Act of 2007. This model will address both manmade disasters and natural disasters. IECGP provides governance, planning, training and exercise, and equipment funding to States, Territories, and local and tribal governments to carry out initiatives to improve interoperable emergency communications, including communications in collective response to natural disasters, acts of terrorism, and other manmade disasters.
 - **Target Capability List – Risk Management:** RMA and FEMA’s National Preparedness Directorate worked jointly to lead an effort to develop a target capability for risk management. As part of this effort, RMA hosted workshops with more than two dozen State and local homeland security officials to develop the capability targets.
 - **Office of Policy, Cyber:** In support of the Director of Cyber Security Policy within the DHS Office of Policy, RMA completed a preliminary assessment of cybersecurity risk. This assessment was coordinated with the NPPD Office of Cyber Security and Communications.
- Managed and led the administration and operation of a Department Risk Steering Committee (RSC). The Under Secretary for NPPD, pursuant to delegated authority from the Secretary, created a Departmentwide steering committee to serve as the Department’s risk management governance structure. The RSC, which is administered by RMA, is a three-tier construct. Tier I consists of all of the heads of DHS components; Tier II is comprised of Deputies (e.g., Deputy Under Secretary if in component with an Under Secretary); and in Tier III are senior policy and analysis staff. The RSC conducted more than two dozen meetings, including working groups, and hosted 10 Featured Risk Practice Series

presentations during which DHS components highlighted their methodologies and processes for assessing and managing risk to enhance their ability to achieve their missions.

- Chaired and led the Risk Methodology Committee for the DHS Special Events Program, and provided continuous support to the Special Events Working Group (SEWG). The SEWG is comprised of member representatives from 30 Departments, Agencies, components, and offices. The program was created to identify and assess all special events below the level of a National Special Security Event. In its role as Chair of the Methodology Committee, RMA assigned relative risk level to the 5,000+ special events submitted to DHS in an annual State and local data call; and presented results to the SEWG Co-Chairs (DHS/Ops, FEMA, USSS, FBI, and NPPD).
- Led the Department risk lexicon development program. The DHS Risk Lexicon was published in September 2008. Terms are continuously collected and evaluated for inclusion into the next DHS Risk Lexicon version.
- Conducted a functional needs assessment for the development of a risk management training curriculum for DHS, to include RSC members, senior leadership, program managers, and analysts.
- Supported FEMA in the development of State and local web-based risk management training.
- Led the Protect and Defend subobjective for the National Implementation Plan Global War on Terrorism to address the development of sound risk management, risk assessment, and risk mitigation practices to reduce vulnerabilities among all United States Government partners.
- National Academies: The FY 2008 DHS appropriations bill directed RMA to use up to \$1 million for the National Academy of Sciences (NAS) to: (1) evaluate the quality of the current DHS approach to measuring risk; (2) assess the significance accorded to the risk of natural disasters by such methodologies; (3) review the feasibility of combining terrorist threats and natural disasters within a single risk analysis; and (4) recommend how the risk models currently used by DHS can be improved and validated using empirical scientific standards. RMA supported the study and provided numerous briefs to NAS.

FY 2010 Planned Accomplishments

- Complete RAPID II - RMA will deliver the Department's first quantitative all hazards assessment of risk, as well as an initial evaluation of how well DHS' operational and primary enabling programs manage that risk. RAPID results will inform DHS' annual PPBE cycle of resource allocation decisions, including the FY 2012-2016 IPG, RAP, and the RAD process cycle. RMA will initiate the execution of RAPID III.
- Execute the HSNRA in calendar year 2010 - The HSNRA will inform strategy formulation and strategic decision-making by the Nation's homeland security leaders. This includes continuous DHS and interagency briefs, and State and local workshops with each of the FEMA regions. The HSNRA will:
 - Identify homeland security risks, including their likelihoods and consequences, to the Nation's strategic interests

- Analyze the identified strategic homeland security risks to produce a capstone document that includes a relative assessment of the risks and a comprehensive understanding of the drivers and conditions influencing those risks
- Identify strategic opportunities for managing these risks in order to improve security and resiliency across the homeland security enterprise
- Continue to build the Integrated Risk Management (IRM) Framework by developing an IRM policy statement for the Secretary to sign and an IRM Directive for the Department, as well as supporting implementing documents and instructions. These policy and guidance documents will help to operationalize the IRM Framework by further defining risk management priorities, and roles, responsibilities, and specific activities designed to enhance DHS' ability to lead the national homeland security risk management effort.
- Assign relative risk level to the 5,000+ special events submitted to DHS in an annual State and local data call; present results to the SEWG co-chairs. In addition:
 - Work with the Office of Intergovernmental Affairs to complete initial voluntary 2010 data call to State, local, tribal, and territorial event contributors and conduct analysis of the events
 - Chair the SEWG Risk Methodology Committee, conducting meetings as required
 - Co-chair the Risk Analysis Advisory Council and conduct ongoing analysis of additional risk data for new events and updated risk information for existing events and provide reports to the SEWG co-chairs
 - Conduct annual review of the Special Event Assessment Rating methodology and identification of opportunities to (1) improve the methodology to provide better information to the SEWG and (2) better align with risk analysis best practices; report findings to the SEWG co-chairs
- Provide risk analytic expertise and support to DHS components and HQ elements as requested. RMA is planning to provide technical assistance to the following programs:
 - GAO Draft Report: “Greater Attention to Key Practices Would Improve the Federal Protective Service’s Approach to Facility Protection” GAO-09-644SU (543230) - **GAO Recommendation 1:** “Instruct the Director of FPS to provide the Secretary with regular updates, on a mutually agreed-to schedule, on the status of RAMP and the National Countermeasures Program, including the implementation status of deliverables, clear timelines for completion of tasks and milestones, and plans for addressing any implementation obstacles.” DHS responded to GAO that FPS will continue to coordinate the methodological aspects of RAMP with RMA.
 - NPPD 60-Day Letter input for GAO 09-492 Final Report “Transportation Security: Comprehensive Risk Assessments and Stronger Internal Controls Needed to Help Inform TSA Resource Allocation.”

- In collaboration with its partners across DHS, RMA is working to help State, local, tribal, and territorial partners, including Fusion Centers, develop consistent risk management capabilities based on sound risk principles and processes. To that end, RMA is leading, in collaboration with FEMA, the development of a Comprehensive Preparedness Guide (CPG) focused on risk management. This effort will involve regional workshops to solicit a diverse set of perspectives (regional, functional, domain). The series will provide State and local jurisdictions and Fusion Centers with guidance on how to conduct analysis and build and achieve processes to manage their homeland security risks.
- RMA's risk management communications program will work to unify the risk communications activities and programs across the homeland security enterprise into an integrated strategy. The primary focus for this effort is to ensure clear and effective communications on risk and risk management developments across the enterprise.
- Produce additional risk management guidelines to continue to support the formalized training and education of homeland security risk practitioners. They will be reviewed and updated on an annual basis to ensure they remain an accurate reflection of, and relevant to, DHS risk management practice. Planned guideline topic areas include, but are not limited to: Modeling and Simulation, Expert Elicitation, Risk Communication, and Estimating Terrorism Threat Likelihood.
- Manage and lead the administration and operation of the RSC
- Provide technical risk analytical expertise and assistance for homeland security stakeholders as requested
- Produce strategic issue papers to serve as a forum to identify and assess strategic risk management issues facing the homeland security enterprise and provide decision-makers insight and recommendations to address these issues
- Continue to develop the Department's risk lexicon
- Begin to frame risk management approaches, analysis, and tools to support deliberate and crisis planning for homeland security operations (e.g. Fusion Centers, Protective Security Advisors)
- Complete the risk management study with NAS

FY 2011 Planned Accomplishments

- Modify the Homeland Security National Risk Assessment methodology as required
- Conclude RAPID III and incorporate the results to refine the methodology for the next RAPID iteration; prepare for application to inform the DHS's annual PPBE cycle of resource allocation decisions, including the FY 2013-2017 IPG and the process for developing the RAP and RAD
- Develop a risk analysis capability for contingency and crisis action planning
- Develop training modules for Strategic Risk Analysis for DHS components as well as State and local stakeholders
- Provide risk analytical tools to State and locals to assist them in conducting regional and local strategic risk assessments

- Continue to establish and formalize capability to provide technical assistance and support for DHS components and other homeland security stakeholders
- Provide general risk analytic expertise and support to DHS components and Headquarters elements as requested
- Continue the development and adoption of DHS risk management guidelines to serve as primers for DHS risk analysis practitioners on tactics, techniques, and procedures related to homeland security risk
- Manage and lead the administration and operation of the RSC.
- Continue to develop the Department's risk lexicon
- Continue the development of risk management approaches, analysis, and tools to support deliberate and crisis planning for homeland security operations. RMA will work with its partners in DHS to provide guidance and well as direct operational planning support to DHS components and offices, to support efforts such as execution of contingency planning, national exercises, and capability development planning.
- Continue to support FEMA and advance the CPG focus on risk management

IV. Program Justification Changes

**Department of Homeland Security
National Protection & Programs Directorate
Management and Administration
Directorate Administration
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: DHS Data Center Migration
PPA: Directorate Administration
Program Increase: Positions 0.0, FTE 0.0, Dollars \$2000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							145	145	34,347
Program Increase							-	-	2,000
Total Request	71	56	41,385	104	104	34,682	145	145	36,347

Description

FY 2011 requested funding will support the management of the NPPD data center migration for the continuation of system and application migration to the two DHS Enterprise Data Centers. This includes:

- Support for NPPD management, planning, and coordination of engineering activities associated with the discovery, migration, transition planning, and scheduling activities for NPPD systems/applications that will be migrating to the DHS Data Centers in FY 2011
- Component-level subject matter expert and engineering support to assist in systemic challenges and processes that cross multiple NPPD offices and systems as they migrate to the DHS Data Centers

Justification

In FY 2011, NPPD will have multiple systems across Cyber Security Coordination, US-VISIT, and Infrastructure Protection, as well as COOP/disaster recovery capabilities in various stages of migration into the two DHS Data Centers. In order to ensure coordination and execution, component-level oversight and planning is required to ensure

outcomes at the office/program/system level, and enhanced coordination with DHS OCIO and the Data Center-managed service providers.

Impact on Performance

NPPD data center consolidation efforts will enhance DHS IT security posture, improve information sharing with stakeholders, reduce costs, and increase operational efficiencies over time.

**Department of Homeland Security
National Protection & Programs Directorate
Management and Administration
Risk Management & Analysis
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: RMA Technical Assistance and Support
PPA: Risk Management & Analysis
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-152.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							39	38	9,942
Program Decrease							-	-	(152)
Total Request	11	11	9,581	25	25	9,895	39	38	9,790

Description of Item

The program decrease will reduce RMA’s technical assistance and support efforts in FY 2011. RMA provides risk management technical experts to help Federal, State, and local personnel develop and/or apply risk assessment/management concepts, methods, tools, and resulting data.

Examples of RMA technical assistance provided in FY 2009 and planned/in-process in FY 2010 include:

- **IECGP:** RMA supported FEMA’s Grant Programs Directorate in the development of an “all-hazards” risk model for the IECGP. An “all-hazards” model is one of the implementing recommendations of the 9/11 Commission Act of 2007. This model addressed both manmade and natural disasters.
- **Target Capability List – Risk Management:** RMA and FEMA’s National Preparedness Directorate jointly worked on a target capability for risk management. RMA led three workshops, hosted by FEMA, with State and local officials to build the target capability.
- **Office of Policy, Cyber:** In support of the Director of Cyber Security Policy within the DHS Office of Policy, RMA completed a preliminary assessment of cybersecurity risk. This assessment was coordinated with the NPPD Office of Cyber Security and Communications.
- In collaboration with FEMA and with its partners across DHS, RMA is working to help State, local, tribal, and territorial partners, including Fusion Centers, to develop risk management capabilities based on sound risk principles and processes. To that end, RMA is planning to lead, in collaboration with FEMA,

the development of a Comprehensive Preparedness Guide (CPG) series on risk management.

- GAO Draft Report: “Greater Attention to Key Practices Would Improve the Federal Protective Service’s Approach to Facility Protection” GAO-09-644SU (543230) - **GAO Recommendation 1:** “Instruct the Director of the Federal Protective Service to provide the Secretary with regular updates, on a mutually agreed-to schedule, on the status of RAMP and the National Countermeasures Program, including the implementation status of deliverables, clear timelines for completion of tasks and milestones, and plans for addressing any implementation obstacles.” DHS responded to GAO that FPS will continue to coordinate the methodological aspects of RAMP with RMA.
- RMA is providing 60-Day Letter input for GAO 09-492 Final Report “Transportation Security: Comprehensive Risk Assessments and Stronger Internal Controls Needed to Help Inform TSA Resource Allocation.”

Justification

The execution RAPID and the HSNRA will require the majority of the RMA-requested FY 2011 funding, and the level of technical assistance and support that RMA provides to stakeholders will be reduced. RMA must continue to focus on the priority requirement for the Department – strategic integrated risk analysis capability through the execution of the RAPID and the HSNRA. These two programs are critical to the strategic planning and programming processes of the Department. Any remaining available staff time or resources will focus first on continuing support for any open technical assistance items listed above and then on any new requests based on the priority/urgency of the request.

Impact on Performance

The Department continues to work toward a consistent application and integration of risk management methodologies and is in the process of determining how to resource RMA to provide Departmental components direct technical assistance. This decrease to the current technical assistance capability reduces the ability to integrate the Departmental risk assessment practices and management information consistently across the components. Integrated risk management addresses complex and crosscutting homeland security risks and no single entity within or outside of the Department can effectively balance these risks independently. This effort reflects concerted Departmental and national effort to integrate a wide range of homeland security missions and activities to manage risk to secure the homeland.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
National Protection and Programs Directorate
Management and Administration
Justification of Proposed Changes in Management and Administration
Appropriation Language**

For salaries and expenses of the Office of the Under Secretary for the National Protection and Programs Directorate, support for operations, information technology, and the Office of Risk Management and Analysis, \$[44,577,000] **46,137,000**: Provided, That not to exceed \$5,000 shall be for official reception and representation expenses.

Explanation of Change:

No substantive changes proposed.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
National Protection & Programs Directorate
Management and Administration
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	89	67	50,967
FY 2010 Enacted	129	129	44,577
Adjustments-to-Base	-	-	-
Increases	-	-	-
2011 Pay Increase	-	-	186
Annualization of 2010 Pay Raise	-	-	52
DHS Balanced Workforce Strategy	55	54	-
GSA Rent	-	-	28
Total Increases	55	54	266
Decreases	-	-	-
DHS Balanced Workforce Strategy	-	-	(554)
Total Decreases	-	-	(554)
Total, Adjustments-to-Base	55	54	(288)
FY 2011 Current Services	184	183	44,289
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
DHS Data Center Migration	-	-	2,000
RMA Technical Assistance and Support	-	-	(152)
Total, Program Changes	-	-	1,848
FY 2011 Request	184	183	46,137
FY 2010 to FY 2011 Total Change	55	54	1,560

C. Summary of Requirements

**Department of Homeland Security
National Protection & Programs Directorate
Management and Administration
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	89	67	50,967
FY 2010 Enacted	129	129	44,577
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	55	54	266
Decreases	-	-	(554)
Total, Adjustments-to-Base	55	54	(288)
FY 2011 Current Services	184	183	44,289
Program Changes	-	-	-
Total, Program Changes	-	-	1,848
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	184	183	46,137
Total Change 2010 to 2011	55	54	1,560

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Directorate Administration	104	104	34,682	145	145	36,347	41	41	1,665	-	-	2,000	41	41	(335)
Risk Management & Analysis	25	25	9,895	39	38	9,790	14	13	(105)	-	-	(152)	14	13	47
Subtotal, Estimates Program Project Activity	129	129	44,577	184	183	46,137	55	54	1,560	-	-	1,848	55	54	(288)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	129	129	44,577	184	183	46,137	55	54	1,560	-	-	1,848	55	54	(288)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
National Protection & Programs Directorate
Management and Administration**
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	7,726	13,466	18,421	4,955
11.5 Other personnel compensation	154	268	368	100
12.1 Benefits	2,334	4,067	5,562	1,495
21.0 Travel	121	278	278	-
22.0 Transportation of things	26	-	-	-
23.1 GSA rent	6,136	3,143	3,171	28
23.3 Communications, utilities, and misc. charges	132	457	457	-
25.1 Advisory and assistance services	18,472	13,804	6,786	(7,018)
25.2 Other services	808	513	513	-
25.3 Purchases from Gov't accts.	11,784	8,526	10,526	2,000
25.7 Operation and maintenance of equipment	2,055	-	-	-
26.0 Supplies and materials	225	55	55	-
31.0 Equipment	994	-	-	-
Total, Object Class	50,967	44,577	46,137	1,560
Total, Direct Obligations	50,967	44,577	46,137	1,560

F. Permanent Positions by Grade

Department of Homeland Security National Protection & Programs Directorate Management and Administration Permanent Positions by Grade

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	6	8	8	-
Total, EX	4	1	1	-
GS-15	25	34	34	-
GS-14	19	31	34	3
GS-13	13	23	36	13
GS-12	13	22	44	22
GS-11	7	10	24	14
GS-9	2	-	3	3
Total Permanent Positions	89	129	184	55
Unfilled Positions EOY	2	6	1	(5)
Total Permanent Employment EOY	87	123	183	60
Full Time Equivalents	67	129	183	54
Headquarters	89	129	184	55
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total, Location	89	129	184	55
Average ES Salary	165,944	169,263	172,817	3,554
Average GS Salary	110,336	112,543	114,906	2,363
Average Grade	13	14	14	-

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
National Protection & Programs Directorate
Management and Administration
Directorate Administration
Funding Schedule
(Dollars in Thousands)**

PPA: Directorate Administration	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	6,406	10,893	14,910	4,017
11.5 Other personnel compensation	128	217	298	81
12.1 Benefits	1,935	3,290	4,502	1,212
21.0 Travel	88	243	243	-
22.0 Transportation of things	26	-	-	-
23.1 GSA rent	6,136	2,613	2,636	23
23.3 Communications, utilities, and misc. charges	132	409	409	-
25.1 Advisory and assistance services	13,001	8,140	2,472	(5,668)
25.2 Other services	46	510	510	-
25.3 Purchases from Gov't accts.	10,510	8,362	10,362	2,000
25.7 Operation and maintenance of equipment	1,984	-	-	-
26.0 Supplies and materials	195	5	5	-
31.0 Equipment	799	-	-	-
Total, Object Class	41,386	34,682	36,347	1,665
Total, Directorate Administration	41,386	34,682	36,347	1,665
Full Time Equivalents	56	104	145	41

PPA Mission Statement

The National Protection and Programs Directorate (NPPD) Directorate Administration includes the Office of the Under Secretary, the Office of Resource Administration, the Office of Budget and Financial Management, the Office of Information Management, the Office of Communications and Public Affairs, and the Office of Information Technology.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	6,406	10,893	14,910	4,017

The FY11 Request includes \$19,711,000 for salaries and benefits for 145 FTE; an increase of \$5,114,000 for federal staffing realignment of 41 FTE; \$196,000 in pay increases over the FY10 request.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	128	217	298	81

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	1,935	3,290	4,502	1,212

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	88	243	243	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY11 request includes \$243,000 for federal travel, no change from the FY10 enacted.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	26	-	-	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	6,136	2,613	2,636	23

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY11 Request of \$2,636,000 includes an increase of \$23,000 over the FY10 enacted to cover annual rent escalations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	132	409	409	-

Communications, Utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY11 request for \$409,000 reflects no change from the FY10 enacted.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	13,001	8,140	2,472	(5,668)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY11 request is \$2,472,000, which includes an offset of \$5,114,000, for Federal staffing realignments of 41 FTE and an efficiency of \$554,000 associated with the realignment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	46	510	510	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY11 request of \$510,000 reflects no change from the FY10 enacted.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	10,510	8,362	10,362	2,000

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request of \$10,362,000 reflects a \$2,000,000 increase over the FY 2010 request to cover the costs associated with NPPD's continued migration of systems and applications to the two DHS data centers, which NPPD will fund through the DHS Working Capital Fund.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	1,984	-	-	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY11 request reflects no change over the FY10 enacted.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	195	5	5	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY11 request of \$5,000 reflects no increase in Supplies & Materials over the FY 2010 enacted.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	799	-	-	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY11 request reflects no change from the FY10 enacted.

**Department of Homeland Security
National Protection & Programs Directorate
Management and Administration
Risk Management & Analysis
Funding Schedule
(Dollars in Thousands)**

PPA: Risk Management & Analysis	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,320	2,573	3,511	938
11.5 Other personnel compensation	26	51	70	19
12.1 Benefits	399	777	1,060	283
21.0 Travel	33	35	35	-
23.1 GSA rent	-	530	535	5
23.3 Communications, utilities, and misc. charges	-	48	48	-
25.1 Advisory and assistance services	5,471	5,664	4,314	(1,350)
25.2 Other services	762	3	3	-
25.3 Purchases from Gov't accts.	1,274	164	164	-
25.7 Operation and maintenance of equipment	71	-	-	-
26.0 Supplies and materials	30	50	50	-
31.0 Equipment	195	-	-	-
Total, Object Class	9,581	9,895	9,790	(105)
Total, Risk Management & Analysis	9,581	9,895	9,790	(105)
Full Time Equivalents	11	25	38	13

PPA Mission Statement

Risk Management and Analysis conducts strategic integrated risk analysis and develops the DHS Integrated Risk Framework.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,320	2,573	3,511	938

The FY11 request includes \$4,641,000 for salaries and benefits for 37 FTE; an increase of \$1,198,000 Federal staffing realignment of 13 FTE; and \$42,000 in pay increases over the FY10 enacted.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	26	51	70	19

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	399	777	1,060	283

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	33	35	35	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes \$35,000 for travel, no change over the FY10 enacted.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	-	530	535	5

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY11 Request includes \$535,000, an increase of \$5,000 to cover annual rent escalations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	-	48	48	-

Communications, Utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request includes \$48,000, no change over the FY10 enacted.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	5,471	5,664	4,314	(1,350)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request is \$4,314,000, which includes a decrease of \$1,198,000 for Federal staffing realignment of 13 FTE, and a decrease of \$152,000 to technical assistance.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	762	3	3	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY11 request of \$3,000 represents no change from the FY10 enacted amount.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	1,274	164	164	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY11 request of \$164,000 reflects no change from the FY10 enacted.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	71	-	-	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. There is no funding requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	30	50	50	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY11 request of \$50,000 reflects no change from the FY10 enacted.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	195	-	-	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY11 request of \$0 reflects no change from the FY10 enacted amount.

I. Changes in Full Time Equivalent

**Department of Homeland Security
National Protection & Programs Directorate
Management and Administration
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	40	67	129
INCREASES	-	-	-
Filled Vacant Positions	27	62	-
DHS Balanced Workforce Strategy	-	-	54
Subtotal, Increases	27	62	54
DECREASES	-	-	-
Year End Actual / Estimated FTEs:	67	129	183
Net Change from prior year base to Budget Year Estimate:	27	62	54

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
National Protection & Programs Directorate
Management and Administration**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Directorate Administration	6,060	5,389	7,949	2,560
Risk Management and Analysis	471	1,225	1,352	127
Total Working Capital Fund	6,531	6,614	9,301	2,687

Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security



Fiscal Year 2011
Overview
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
Infrastructure Protection and Information Security

I. Appropriation Overview

A – Mission Statement for Infrastructure Protection and Information Security

Infrastructure Protection

The Office of Infrastructure Protection (IP) leads the coordinated national effort to reduce risk to our critical infrastructure and key resources posed by acts of terrorism and enables national preparedness, timely response, and rapid recovery in the event of an attack, natural disaster, or other emergency.

Identification and Analysis – The Information and Analysis mission area includes projects and activities that support identification, prioritization, and protection of the Nation’s critical infrastructure and key resources, as well as assessment of critical infrastructure and key resource vulnerabilities, consequences and risks. These activities provide a comprehensive inventory of the Nation’s critical infrastructure and key resource assets. The program collects vulnerability and consequence information required to produce comprehensive asset and system risk analyses. They enable analysis of infrastructure interdependencies and cascading effects through strategic and tactical risk analysis for critical infrastructure and key resource protection, simulation and modeling, and intelligence fusion with information from practical field assessments.

Coordination and Information Sharing – The Coordination and Information Sharing mission area includes projects and activities that maximize the ability of government and private sector partners at all levels to assess risks, coordinate programs and processes, and execute risk mitigation programs and activities. Coordination and Information Sharing is responsible for executing the National Infrastructure Protection Plan and coordinating the efforts of the 18 sectors to implement and execute their Sector-Specific Plans. These activities foster information sharing and coordination between individual sector governance structures as well as facilitating development of critical infrastructure partner governance and coordination structures and models.

Mitigation Programs – The Mitigation Programs mission area includes voluntary and regulatory projects and activities, which enable security partners to identify and mitigate vulnerabilities, implement protective measures and report on risk mitigation activities, and increase preparedness and resilience for facilities, systems, and surrounding communities. They support public awareness efforts; facilitate the sharing of critical infrastructure and key resource protection-related best practices and lessons learned; and enable infrastructure protection planning, readiness, and incident management.

Infrastructure Protection derives its mission from the following statutes and regulations:

- Homeland Security Act of 2002
- Intelligence Reform and Terrorism Prevention Act of 2004
- Homeland Security Presidential Directive-7, “Critical Infrastructure Identification, Prioritization, and Protection”
- Section 550 of the Fiscal Year 2007 Homeland Security Appropriations Act
- Section 563 of FY 2008 Homeland Security Appropriations Act
- Energy Policy Act of 2005
- Homeland Security Presidential Directive-19, “Combating Terrorist Use of Explosives in the United States”
- Other Executive Orders, Homeland Security Presidential Directives and National Security Presidential Directives.

Cybersecurity and Communications

The Office of Cybersecurity and Communications reduces risk to the Nation’s communication and information technology infrastructures, enables timely response and recovery of these infrastructures under all circumstances, and coordinates national security and emergency preparedness communications planning and provision for the Federal Government. Cybersecurity and Communications includes: *the National Cyber Security Division, the Office of Emergency Communications, and the National Communications System.*

The National Cyber Security Division partners with private sector, government, military, and intelligence stakeholders to conduct risk assessments and mitigate vulnerabilities and threats to information technology assets and activities affecting the operation of the civilian government critical cyber infrastructures. The National Cyber Security Division provides cyber threat and vulnerability analysis, early warning, and incident response assistance for public and private sector constituents. In addition, the National Cyber Security Division carried out the majority of DHS’ responsibilities under the Comprehensive National Cybersecurity Initiative. The National Cyber Security Division is comprised of the following congressional appropriated programs: *United States Computer Emergency Readiness Team (US-CERT), Strategic Initiatives, and Outreach and Programs.*

United States Computer Emergency Readiness Team – US-CERT leverages technical competencies in Federal network operations and threat analysis centers to develop knowledge and knowledge management practices supporting Federal stakeholders as they make key operational and execution decisions. It analyzes and reduces cyber threats and vulnerabilities, disseminates cyber threat warning information, and coordinates with partners and customers to achieve shared cyber situational awareness related to the Nation’s cyber infrastructure. US-CERT addresses the need for a single, accountable focal point for achieving cybersecurity throughout the Federal enterprise by utilizing a holistic approach to Federal government network security, enabling cybersecurity challenges to be addressed in a manner that maximizes value and minimizes risks associated with technology and security investments. US-CERT also manages the development, acquisition, deployment, and personnel support required to implement the National

Cybersecurity Protection System, operationally known as EINSTEIN. Additionally, US-CERT addresses the need to build a skilled cyber workforce for today's and tomorrow's Federal government; provides a set of comprehensive resources that can be used to appropriately manage supply chain risk across the lifecycle of networks, systems, and components; and oversees the implementation of national cybersecurity policies and ensures appropriate resources are available to support the mission and its specialized information technology systems.

Strategic Initiatives – Strategic Initiatives establishes mechanisms for Federal partners to deploy standardized tools and services at a reduced cost, paving the way for a collaborative environment that enables sharing of best practices and common security challenges and shortfalls. Strategic Initiatives develops and promulgates sound practices for software developers, information technology security professionals and other critical infrastructure and key resources stakeholders, and collaborates with the public and private sectors to assess and mitigate risk to the Nation's cyber critical infrastructure and key resources.

Outreach and Programs – Outreach and Programs promotes opportunities to leverage the cybersecurity research and development investments of public and private industry partners. It promotes cybersecurity awareness among and within the general public and key communities, maintains relationships with governmental cybersecurity professionals to share information about cybersecurity initiatives, and develops partnerships to promote collaboration on cybersecurity issues. Outreach and Programs also supports the National Cyber Security Division mission by establishing cybersecurity strategy and planning efforts through integrating resource management, human capital, facilities, performance management, and policy development and implementation into the broad array of issues addressed by the National Cyber Security Division.

Office of Emergency Communications – The Office of Emergency Communications supports and promotes the ability of emergency response providers and government officials to continue to communicate in the event of natural disasters, acts of terrorism, or other man-made disasters. The Office of Emergency Communications works to ensure, accelerate, and attain interoperable emergency communications nationwide.

The National Communications System was established by President Kennedy to bring about a single unified national communication system that allows Federal, State and local branches of government the ability to communicate during emergencies. The National Communications System is comprised of the following programs: *Priority Telecommunications Services, Critical Infrastructure Protection, Programs to Study and Enhance Telecommunications, and Next Generation Network.*

Priority Telecommunications Services – The Priority Telecommunications Services (PTS) program provides specially designed telecommunications services to the national security and emergency preparedness user community during natural or man-made disasters when conventional communications services are ineffective.

These telecommunication services are used to coordinate response and recovery efforts and, in severe conditions, assist with Continuity of Operations and Government. Also included within PTS are the Customer Service Branch (also known as Industry-Government Interagency Processes, IGIP) which manages the Committee of Principles, a confederation of 24 departments, agencies; industry partnerships through the National Security Telecommunications Advisory Committee; and Sector Specific Agency responsibilities for communication under HSPD-7.

Next Generation Network – The Next Generation Network program is a technology initiative to maintain and migrate legacy priority voice telecommunications features from the current public switched telephone network (PSTN), which is the current industry base to an Internet protocol (IP) based system, to which the industry is rapidly transitioning their voice services. The Office of the Manager, National Communication System is working with industry to apply priority to data and video applications as technology becomes available.

Programs to Study and Enhance Telecommunications – The Programs to Study and Enhance Telecommunications (PSET) program develops models and conducts technical analyses of public communications infrastructures and equipment to provide resiliency and identify vulnerabilities in new communications in the event of natural or man-made disasters. In accordance with National Presidential Security Directive – 51/ Homeland Security Presidential Directive - 20, PSET is developing a Continuity Communication Architecture (CCA). PSET also works on Committee on Foreign Investment in the United States (CFIUS) to review national security implications of foreign investments of U.S. companies. PSET works with national and international non-government standards bodies to ensure that evolving commercial standards address the technical requirements of national security and emergency preparedness communications.

Critical Infrastructure Protection – The Critical Infrastructure Protection program ensures the continued availability of national security and emergency preparedness telecommunications services under all circumstances, including emergency, attack, recovery, and reconstitution. The program includes: National Coordinating Center Operations (which includes the 24x7 Watch); Critical Infrastructure Protection Operations; Plans and Policy; Training and Exercises; Network Security Information Exchanges (NSIE); and Telecommunications Service Priority.

B – Budget Activities

Infrastructure Protection

In FY 2011, NPPD requests \$333.778 million for Infrastructure Protection, including 734 positions/700 FTE. This represents a decrease of \$13.525 million from the FY 2010 Enacted budget of \$347.303 million.

Identification and Analysis – In FY 2011, NPPD requests \$82.837 million for the Identification and Analysis program, including 134 positions/127 FTE. This represents a decrease of \$7.773 million below the FY 2010 Enacted budget of \$90.610 million. These funds support the vulnerability assessments, infrastructure sector analysis, infrastructure data management, infrastructure visualization, and infrastructure information collection projects.

Coordination and Information Sharing – In FY 2011, NPPD requests \$52.515 million for the Coordination and Information Sharing program, including 89 positions/86 FTE. This represents a decrease of \$7.067 million from the FY 2010 Enacted budget of \$59.582 million. These funds support the management and facilitation of critical infrastructure and key resources partnerships, operation and coordination of the associated Information Sharing Environment, coordination and management of the National Infrastructure Protection Plan and 18 supporting Sector-Specific Plans, preparation of the National Annual Report, development of National Infrastructure Protection Plan activity performance metrics, coordination of the Sector Annual Reports, development and execution of a variety of education/training/outreach programs, and Infrastructure Protection’s Management and Planning projects.

Mitigation Programs – In FY 2011, NPPD requests \$198.426 million, for the Mitigation Programs, including 511 positions/487 FTE. This represents an increase of \$1.315 million over the FY 2010 Enacted budget of \$197.111 million. These funds support the coordination and management of the Department’s regulatory authority over high-risk chemical facilities and ammonium nitrate; bombing prevention activities; protective security advisor support; Sector-Specific Agency responsibilities; and incident management, contingency, and readiness activities.

Cybersecurity and Communications

In FY 2011, NPPD requests \$532.186 million for Cybersecurity and Communications, including 498 positions/462 FTE. This represents a decrease of \$19.927 million from the FY 2010 Enacted budget of \$552.113 million.

Within the National Cyber Security Division:

United States Computer Emergency Readiness Team – In FY 2011, NPPD requests \$314.989 million for the United States Computer Emergency Readiness Team, including 288 positions / 263 FTE. This represents a decrease of \$8.640 million over the FY 2010 Enacted budget of \$323.629 million. These funds support NPPD’s role in the Comprehensive National Cybersecurity Initiative (CNCI) and the other cybersecurity activities.

Strategic Initiatives – In FY 2011, NPPD requests \$56.880 million for Strategic Initiatives, including 38 positions / 29 FTE. This represents a decrease of \$7.299

million over the FY 2010 Enacted budget of \$64.179 million. These funds support NPPD's role in cybersecurity activities.

Outreach and Programs – In FY 2011, NPPD requests \$6.875 million for Outreach and Programs, including 16 positions / 14 FTE. This represents a decrease of \$2.471 million over the FY 2010 Enacted budget of \$9.346 million. These funds support NPPD's role in cybersecurity activities.

Office of Emergency Communications – In FY 2011, NPPD requests \$44.524 million for the Office of Emergency Communications, including 58 positions/58 FTE. This represents a decrease of \$0.536 million over the FY 2010 Enacted budget of \$45.060 million. These funds will support and promote the ability of emergency response providers and Federal Officials to continue to communicate in the event of natural disasters, acts of terrorism, or other manmade disasters, and to ensure, accelerate, and attain interoperable Emergency Communications nationwide.

Within the National Communications System:

Priority Telecommunications Services – In FY 2011, NPPD requests \$56.283 million for Priority Telecommunications Services, including 41 positions/FTE. This represents a decrease of \$0.490 million from the FY 2010 Enacted budget of \$56.773 million. These funds support the operation of the Government Emergency Telecommunications System, Wireless Priority Service, Special Routing Agreement Service, the Industry-Government and Interagency Processes, and funds for the Assistant Secretary, Cyber Security and Communications.

Next Generation Network – In FY 2011, NPPD requests \$21.095 million for the Next Generation Network. This represents a decrease of \$3.905 million from the FY 2010 Enacted budget of \$25.000 million. These funds support the transition of national security and emergency preparedness communications systems from the public switched networks to the next generation networks.

Programs to Study and Enhance Telecommunications – In FY 2011, NPPD requests \$16.657 million for Programs to Study and Enhance Telecommunications, including 28 positions/FTE. This represents a decrease of \$0.117 million from the FY 2010 Enacted budget of \$16.774 million. These funds support modeling, simulation, technology assessments, National Security and Emergency Preparedness standards, and vulnerability assessments on advanced technologies and converged networks.

Critical Infrastructure Protection Program – In FY 2011, NPPD requests \$14.884 million for the Critical Infrastructure Protection programs, including 29 positions/FTE. This represents an increase of \$3.532 million over the FY 2010 enacted budget of \$11.352 million. These funds support National Coordinating Center, Critical Infrastructure Protection Operations, planning, Network Security Information Exchange, and the Telecommunications Service Priority program.

C – Budget Request Summary

In FY 2011, NPPD requests 1,232 positions/1,162 FTE and \$865.965 million for Infrastructure Protection and Information Security. This represents an increase of 97 FTP / 138 FTE and a decrease of \$33.451 million from the FY 2010 Enacted budget of \$899.416 million. The FTP and FTE amounts include an additional 51 FTP/106 FTE funded through offsets from program/contract dollars.

Adjustments-to-Base

- Annualization of \$5.233 million for 38 positions received in FY 2010 (22 Infrastructure Security Compliance, 15 US-CERT, 1 Strategic Initiatives);
- Annualization of the calendar year 2010 pay increase: \$0.426 million;
- Calendar year 2011 pay increase: \$1.462 million;
- 51 FTP/106 FTE funded through offsets from program/contract dollars;
- GSA Rent inflation increase: \$0.187 million;
- A non-recurring adjustment of (\$8.000 million) for data center migration efforts;
- A transfer of \$4.000 million to move the National Computer Forensic Institute to Federal Law Enforcement Training Center.

Program Changes

Identification and Analysis – A net program decrease of \$8.002 million and an increase of 4 positions and decrease of 2 FTE. The program changes include: a decrease of 5 FTE and \$0.700 million to salaries and benefits across the PPA based on a trend analysis of historic filled rates; an increase of \$1.588 million and 4 positions / 2 FTE for Information Technology Enterprise Modernization for the Infrastructure Information Collection Project; a decrease of \$3.697 million to Vulnerability Assessments program funding; a decrease of \$1.013 million to Infrastructure Visualization to scale down CWIN capabilities; a \$4.163 million decrease to Infrastructure Sector Analysis program funds; and a \$0.017 million decrease to Infrastructure Data Management program funds.

Coordination and Information Sharing – A net program decrease of \$7.275 million and 3 FTE. The program changes include: a decrease of 3 FTE and \$0.419 million to salaries and benefits across the PPA based on a trend analysis of historic filled rates; a decrease of \$10.021 million to CIKR Partnerships and Information Sharing program funds; a decrease of \$4.088 million to NIPP Management program funds; and a net increase of \$7.253 million to Management, Planning, and Administration program funds.

Mitigation Programs – A net program decrease of \$2.546 million, an increase of 5 positions, and a decrease of 19 FTE. The program changes include: a decrease of 23 FTE and \$2.998 million to salaries and benefits across the PPA based on a trend analysis of historic filled rates; an increase of \$1.935 million and 5 positions / 4 FTE for the Sector Specific Agency Management Critical Manufacturing Sector. Program decreases include

a decrease of \$0.099 million to Infrastructure Coordination and Incident Management program funds; a decrease of \$0.052 million to Protective Security Advisor program funds; a decrease of \$0.285 million to Infrastructure Security Compliance program funds; a decrease of \$0.047 million to the Office of Bombing Prevention program funds; and a decrease of \$1.000 million for the Philadelphia Infrastructure project.

United States Computer Emergency Readiness Team – A net program increase of \$0.984 million and an increase of 37 positions / 19 FTE. Program changes include: a decrease of \$13.543 million across multiple US-CERT projects to fund higher priority DHS initiatives; an increase of \$5.000 million and 26 positions / 13 FTE to advance Federal coordination of cybersecurity-related activities; and an increase of \$9.528 million and 11 positions / 6 FTE to enable the implementation of Assessment, Testing and Analysis Capability program that intends to test and measure departments’ and agencies’ compliance with laws, regulations, policies, and standards relating to information security, and also to establish and maintain a holistic, enterprise view of the Federal government’s current security state.

Strategic Initiatives – A net program decrease of \$7.492 million.

Outreach and Programs – A net program decrease of \$2.500 million.

Office of Emergency Communications – A net program decrease of \$0.686 million. Program changes include an increase of \$1.000 million for the Public Safety Broadband Interoperability program in Federal Communication Services, and decreases of \$1.000 million for SEARCH funding, \$0.566 million for Multi-Jurisdictional Communications Services and \$0.120 million for Policy, Planning and Analysis.

Priority Telecommunications Services – A net program decrease of \$0.640 million as a result of increased program efficiencies.

Next Generation Network – A net program decrease of \$3.905 million, including a program decrease of \$3.576 million as a result of funding higher priority activities and a program decrease of \$0.329 million as a result of increased program efficiencies.

Programs to Study and Enhance Telecommunications – A net program decrease of \$0.172 million as a result of increased program efficiencies.

Critical Infrastructure Protection – A net program increase of \$3.475 million, including a program increase of \$3.576 million to support the National Coordinating Center 24x7 Watch and Title Globe and a program decrease of \$0.101 million as a result of increased program efficiencies.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Identification & Analysis	75	79,232	130	90,610	127	82,837	(3)	(7,773)	(3)	(8,002)	-	229
Coordination & Information Sharing	83	57,862	89	59,582	86	52,515	(3)	(7,067)	(3)	(7,275)	-	208
Mitigation Programs	194	147,583	469	197,111	487	198,426	18	1,315	(19)	(2,546)	37	3,861
National Cyber Security Division	79	252,140	-	-	-	-	-	-	-	-	-	-
US-CERT	-	-	144	323,629	263	314,989	119	(8,640)	19	984	100	(9,624)
Strategic Initiatives	-	-	28	64,179	29	56,880	1	(7,299)	-	(7,492)	1	193
Outreach and Programs	-	-	14	9,346	14	6,875	-	(2,471)	-	(2,500)	-	29
Office of Emergency Communications	27	34,138	52	45,060	58	44,524	6	(536)	-	(686)	6	150
Priority Telecommunications Services	40	57,178	41	56,773	41	56,283	-	(490)	-	(640)	-	150
Next Generation Networks	-	43,200	-	25,000	-	21,095	-	(3,905)	-	(3,905)	-	-
Programs to Study & Enhance Telecommunications	18	11,877	28	16,774	28	16,657	-	(117)	-	(172)	-	55
Critical Infrastructure Protection	23	8,116	29	11,352	29	14,884	-	3,532	-	3,475	-	57
National Command & Coordination Capability	-	2,417	-	-	-	-	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	539	693,743	1,024	899,416	1,162	865,965	138	(33,451)	(6)	(28,759)	144	(4,692)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	539	693,743	1,024	899,416	1,162	865,965	138	(33,451)	(6)	(28,759)	144	(4,692)

III. Current Services Program Description by PPA

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Identification & Analysis
Program Performance Justification**
(Dollars in Thousands)

PPA: Identification & Analysis

	Perm. Pos	FTE	Amount
2009 Actuals	83	75	79,232
2010 Enacted	130	130	90,610
2011 Adjustments-to-Base	-	-	229
2011 Current Services	130	130	90,839
2011 Program Change	4	(3)	(8,002)
2011 Total Request	134	127	82,837
Total Change 2010 to 2011	4	(3)	(7,773)

In FY 2011, NPPD requests \$82.837 million for the Identification and Analysis program, including 134 positions/127 FTE. This represents a decrease of \$7.773 million below the FY 2010 enacted budget of \$90.610 million. These funds support the vulnerability assessments, infrastructure sector analysis, infrastructure data management, infrastructure visualization, and infrastructure information collection projects.

The FY 2011 request includes adjustments to base of \$0.229 million for pay inflation. NPPD proposes an increase of \$1.588 million and 4 positions/2 FTE for the Infrastructure Information Collection Project for Information Technology Enterprise Modernization. Program decreases include \$0.700 million to salaries and benefits to reduce 5 FTE across the PPA based on historical fill rates; \$3.697 million to Vulnerability Assessments program funds; \$4.163 million to Infrastructure Sector Analysis program funds; \$1.013 million to Infrastructure Visualization program funds; and \$0.017 million to Infrastructure Data Management program funds.

CURRENT SERVICES PROGRAM DESCRIPTION

\$ thousands	FY 2010 Enacted		FY 2011 Request	
Personnel Costs	\$	16,503	\$	16,453
Program Costs	\$	74,107	\$	66,384
Total Costs	\$	90,610	\$	82,837

Identification and Analysis mission supports Infrastructure Protection's capability to identify, prioritize, and protect the Nation's critical infrastructure and key resources, assess critical infrastructure and key resource vulnerabilities and consequences, prioritize assets and systems, and analyze risk. These efforts provide a comprehensive inventory of the Nation's critical infrastructure and key resources and a capability to collect the vulnerability and consequence information required to conduct incident management and response activities necessary for comprehensive asset and system risk analyses. Efforts include critical infrastructure and key resources-related simulation and modeling as well as intelligence fusion with information from field assessments. This information enables analysis of interdependencies and cascading effects. Identification and Analysis' five Projects include: *Vulnerability Assessments, Infrastructure Sector Analysis, Infrastructure Visualization, Infrastructure Data Management, and Infrastructure Information Collection*. The descriptions below provide more definition and clarity of the capabilities provided by each of the Projects.

Vulnerability Assessments

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	16	16	\$2,275	15	16	\$2,214	-1	0	-\$61
Program Costs			\$24,246			\$20,549			-\$3,697
Total	16	16	\$26,521	15	16	\$22,763	-1	0	-\$3,758

The Vulnerability Assessments Project is an Office of Infrastructure Protection-led collaborative effort between the Federal, State, local, and private sectors to identify vulnerabilities and enhance the security and resilience of the Nation's Level 1 and Level 2 (formerly referred to as the Tier 1 and Tier 2 list—nomenclature change was made to differentiate between this effort and facilities covered by the Chemical Facility Anti-Terrorism Standards) critical infrastructure and key resources, and provide capabilities to identify and prioritize infrastructure at the State and Sector levels. The Project fulfills the requirements of Homeland Security Presidential Directive 7 by coordinating efforts among Federal, State, and local governments and the private sector to protect the Nation's critical infrastructure and key resources, as well as supporting implementation of the National Infrastructure Protection Plan and the National Response Framework.

The Vulnerability Assessment Project conducts specialized field assessments to identify vulnerabilities of Level 1 and Level 2 critical infrastructure and key resources, providing

the foundation for the risk-based implementation of protective programs designed to prevent, deter, and mitigate the risk of a terrorist attack while enabling timely, efficient response and restoration in an all-hazards post-event situation. Current efforts cover the spectrum of field teams conducting single Site Assistance Visits and Buffer Zone Plans to larger-scale assessments of infrastructure “clusters,” systems and regions via the interagency Regional Resiliency Assessment Program. The Regional Resiliency Assessment Program examines vulnerabilities, threats, and potential consequences from an all-hazards perspective to identify dependencies, interdependencies, cascading effects, resiliency characteristics, and security gaps, and provide a comprehensive analysis of a region’s critical infrastructure and key resources, and prevention and protection capabilities.

The Computer-Based Assessment Tool (CBAT) complements these assessments by integrating assessment data with 360 degree geospherical video and geospatial and hypermedia data of facilities, surrounding areas, routes and other areas of interest, creating an interactive visual guide of any location. This provides Federal, State and local law enforcement, emergency response personnel and critical infrastructure and key resources owners and operators with a computer-based, cross-platform tool that allows them to present data, make informed decisions quickly, and confidently respond to an incident.

Additionally, the Vulnerability Assessment Project, in cooperation with the Nuclear Regulatory Commission, conducts security consultations to analyze the vulnerabilities and threats to the locations of proposed nuclear reactors. The security consultations are mandated by Section 657 of the Energy Policy Act of 2005.

Infrastructure Sector Analysis

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	42	42	\$4,525	41	42	\$4,405	-1	0	-\$120
<i>HITRAC</i>			\$10,299			\$10,136			-\$163
<i>NISAC</i>			\$20,000			\$16,000			-\$4,000
Program Costs			\$30,299			\$26,136			-\$4,163
Total	42	42	\$34,824	41	42	\$30,541	-1	0	-\$4,283

The Infrastructure Sector Analysis project provides the integrated capability to conduct comprehensive, timely, actionable, and risk-informed assessments, modeling, simulation, and analysis to advance the Nation’s understanding of the dynamic risk landscape impacting critical infrastructure and key resources. The Infrastructure Sector Analysis project, through the Homeland Infrastructure Threat and Risk Analysis Center (HITRAC) and the National Infrastructure Simulation and Analysis Center (NISAC) analyzes and monitors risks to the Nation’s infrastructure and provides key public and private sector decision-makers with risk-informed analytic products that influence the prioritization of risk-reduction strategies. In addition to its analytic products, the Infrastructure Sector Analysis project also develops and deploys methodologies, tools, and technologies that

enable National Infrastructure Protection Plan implementation and other risk mitigation activities at the Federal, State, local, Tribal, and Territorial government and private-sector levels.

Infrastructure Visualization

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	19	19	\$2,550	18	19	\$2,482	-1	0	-\$68
Program Costs			\$3,135			\$2,122			-\$1,013
Total	19	19	\$5,685	18	19	\$4,604	-1	0	-\$1,081

The Infrastructure Visualization project provides access to infrastructure information, geospatial tools, technologies, and methodologies to support planning, preparedness, and protection efforts and situational awareness. Infrastructure Visualization provides near real-time situational awareness of the Nation’s infrastructure status, critical infrastructure and key resources incident management information, and access to geospatial and information management tools. Critical infrastructure and key resources situational awareness is enhanced through the production of related geospatial products that support various operational activities of the Protective Security Advisors, Chemical Security Inspectors, Infrastructure Liaison Officers, and the Office of Infrastructure Protection’s contingency planning and incident management, as well as other organizations internal and external to the Department that require display or mapping of the Nation’s infrastructure.

Infrastructure Data Management

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	27	27	\$3,628	26	27	\$3,531	-1	0	-\$97
Program Costs			\$4,196			\$4,179			-\$17
Total	27	27	\$7,824	26	27	\$7,710	-1	0	-\$114

Infrastructure Data Management Project (IDM) establishes common and consistent standards in the collection, data management, and protection of infrastructure data. This capability is critical in leading DHS efforts to protect data management systems and provide standardized, relevant, and customer-focused infrastructure information to homeland security partners. The IDM project establishes policies and standards to guide the infrastructure data collection, maintenance, storage, and sharing activities within IP. IDM takes a data management leadership role within IP on all issues related to infrastructure data to ensure development of integrated, coordinated, and efficient solutions that support the broader infrastructure protection community within the interagency community; State, local, territorial, and tribal governments; and the private sector. Specifically, the IDM project continues implementation of the CII Act of 2002 through the Protected Critical Infrastructure Information (PCII) Program. It ensures the efficient use of resources by establishing and managing a data collection requirements

process. It also establishes robust partnerships across Federal, State, and local governments, coordinates with the DHS Enterprise Data Management Office (EDMO), the U.S. Department of Justice (DOJ) National Information Exchange Model (NIEM), and the Geospatial Management Office (GMO) to establish standards for infrastructure data and establishes policies for infrastructure data quality, dissemination, and use.

Infrastructure Information Collection Project

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	26	26	\$3,525	27	30	\$3,820	1	4	\$295
Program Costs			\$12,231			\$13,398			\$1,167
Total	26	26	\$15,756	27	30	\$17,218	1	4	\$1,462

The Infrastructure Information Collection Project is a secure, government-owned capability for a risk-related infrastructure information collection repository that contains quantitative, asset-specific risk data for the assets within the 18 critical infrastructure and key resources sectors. The Infrastructure Information Collection Project integrates multiple infrastructure information data sources, including existing Departmental data tools, into one viable IT interface in order to offer a comprehensive package for data risk analysis through a protected access system that is easily accessible for both clients and end users. The DHS tools integrated into Infrastructure Information Collection Project include the Automated Critical Asset Management System (formerly referred to as the Constellation/Automated Critical Asset Management System), the Methodology Technical Implementation, which includes the Risk Self-Assessment Tool (formally the Voluntary Information Self-Assessment Tool), and Integrated Common Analytical Viewer. The Infrastructure Information Collection Project adheres to the Web-based, Service Oriented Architecture selected by the Department.

The Infrastructure Information Collection Project provides a standardized collection management capability to harmonize the collected data with DHS’ pre-existing data model(s); the integration of data standards to provide common and consistent information; a common information collection, maintenance, and update process; and a processing capability to fuse and disseminate information to infrastructure protection partners internal and external to DHS. By combining these features into a single, integrated system, the Infrastructure Information Collection Project allows the DHS and other infrastructure protection partners to prioritize data, to perform sector, cross-sector, geographic, and national risk analysis, and to view asset and sector interdependencies. By producing a composite record comprised of the highest quality attributes among a collection of internal and external databases, the investment will improve the quality and depth of infrastructure information available to a wide range of essential stakeholders, including senior DHS officials, Homeland Security Advisors, Sector Specific Agencies, asset owners, and other partners. Overall, the Infrastructure Information Collection Project’s incorporation of risk-based data standards and collection procedures will improve the analytical products of other programs within the IP, as well as those of external partners across the Nation. In performing its functions, the Infrastructure

Information Collection Project supports Homeland Security Presidential Directive 7, the National Infrastructure Protection Plan, and Public Law 110-53.

FY 2009 Identification and Analysis Accomplishments

- Developed a pre-construction assessment methodology, which can be utilized in the design phase of new critical infrastructure and key resource construction. This methodology assesses the vulnerabilities of the design, annotates the protective measures needed to mitigate vulnerabilities, and includes a cost analysis of enacting those protective measures.
- Expanded the focus of vulnerability assessments from primarily individual assets to emphasis on critical infrastructure and key resource “clusters,” regions, and systems through the Regional Resiliency Assessment Program. Conducted 5 Regional Resiliency Assessment Programs.
- Expanded the National Guard Vulnerability Assessment Program to increase the number of nationwide critical infrastructure and key resource vulnerability assessments from 315 to 450.
- Expanded Critical Infrastructure Red Team work, expanding to four additional sectors in 2009. In each of the four targeted sectors, Critical Infrastructure Red Team worked with the Sector-Specific Agencies, and the respective owners/operators, to enhance their awareness of operationally validated vulnerabilities, improve protective postures against these vulnerabilities, and identify those required capabilities where Federal assistance is needed, such as DHS Science & Technology development, law enforcement grants, and exercise coordination.
- Developed an enhanced Level 1/Level 2 program, identifying and prioritizing nationally significant assets. Worked with partners to provide prioritization and analysis during incident response. Began work to expand program by working with stakeholders to nominate assets and systems for individual Sector, State, and Territory Lists. Enhancements allow users to categorize the infrastructure and resources they submit as single assets, systems, and clusters; such distinctions will assist data analysts with researching the interdependencies between assets and asset groups.
- Established and implemented a Request for Information (RFI) process and standard operating procedure for handling IP RFIs. Collaborated with IP mission partners to synchronize efforts and leverage tools for managing and tracking RFIs.
- Improved the quality assurance and quality control process for reviewing infrastructure data received from IP mission partners. The methodology standardized data collected and increased the accuracy and completeness of the data being managed and disseminated by IICD.
- Enhanced and implemented infrastructure data standards, infrastructure data elements and standard infrastructure information requirements to enable information sharing and establish a common nomenclature across the critical infrastructure protection community.
- Developed and implemented a plan for modifying the current Level1/Level 2 program data collection process. The solution streamlines the current process, integrates IP user applications, provides continuous access to data to mission partners and increases the quality of data managed by IP.

- Established foundational data management documents that shape the framework for assisting IP in establishing data standards, information requirements, and operating procedures. The purpose of these documents is to help ensure the consistency and relevance of infrastructure data in support of homeland security and homeland defense missions.
- Produced the FY 2010 Critical Foreign Dependencies List and Executive Report for FY 2010, a comprehensive inventory of infrastructure located outside the United States that if disrupted or destroyed, would lead to loss of life in the United States, or critically affect the Nation's economic, industrial, or defense capabilities.
- Completed deployment of the Integrated Common Analytical Viewer (iCAV) NextGen Web-based geospatial analysis capability on the DHS unclassified network. Completed development of Web-based training for the iCAV tool suite to significantly increase the iCAV user base while achieving a significant cost savings over instructor-led training.
- Developed the first-ever joint geospatial map book with the National Geospatial-Intelligence Agency (NGA) in support of the 2009 Major League Baseball All-Star Game.
- Initiated the Homeland Infrastructure Foundation Level Data (HIFLD) to the Regions effort to deploy 24 infrastructure data and geospatial analysis subject matter experts to the eight Protective Security Advisor (PSA) Areas.
- Enhanced the Infrastructure Data Taxonomy application to improve the delineation of infrastructure attributes of interest and foster ongoing feedback from end users. The application includes a mapping function that crosswalks different versions of the infrastructure taxonomy to quickly highlight areas of change between the versions.
- Increased Protected Critical Infrastructure Information accredited entities by two Federal agencies and 10 States and established new information sharing partnerships that incorporate Protected Critical Infrastructure Information protections.
- Trained over 7,000 new authorized users in the procedures for handling, use, and safeguarding of Protected Critical Infrastructure Information.
- Completed Initial Operating Capability of the Integrated Data Warehouse to enable compilation and dissemination of information to infrastructure protection.
- Developed a framework and automated a systematic process for the collection and management of infrastructure information nationwide and achieved Initial Operating Capability for the Infrastructure Information Collection System.
- Achieved Initial Operating Capability for the For Official Use Only Infrastructure Information Collection System Development and Test Systems.
- Finalized the Automated Critical Asset Management System 2.3 software requirements for the next upgrade.
- Established an Automated Critical Asset Management System production environment at a DHS Data Center.
- Enhanced infrastructure protection and Critical Infrastructure and Key Resources Asset Protection Technical Assistance Program service by deploying the Automated Critical Asset Management System Web-based training courseware, which dramatically lowered training costs for the Infrastructure Information Collection Division and for 35 State and local partners by leveraging distributed learning technology.

- Conducted the annual Critical Infrastructure and Key Resources Asset Protection Technical Assistance Program conference and rolled out distance learning and Web-based training applications to meet State and local users' needs, including periodic refresher training for analysts.
- Developed and implemented a Learning Management System for the Automated Critical Asset Management System.
- Completed voluntary chemical risk assessment pilot project for the Chemical Sector and the development/implementation of the Risk Self-Assessment Tool module for arenas and stadiums for the Commercial Facilities Sector.
- Completed efforts to build risk and vulnerability assessment tools vital to DHS efforts to execute National Comparative Risk Assessment. Completed tools will include the Risk Self-Assessment Tool for the Commercial Facilities Sector, the Risk Assessment Methodology – Water tool, enhancement of the Security and Emergency Management System tool for the Water Sector, the Food and Agriculture Sector Criticality and Assessment Tool version 2.0 for the Food/Agriculture Sector, the Risk Assessment Methodology – Dams tool for the Dams Sector, and the voluntary chemical risk assessment pilot project for the Chemical Sector.

FY 2010 Identification and Analysis Planned Accomplishments

- Conduct approximately 450 vulnerability assessments through Site Assistance Visit assessments, Buffer Zone Protection Plans, and the Regional Resiliency Assessment Program with a focus on Level 1/Level 2 assets, regional resiliency, specific CIKR clusters, and National Security Special Events venues, utilizing the National Guard, as per the established Memorandum of Agreement, in coordination and collaboration with Federal, State, local, and private sector partners. Assessment results will be utilized to influence facility security; direct DHS grant dollars to address equipment gaps in local law enforcement; and identify trends across sectors.
- Conduct approximately 10 New Nuclear Reactor Security Consultations that independently identify vulnerabilities at new reactor sites which the Nuclear Regulatory Commission incorporates into overall security evaluation and identify mitigating protective measures.
- Conduct Regional Resiliency Assessments in Seattle, Washington; Boston, Massachusetts; Atlanta, Georgia; Las Vegas, Nevada; Amarillo/Hereford, Texas; and the Kanawha River Valley region in West Virginia.
- Refine the methodologies and processes used to develop the National Critical Foreign Dependencies List and Executive Report. Work with Federal and public/private sector partners to develop a comprehensive inventory of infrastructure located outside the United States that if disrupted or destroyed, would lead to loss of life in the United States, or critically affect the Nation's economic, industrial, or defensive capabilities. Complete risk and risk-informed assessments as necessary for assets and systems found on the National Critical Foreign Dependencies List.
- Evaluate gaps in incident response products; continually work towards building an improved set of self-initiated analytical products that anticipate IP's incident-related information requirements. For example, ensure that a prioritized list of critical infrastructure and key resources can be immediately provided to leadership after an event has occurred.

- Complete release 1 of the Infrastructure Data Collection Application that allow IP to manage asset level data with more flexibility, efficiency, and accuracy, in order to better serve critical infrastructure protection mission partners.
- Complete the migration of the entire iCAV system from the Mt. Weather Data Center to DHS Data Center 2.
- Complete the implementation of three iCAV unclassified software development spirals to dramatically increase the capabilities and supporting data for Federal, State, and local iCAV users.
- Complete the Homeland Infrastructure Foundation Level Data (HIFLD) to the Regions deployment of 25 infrastructure data and geospatial analysis subject matter experts to the eight Protective Security Advisor (PSA) Areas.
- Complete the development of an IP remote sensing standard operating procedure to streamline IP remote sensing requirements management and data acquisition.
- Gain formal membership in the Interagency Remote Sensing Coordination Cell (IRSCC) to ensure timely access to mission critical remote sensing data.
- Complete the migration of all IICD training activities into a single, Web-based learning environment to streamline training access and delivery while dramatically reducing training costs.
- Codify the Infrastructure Data Collection management process to support the gathering, storage, and distribution of the infrastructure information that is required to fulfill the Infrastructure Protection mission. This will include the completion of a collection requirements management system prototype.
- Work with Infrastructure Data Taxonomy stakeholders to mature the infrastructure attributes of interest found within the taxonomy, and solicit feedback for developing the next version of the taxonomy. Collect customer requirements to further enhance the robustness of the Infrastructure Data Catalog.
- Train 2,200 new users to handle and use Protected Critical Infrastructure Information to avoid unauthorized disclosures.
- Complete the release of software for the Automated Critical Asset Management System version 3.0.
- Complete the release of the Automated Critical Asset Management System version 3.1 and implement the beta-tested version in the production environment.
- Redesign and deploy version 2.0 of the Automated Critical Asset Management System Web-based training.
- Achieve Full Operating Capability for Automated Critical Asset Management System Continuity of Operations systems and train an estimated 1,200 State and local officials on building and implementing critical infrastructure protection plans on the use of the Automated Critical Asset Management System.
- Achieve Initial Operating Capability for the Secret Infrastructure Information Collection System Development and Test System to create an environment to store prioritized data for use by homeland security partners.
- Achieve Initial Operating Capability for the For Official Use Only Infrastructure Information Collection System Production System to ensure infrastructure data is integrated, accessible, and distributed to the regional critical infrastructure and key resources community.

- Achieve Initial Operating Capability for the Secret Infrastructure Information Collection System Production Subsystem to ensure infrastructure data is integrated, accessible, and distributed to the regional critical infrastructure and key resources community.
- Complete the following within the Methodology Technical Implementation: the integration of the Risk Self-Assessment Tool and the Voluntary Chemical Assessment Tool with the Infrastructure Information Collection System, the Food and Agriculture Sector Criticality and Assessment Tool, version 2.0, the Security and Emergency Management System tool for the Water Sector, and the Risk Assessment Methodology for Dams tool for the Dams Sector.
- Complete efforts to build additional risk and vulnerability assessment tools for the Emergency Services, Transportation, and Government Facilities, Public Health sectors vital to DHS efforts to execute National Comparative Risk Assessment.

FY 2011 Identification and Analysis Planned Accomplishments

- Conduct New Nuclear Reactor Security Consultations in conjunction with Nuclear Regulatory Commission schedules as permitted by available funding.
- Conduct a minimum of 275 Vulnerability Assessments.
- Conduct inventories of equipment used in vulnerability assessments to ensure greater agility in conducting assessments and producing reports in the field.
- Conduct performance reviews on 10 percent of the assessment teams to ensure the National Guard assessment teams have the training needed to conduct assessments.
- Execute Regional Resiliency Assessment Program in high-risk Urban Areas Security Initiative regions. PSCD plans to conduct 6-8 RRAPs in FY2011. The final number conducted will be dependent the RRAP site selection process, which involves reviewing, prioritizing, and selecting critical clusters identified by States during the annual Level 1 and Level 2 data call. The number of UASI regions is dependent on the locations of the RRAP sites selected.
- Revise and reformat Characteristics and Common Vulnerabilities (CV), Potential Indicators of Terrorist Activity (PI), Protective Measures (PM) Reports and meta-tag corresponding Site Assistance Visits, Buffer Zone Plans, Regional Resiliency Assessment Program, and other reports for management and reference purposes.
- Issue 2010 Outreach Summary Report and 2011 Outreach Plan for the National Infrastructure Simulation and Analysis Center.
- Integrate appropriate modeling, simulation, and analysis requirements into National Infrastructure Simulation and Analysis Center work plan for upcoming year and complete National Infrastructure Simulation and Analysis Center End of Year Report. Initiate National Infrastructure Simulation and Analysis Center five year program review.
- Provide hurricane and other incident support as needed and continue to distribute current products via new and existing information sharing mechanisms.
- Prioritize fiscal year 2011 capability gaps and requirements and develop National Annual Report Chapters.
- Develop and refine approaches and tools that support cross-sector risk analyses.
- Continue to expand risk and risk management outreach, analysis, and Red Teaming activities to additional Sectors, regional and state and local security partners as well

as expanding coordination activities with international partners (anticipate 14 additional partnership engagements for FY2011).

- Complete the annual National Critical Infrastructure Prioritization Program Level 1/Level 2 data call to identify and prioritize the Nation's infrastructure assets.
- Continue to conduct state visits to discuss expansion of the Level 1/Level 2 program and promote the Infrastructure Risk Analysis partnership program (anticipate 20 regional/states coordination events for FY2011).
- Continue to work with sector and state partners to refine 18 prioritized sector infrastructure list and 56 state and territorial infrastructure lists.
- Conduct a technical refresh of the iCAV suite of tools to ensure continued operation at maximum efficiency and availability, while incorporating the most recent advances in information technology.
- Complete the implementation of a complete redundant iCAV system at the Stennis Data Center to ensure continuity of iCAV operations and the continued accessibility of iCAV capabilities and data.
- Complete the implementation of three iCAV unclassified software development spirals to dramatically increase the capabilities and supporting data for Federal, State, and local iCAV users.
- Complete the integration of the iCAV suite of tools with the National Operations Center (NOC) Common Operational Picture (COP) 2.0 technical architecture to ensure the use of common, consistent infrastructure and situational awareness data across DHS.
- Complete the fourth revision and release of the Infrastructure Data Taxonomy, which provides a common framework and infrastructure nomenclature, to capture, update and expand key data elements about critical infrastructure and key resource assets across the Nation.
- Enhance, refine and expand the infrastructure data catalog that is used to manage, store and codify infrastructure data.
- Expand the Infrastructure Data Governance Council to develop and implement policies for infrastructure data management, standards and data sharing across the Infrastructure Protection enterprise and with external mission partners to adjudicate data policy issues and harmonize DHS data management policies.
- Increase by 10 percent the number of Federal and State entities accredited by the Protected Critical Infrastructure Information Program to safeguard, handle, use, and disseminate Protected Critical Infrastructure Information to facilitate access to vital infrastructure information by homeland security officials.
- Achieve Full Operating Capability of the Protected Critical Infrastructure Information Management System.
- Increase by 20 percent the number of Protected Critical Infrastructure Information authorized users who are trained in the policies and procedures for handling, use and safeguarding Protected Critical Infrastructure Information to ensure that there are no unauthorized disclosures or inappropriate use.
- Complete the integration of the Automated Critical Asset Management System with the Infrastructure Information Collection System.
- Complete release of the Automated Critical Asset Management System versions 3.2 and 3.3 and implement beta-tested versions in the production environment.

- Plan and deploy version 2.1 of the Automated Critical Asset Management System Web-based training.
- Achieve Initial Operating Capability for the Infrastructure Information Collection System's Continuity of Operations System.
- Achieve Full Operational Capability of For Official Use Only and Secret Infrastructure Information Collection System Production and Continuity of Operations systems to increase the amount of infrastructure data accessible and available to the homeland security community by integrating numerous data sets into the Infrastructure Information Collection System to improve national risk management for critical infrastructure and key resources.
- Complete an enhancement of additional Risk Self-Assessment Tool sub-Sector modules.
- Complete efforts to build additional risk and vulnerability assessment tools for all six critical infrastructure and key resource sectors managed within DHS (i.e., Chemical, Commercial Facilities, Dams, Emergency Services, Critical Manufacturing, and Nuclear) to support the execution of the National Comparative Risk Assessment.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Coordination & Information Sharing
Program Performance Justification**
(Dollars in Thousands)

PPA: Coordination & Information Sharing

	Perm. Pos	FTE	Amount
2009 Actuals	83	83	57,862
2010 Enacted	89	89	59,582
2011 Adjustments-to-Base	-	-	208
2011 Current Services	89	89	59,790
2011 Program Change	-	(3)	(7,275)
2011 Total Request	89	86	52,515
Total Change 2010 to 2011	-	(3)	(7,067)

In FY 2011, NPPD requests \$52.515 million for the Coordination and Information Sharing program, including 89 positions / 86 FTE. This represents a decrease of \$7.067 million from the FY 2010 enacted budget of \$59.582 million. These funds support the management and facilitation of CIKR Partnerships, operation and coordination of the associated Information Sharing Environment, coordination and management of the National Infrastructure Protection Plan and 18 supporting Sector-Specific Plans, preparation of the National Annual Report, development of National Infrastructure Protection Plan implementation activity performance metrics, coordination of the Sector Annual Reports, development and execution of a variety of education/training/outreach programs, and Infrastructure Protection’s Management and Planning projects.

The FY 2011 request includes adjustments to base of \$0.208 million, including increases of \$0.151 million for pay inflation and \$0.057 million for GSA Rent. Program decreases include \$0.419 million to salaries and benefits to reduce 3 FTE across the PPA based on historical fill rates; \$4.088 million to NIPP Management program funds; \$10.021 million to CIKR Partnerships program funds; and a net increase \$7.253 million to Management, Planning, and Administration program funds for data center migration.

CURRENT SERVICES PROGRAM DESCRIPTION

\$ thousands	FY 2010 Enacted	FY 2011 Request
Personnel Costs	\$ 10,093	\$ 9,825
Program Costs	\$ 49,489	\$ 42,690
Total Costs	\$ 59,582	\$ 52,515

The Coordination and Information Sharing mission area coordinates the public-private partnership activities that are the foundation for the Nation’s infrastructure protection and resilience strategy. It enhances and facilitates the ability of government and private sector critical infrastructure and key resources partners at all levels to assess risks, coordinate programs and processes, and execute risk mitigation programs and activities. In support of partner coordination, IP leads, integrates, and coordinates the execution of the National Infrastructure Protection Plan and the 18 Sector-Specific Plans. IP also is the nexus for information sharing, coordinates individual sector governance structures, and facilitates and provides the development and ongoing support of these partner governance and coordination structures or models. The mission area: manages the Information Sharing Environment and processes essential to the partnership (*CIKR Partnerships and Information Sharing*); measures and analyses the performance of National Infrastructure Protection Plan activities and enhances national capabilities and awareness through education, training, and outreach (*National Infrastructure Protection Plan Management*); and supports IP (*Management, Planning, and Administration*).

National Infrastructure Protection Plan Management

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	24	24	\$3,315	23	24	\$3,226	-1	0	-\$89
Program Costs			\$11,731			\$7,643			-\$4,088
Total	24	24	\$15,046	23	24	\$10,869	-1	0	-\$4,177

The National Infrastructure Protection Plan Management Project has three major activities:

- Coordination, development, and execution of the National Infrastructure Protection Plan (NIPP);
- NIPP activity performance metrics and national annual reporting; and
- Critical infrastructure protection education, training, and outreach.

The National Infrastructure Protection Plan Management Project serves as the foundation for all IP activities related to the NIPP and the 18 Sector-Specific Plans. The project is the vehicle through which a broad range of public and private sector partners interface with DHS. The project has overall responsibility for managing the collaboration, coordination, integration, awareness, measurement and reporting, education, training and outreach processes that result in implementation and execution of the NIPP and its Sector-Specific Plans. Some of the project’s responsibilities include: leading and coordinating the implementation and execution of the NIPP and the Sector-Specific Plans; managing the NIPP annual review and maintenance process and supporting the review and maintenance of the Sector-Specific Plans; developing guidance documents; connecting sectors with tools or methodologies to achieve their NIPP and Sector-Specific Plan goals and objectives; supporting and promoting a strategic framework to ensure that Sector-Specific Agencies, other partners at all levels of government, and the private

sector collaborate in the development, implementation, and maintenance of national approaches to information sharing, protection, and resilience; promoting understanding and engagement in the development and execution of the NIPP and Sector-Specific Plans through the development of multi-media materials and participation in national and sector-level events; developing and delivering education and training initiatives to ensure skilled professionals are available to implement the NIPP and the Sector-Specific Plans; as well as providing direct support to the sectors to ensure the NIPP is not only implemented consistently and comprehensively, but also kept responsive to the changing risk environment.

The National Infrastructure Protection Plan Management Project is responsible for measurement and reporting related to the national critical infrastructure and key resources protection and resilience mission area. Measuring, analyzing, and reporting the performance of the program helps to ensure accountability, provide transparency among sector partners, and provide information on the collective progress in enhancing critical infrastructure protection and resilience. The measurement and reporting goal is to develop comprehensive reports that measure the efficacy of risk management activities performed under the NIPP and the progress made in reducing the risks of the Nation’s critical infrastructure and key resources to terrorist attacks and other hazards to inform national and sector-level risk management decisions. The National and Sector Critical Infrastructure and Key Resources Protection Annual Reports, due to the Executive Office of the President and Congress annually, are the key mechanisms for achieving this goal.

The National Infrastructure Protection Plan Management Project provides the leadership, guidance, structure, and technical expertise to develop, support, and sustain a comprehensive Education, Training, and Outreach Program that engages all DHS and IP components and critical infrastructure and key resource partners. This is accomplished by building national awareness to support the critical infrastructure and key resources protection and resilience program, related protection investments, and protection and resilience activities. Outreach and awareness efforts promote an understanding of the all-hazards environment and of what is being done to protect and enable the timely restoration of the Nation’s critical infrastructure and key resources. These efforts are further supported by education and training programs that ensure that skilled and knowledgeable professionals and experienced organizations are able to undertake NIPP implementation and execution.

Critical Infrastructure and Key Resources Partnerships and Information Sharing

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	26	26	\$3,514	25	26	\$3,421	-1	0	-\$93
Program Costs			\$26,164			\$16,143			-\$10,021
Total	26	26	\$29,678	25	26	\$19,564	-1	0	-\$10,114

The Critical Infrastructure and Key Resources Partnerships and Information Sharing Project builds, sustains, and ensures the effective coordination and operations of the

comprehensive network of structures, mechanisms, and processes that engage all critical infrastructure and key resources stakeholders across the Nation. It enables systematic and sustainable communication, coordination, and information exchange among all partners. The resourcing of the partnerships structures and their operations is organized through sector partnership activities and Critical Infrastructure and Key Resources Information Sharing Environment activities.

Public-private partnership activities are the foundation of the Nation’s strategy for critical infrastructure protection and resilience. Although diverse and numerous, critical infrastructure and key resources stakeholders in these partnerships fall into four general categories: infrastructure owners and operators; Federal agencies and their national and international partners; State, local, tribal, and territorial governments and their regional partners; and subject matter experts. The sector partnership model, which is the organizing framework for these partnerships, is the foundation for implementation of the National Infrastructure Protection Plan and is the key to sustaining the Nation’s critical infrastructure and key resources protection and resilience programs. This governance structure provides the consensus-built policy and strategy that drives requirements; it sets requirements and implements a comprehensive set of mechanisms and processes that provide useful and actionable content; it identifies and demands accountability for efficient mechanisms and processes to deliver information between stakeholders and partners; and it fosters trusted relationships among the stakeholders, who then utilize the information to take action.

Information sharing enables effective coordination and communication within and across the partnerships, and is a critical enabler for risk management activities that strengthen the protection and resilience of the Nation’s critical infrastructure. An effective and robust information sharing environment that promotes a free flow of information requires an effective governance structure, such as the sector partnership to identify and employ an effective and trusted set of information-sharing risk mitigation mechanisms and processes, uniquely tailored to enable communication between government and the private sector. Unification and implementation of these necessary elements creates an effective, efficient and trusted Information Sharing Environment (Critical Infrastructure and Key Resources). The Critical Infrastructure and Key Resources Partnerships and Information Sharing Project resources all these activities to build the Information Sharing Environment.

Management, Planning and Administration

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	39	39	\$3,264	38	39	\$3,178	-1	0	-\$86
Program Costs			\$11,594			\$18,904			\$7,310
Total	39	39	\$14,858	38	39	\$22,082	-1	0	\$7,224

The Management, Planning and Administration project is a key enabler of all of the IP’s programmatic actions. It encompasses a number of planning, policy, and programmatic areas, including human resource management, professional development, budget

formulation and execution, investment planning, acquisition strategy, personnel and facility security, logistics and executive secretariat support, Government Accountability Office and DHS Inspector General facilitation and support, policy development and evaluation, legislative analysis, and International Partnership Coordination.

Integrating IP's activities on a strategic, organizational, and project level represents a core competency for IP. Management, Planning and Administration focuses on maturing and improving IP's strategic planning and its business and administrative processes. These functions support project management and execution as well as long-term investment planning and decision making for efficient and effective project execution. An integrated planning and performance capability ensures that IP's planning and communication and outreach efforts include Federal, State, local, tribal, and territorial governments; the private sector; and international security partners--thereby facilitating both greater transparency and a sense of community.

FY 2009 Coordination and Information Sharing Accomplishments

- Piloted deployment of a critical infrastructure and key resources support capability within State Fusion Centers, as recommended by the State, Local, Tribal, and Territorial Government Coordinating Council.
- Completed the triennial review, rewrite, and reissue process for the 2009 National Infrastructure Protection Plan to reflect the maturation of the Nation's critical infrastructure protection program, including more in-depth coverage of all hazards, explicit incorporation of resilience, and more emphasis on regional, State, and local partners. Increased coordination and collaboration between the public and private sectors through the triennial review process.
- Institutionalized processes to ensure the expanded capability of the Sector-Specific Agencies to identify/evaluate gaps in strategic planning and risk reduction programs, allowing resources to be allocated where they offer the greatest benefit.
- Established processes and mechanisms to support effective coordination and communication within multiple critical infrastructure and key resources sectors and between the sectors and the regional critical infrastructure and key resources relevant coalitions and Federal agencies.
- Coordinated with Regional Consortium Coordinating Council and facilitated interactions with Sector-Specific Agencies to establish strong relationships between the sectors and this newest part of the sector partnership model. This new council builds further links with critical infrastructure and key resources owners and operators, enabling more robust implementation of the National Infrastructure Protection Plan and the Sector-Specific Plans.
- In coordination with the Sector-Specific Agencies and private sector partners, developed metrics to assess the progress of implementing the National Infrastructure Protection Plan risk management framework and the value of critical infrastructure and key resources protection efforts.
- Developed guidance for and coordinated the Sector Critical Infrastructure and Key Resources Protection Annual Reports; analyzed sector and other annual reports to develop the National Critical Infrastructure and Key Resources Protection Annual

Report; and coordinated writing and printing of National Annual Report, delivered to the Executive Office of the President and Congress.

- Developed and delivered National Infrastructure Protection Plan-related courses to include web-based awareness level training on the critical infrastructure and key resources sectors and the Critical Infrastructure and Key Resources Support Annex to the National Response Framework; classroom-based courses to help government and private sector partners implement critical infrastructure and key resources program management activities; and others as appropriate.
- Created numerous videos and print stories to promote both the National Infrastructure Protection Plan and various Office of Infrastructure Protection programs to stakeholders, including the Protective Security Advisors and the Office of Bombing Prevention.
- Promoted the National Infrastructure Protection Plan and the Sector-Specific Plans at 14 national and sector conferences and to increase voluntary participation in protection and resilience programs and activities.
- Developed guidance and provided assistance to the 18 sectors as they worked with public and private sector partners to accomplish the triennial review and rewrite of the Sector-Specific Plans.
- Operated Critical Infrastructure Warning Information Network at 100% reliability and completed the implementation plan to fully integrate its capabilities with those of the Homeland Security Information Network for Critical Sectors to make more efficient use of network resources.
- Initiated a professional development program that defines educational-level and training requirements for Infrastructure Protection staff at all levels.
- Provided an integrated and comprehensive suite of processes, procedures, and methods related to all procurements and financial activities.
- Completed the initial stages of the cross-border initiative on critical infrastructure and key resources-related risk management and incident management with the State of Michigan and Canadian Federal, local, and provincial authorities.

FY 2010 Coordination and Information Sharing Planned Accomplishments

- Move the Critical Infrastructure and Key Resources Information Sharing Environment into full operations for critical infrastructure and key resources regional coalitions, thereby incorporating them into the critical infrastructure and key resources national community which will support effective coordination and communication among relevant regional relevant coalitions, Federal agencies, and the critical infrastructure and key resources sectors.
- Complete incorporation of 15 State Fusion Centers which require critical infrastructure and key resource protection and resilience mission support into the Critical Infrastructure and Key Resource Information Sharing Environment.
- Identify and resolve critical policy and legal issues related to information sharing with international partners.
- Collect and complete annual report on critical infrastructure and key resources information sharing metrics to measure progress on implementation of the Critical Infrastructure and Key Resources Information Sharing Environment and to identify gaps that may need to be addressed.

- In coordination with the Sector-Specific Agencies and private sector partners, refine metrics to assess the progress of implementing the National Infrastructure Protection Plan risk management framework and value of critical infrastructure and key resources protection efforts.
- Develop guidance for and coordinate the Sector Critical Infrastructure and Key Resources Protection Annual Reports and analyze sector and other annual reports to develop the National Critical Infrastructure and Key Resources Protection Annual Report.
- Complete the triennial review/rewrite processes, and release the 2010 Sector-Specific Plans which, like the 2009 National Infrastructure Protection Plan, have matured to reflect the advancements of each sector and its partnership.
- Launch the Commercial Facilities Training and Resources page on DHS.gov to provide a consolidated location for commercial facilities owners and operators to find training information. Produce the Suspicious Activity Awareness Video What's in Store: Ordinary People, Extraordinary Events.
- Coordinate the development of an enhanced framework for State, local, tribal, and territorial critical infrastructure and key resources program engagement with the Grant Programs Directorate risk-based processes and assessments.
- Expand participation of State, local, tribal, and territorial government representatives in the activities of the State, Local, Tribal, and Territorial Government Coordinating Council and its working groups' deliberations and recommendations.
- Create an Infrastructure Protection knowledge repository, policies, and operating procedures to improve communication and information sharing across Infrastructure Protection.
- Support national and sector awareness, outreach, education, and training efforts.
- Develop retention and recruiting strategy to ensure high quality candidates are successfully hired and on-boarded at Infrastructure Protection.

FY 2011 Coordination and Information Sharing Planned Accomplishments

- Move into production the standard operating plans for all participating sectors or subsectors in implementing each sector's Information Sharing Environment; completing and operationalizing sectors' sector-wide Standard Operating Procedures (which include training, sector outreach, and production cutover).
- Support the addition of a critical infrastructure and key resources protection capability into other State Fusion Centers.
- Deliver priority requirements for the Critical Infrastructure and Key Resources Information Sharing Environment to the Information Sharing Environment Program Manager, and complete annual comprehensive progress report.
- Complete re-charter of National Infrastructure Advisory Council.
- Partner with the State, Local, Tribal, and Territorial Government Coordinating Council and Regional Consortium Coordinating Council to develop and implement awareness initiatives that enable a more robust implementation of the National Infrastructure Protection Plan and the Sector-Specific Plans at the State, regional, and local levels.

- Institutionalize the processes to ensure the expanded capability of the Sector-Specific Agencies to identify/evaluate gaps in strategic planning and risk reduction programs, allowing resources to be allocated where they offer the greatest benefit.
- In coordination with the Sector-Specific Agencies and private sector partners, refine the National Infrastructure Protection Plan metrics process and analysis to improve assessment capabilities of the value of critical infrastructure and key resources protection efforts and develop a standardized method to report on outcomes and progress.
- Analyze sector and other annual reports to develop the National Critical Infrastructure and Key Resources Protection Annual Report. Coordinate writing and printing of National Annual Report, and ensured delivery to the Executive Office of the President and Congress.
- Develop the guidance for the respective 18 sectors, and provide assistance as they work with their public and private sector partners to accomplish their Sector Critical Infrastructure and Key Resources Protection Annual Reports in preparation for submission to DHS.
- Initiate the second triennial review and rewrite of the National Infrastructure Protection Plan that will culminate in its reissue in 2012. This process will ensure that the National Infrastructure Protection Plan and Sector-Specific Plans reflect the maturation and current focus of the Nation's critical infrastructure protection and resilience strategy; and continue to grow the partnering and collaboration efforts between the public and private sector throughout the national development and review process.
- Develop the guidance documents and initiate the process in coordination with the 18 sectors to accomplish their 2011 reviews of the Sector-Specific Plans.
- Develop and incorporate critical infrastructure and key resource courses into the Federal Emergency Management Agency's Emergency Management Institute's catalogue and integrate critical infrastructure and key resource content into existing Emergency Management Institute courses.
- Develop, update and deliver National Infrastructure Protection Plan-related courses to include web-based and classroom-based courses to help government and private sector partners implement critical infrastructure and key resource program management activities; and others as appropriate.
- Conduct outreach activities to engage sectors and partners in aligning to the National Infrastructure Protection Plan and critical infrastructure and key resources education and training.
- Support national and sector awareness and engagement activities.
- Fully implement an integrated performance management structure to ensure that IP's strategic goals and objectives and outcomes are linked to and inform all investment and budgetary planning and execution activities.
- Update IP's Strategic Plan.
- Develop and implement a professional development program that defines educational levels and training requirements for IP staff at all levels.
- Participate in Global Critical Energy Infrastructure Protection Initiative, along with Departments of Energy, State, Defense, and others.

Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Mitigation Programs
Program Performance Justification
(Dollars in Thousands)

PPA: Mitigation Programs

	Perm. Pos	FTE	Amount
2009 Actuals	274	194	147,583
2010 Enacted	506	469	197,111
2011 Adjustments-to-Base	-	37	3,861
2011 Current Services	506	506	200,972
2011 Program Change	5	(19)	(2,546)
2011 Total Request	511	487	198,426
Total Change 2010 to 2011	5	18	1,315

In FY 2011, NPPD requests \$198.426 million for the Mitigation Programs, including 511 positions/ 487 FTE. This represents an increase of \$1.315 million over the FY 2010 enacted budget of \$197.111 million. These funds support the coordination and management of the DHS’ regulatory authority over high risk chemical facilities and ammonium nitrate, bombing prevention activities, protective security advisors, Sector-Specific Agency responsibilities, and incident management, contingency and readiness activities.

The FY 2011 request includes adjustments to base of \$3.861 million, including increases of 22 FTE and \$3.029 million for annualization of positions received in FY 2010, \$0.832 million for pay inflation, and \$2.040 million offset from program funds to salaries and benefits for 15 FTE due to the realignment of federal workforce. NPPD proposes an increase of \$1.935 million and 5 positions/4 FTE for Sector Specific Agency Management Critical Manufacturing. Program decreases include \$2.998 million to salaries and benefits to reduce 23 FTE across the PPA based on historical filled rates; \$0.099 million to Infrastructure Coordination and Incident Management program funds; \$0.052 million to Protective Security Advisors program funds; a decrease of \$0.285 million to Infrastructure Security Compliance program dollars; a decrease of \$0.047 million to the Office of Bombing Prevention program funds; and a decrease of \$1 million for the Philadelphia Infrastructure Project.

CURRENT SERVICES PROGRAM DESCRIPTION

\$ thousands	FY 2010 Enacted	FY 2011 Request
Personnel Costs	\$ 64,509	\$ 67,963
Program Costs	\$ 132,602	\$ 130,463
Total Costs	\$ 197,111	\$ 198,426

Mitigation Programs utilizes measures designed to prevent, deter, and mitigate threat to critical infrastructure and key resources, and enable timely, efficient response and restoration in a post-event situation for all hazards. Mitigation programs help security partners to identify and mitigate vulnerabilities, implement protective measures, and increase preparedness for facilities, systems, and surrounding communities. They also support public awareness efforts and facilitate the sharing of critical infrastructure and key resources protection-related best practices and lessons learned. Additionally, they enable Office of Infrastructure Protection planning, readiness and incident management capabilities. Mitigation Programs is divided into five projects: *Infrastructure Coordination and Incident Management*, *Infrastructure Security Compliance*, *Protective Security Advisors*, *Sector-Specific Agency Management*, and *Bombing Prevention*. The scope of *Infrastructure Coordination and Incident Management* project will expand in fiscal year 2009 by consolidating two smaller projects, *Contingency Planning* and *Readiness* into the larger *Infrastructure Coordination and Incident Management* project.

Infrastructure Coordination and Incident Management

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	42	42	\$5,693	40	42	\$5,541	-2	0	-\$152
Program Costs			\$24,150			\$24,051			-\$99
Total	42	42	\$29,843	40	42	\$29,592	-2	0	-\$251

Guided by the National Infrastructure Protection Plan and the National Response Framework, the Infrastructure Coordination and Incident Management project provides the structures, mechanisms, facilities, and personnel needed to plan and execute a coordinated, interoperable, critical infrastructure and key resources -focused response to emerging and no-notice incidents. The project operates the National Infrastructure Coordinating Center to enable Office of Infrastructure Protection capability to respond to the full range of incidents by providing situational awareness, coordinating operational activities and developing recommended courses of action to government and private sector critical infrastructure and key resources partners. Office of Infrastructure Protection's incident management capability reduces risk to critical infrastructure and key resources sectors from impending or occurring incidents, enables more rapid recovery of damaged critical infrastructure and key resources assets and networks, and mitigates the impact of critical infrastructure and key resources degradation on the safety and quality of life of the American people.

Successful execution requires that the project conduct the necessary planning to ensure the capability to respond to the full range of incidents, and provide a readiness program to ensure planned responses are validated, exercised, and ready to execute. During steady-state, the project must maintain operational capability to develop and share situational awareness, conduct information sharing including alert and warning, and prepare for the increased operational demands of incident response. During incident response, the project must have the capability to operationalize established relationships, maintain situational awareness, share information, analyze data, develop recommended actions and protective measures, contribute to national reporting, and distribute key information and decision products.

Infrastructure Security Compliance

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	246	268	\$33,495	257	268	\$35,453	11	0	\$1,958
Program Costs			\$69,868			\$69,583			-\$285
Total	246	268	\$103,363	257	268	\$105,036	11	0	\$1,673

The Infrastructure Security Compliance Project is being implemented in response to the DHS Appropriations Act of 2007 (Public Law 109-295), which provided DHS with the authority to regulate security at chemical facilities nationwide that present a high level of risk, with priority on highest risk facilities. The statutory requirements which Infrastructure Security Compliance Project implements are contained in the Chemical Facility Anti-Terrorism Standards (6 C.F.R. Part 27), and additional requirements are being added to the Infrastructure Security Compliance Project in response to Section 563 of the 2008 Consolidated Appropriations Act, Subtitle J – Secure Handling of Ammonium Nitrate (“Section 563”). Section 563 amends the Homeland Security Act of 2002 and provides the DHS with the authority to “regulate the sale and transfer of ammonium nitrate by an ammonium nitrate facility...to prevent the misappropriation or use of ammonium nitrate in an act of terrorism.”

Attacks on high-risk chemical facilities could cause significant numbers of deaths and injuries and disruption of critical sectors of the United States economy. Therefore the Federal Government has a compelling interest in reducing the risk of chemical facilities to attack. In addition to providing oversight and incentives to the risk-reduction activities of individual high-risk chemical facilities, Infrastructure Security Compliance Project applies a holistic view to managing the security of the Nation’s chemical facility infrastructure to ensure that risks are managed across the Nation. This will ensure that risks are not shifted between individual facilities; among surrounding communities; between States and regions; nor shifted to non-facility assets (i.e. chemical transportation and shipping infrastructure). Infrastructure Security Compliance Project engages with voluntary critical infrastructure and key resources protection efforts, to include the Chemical Sector-Specific Agency and related forums (e.g., Sector and Government Coordinating Councils) to ensure leveraging of, and coordination with, Homeland Security Presidential Directive-7-driven efforts, when appropriate.

Protective Security Advisors

\$ thousands	FY 2010			FY 2011			Change		
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP
Salaries & Benefits	107	107	\$14,805	102	107	\$14,296	-5	0	-\$509
Program Costs			\$12,824			\$12,772			-\$52
Total	107	107	\$27,629	102	107	\$27,068	-5	0	-\$561

The Protective Security Advisor Project was established in 2004 by DHS to increase critical infrastructure security representation and coordination at the Federal, State, local, Tribal and territorial levels. The Protective Security Advisors provide a local perspective to the National risk picture and serve as DHS’ on-site critical infrastructure and vulnerability assessment specialists. In this capacity, Protective Security Advisors serve as a vital channel of communication for government officials and private sector critical infrastructure and key resources owners and operators to communicate with DHS, and with one another.

While the Protective Security Advisor Project supports IP’s goals, it was established primarily to support its mission to build and sustain effective critical infrastructure and key resources partnerships and coordination mechanisms; understand and share risk and information about terrorist threats and other hazards to our Nation’s critical infrastructure and key resources; provide a foundation for continuously improving critical infrastructure and key resources preparedness; and build and implement a long-term, national critical infrastructure and key resources risk-management program.

Protective Security Advisors support the development of the national risk picture by identifying, assessing, monitoring, and minimizing the risk to critical assets at the State, local, and regional level. Protective Security Advisors conduct specialized Enhanced Critical Infrastructure Protection site visits at Level 1 and Level 2 facilities to assess overall security postures and track the implementation of new or improved protective measures. Protective Security Advisors also inform and educate facility owners and operators on the criticality of the facilities and relate threats from terrorism while forging strong relationships between Level 1 and Level 2 facility owners and operators, DHS, and Federal, State, and local law enforcement. Protective Security Advisors utilize a suite of tools to assist in conducting the specialized visits and to track improved protective measures at critical facilities. The Infrastructure Survey Tool is a web-based tool that is used in conjunction with Enhanced Critical Infrastructure Protection site visits and provides the ability to collect, process, and analyze assessment facility data in near real-time, enabling sector-by-sector and cross-sector vulnerability comparisons. Using the data collected DHS is able to identify security gaps and trends across sectors and sub-sectors while establishing sector baseline security scores; and tracking the progress toward improving overall CIKR security. Ultimately, this effort will inform and update sector outcome metrics as they relate to NIPP implementation.

Additionally, during incidents requiring Federal assistance and support, the Protective Security Advisors serve as the Infrastructure Liaisons at the Federal Emergency

Management Agency Joint Field Office and in the State and county Emergency Operations Centers, providing expert knowledge of the impacted infrastructure, maintaining communication with critical infrastructure and key resources owners and operators, and prioritizing the coordinated response, recovery, and restoration efforts for critical infrastructure.

Sector-Specific Agency Management

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	54	69	\$7,267	69	74	\$9,510	15	5	\$2,243
SSA Management			\$13,241			\$12,585			-\$656
SSA Gov't Facilities (earmark)			\$1,000			\$0			-\$1,000
Program Costs			\$14,241			\$12,585			-\$1,656
Total	54	69	\$21,508	69	74	\$22,095	15	5	\$587

The Sector-Specific Agency Management project has been established to execute Sector-Specific Agency functions for six of the 18 Critical Infrastructure and Key Resource sectors: Chemical, Commercial Facilities, Critical Manufacturing, Dams, Emergency Services, and Commercial Nuclear Reactors, Materials, and Waste (Nuclear). In addition, the Sector-Specific Agency Management Project serves as the Program Management Office for the Interagency Security Committee (ISC), a Federal body created to enhance the security of non-military Federal facilities (DHS [IP] serves as Chair of the Interagency Security Committee).

The Sector-Specific Agency Management project’s fundamental mission is to achieve cohesive and coordinated risk reduction across its assigned Critical Infrastructure and Key Resource sectors. The Sector-Specific Agency Management project ensures that Critical Infrastructure and Key Resource sector risk management efforts are aligned and coordinated, and those resources are applied efficiently across the six Critical Infrastructure and Key Resource sectors (and the ISC). Where gaps are found and risk is identified, the Sector-Specific Agency Management project partners with the private sector and Federal, State, local, tribal, territorial, and regional government organizations to build capacity and mitigate risk. The Sector-Specific Agency Management project works with sector partners to align priorities, goals, and strategic planning efforts; facilitate the development and implementation of risk management and mitigation initiatives; coordinate education, training, and security exercises; ensure that security information is communicated efficiently and effectively; support critical infrastructure and key resources research and development efforts; work with partners to address international infrastructure issues; and perform important incident management functions for situational awareness.

Bombing Prevention

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	20	20	\$3,249	19	20	\$3,164	-1	0	-\$85
Program Costs			\$11,519			\$11,472			-\$132
Total	20	20	\$14,768	19	20	\$14,636	-1	0	-\$132

The Bombing Prevention Project is managed by the Office for Bombing Prevention and is the DHS lead agent for homeland security activities that include strategic coordination, capabilities analysis, and information sharing to combat the improvised explosive device threat to the Homeland. Homeland Security Presidential Directive-19 (HSPD-19), the HSPD-19 *Implementation Plan* and the National Strategy for Combating Terrorist Use of Explosives in the United States placed new and significant responsibilities on the Bombing Prevention Project, including:

- Coordination of national and intergovernmental bombing prevention efforts; including DHS support to the HSPD-19 Implementation Plan and the required establishment of a DOJ/DHS Joint Program Office (JPO);
- Increasing information sharing on terrorists tactics and procedures for terrorist use of explosives with State, local, tribal, territorial, and private sector security partners;
- Conducting gap analyses to improve bombing prevention capabilities of State and local law enforcement protecting high consequence critical infrastructure and key resources from terrorist use of explosives.

Bombing Prevention, over the next several years, will implement a coordinated and responsive set of national programs to combat the threat of terrorist use of explosives in the United States, in accordance with Homeland Security Presidential Directive 19. These programs will be fed by information about the latest trends in tactics, techniques, and procedures used by terrorists, as well as regularly updated analyses of domestic bombing prevention capabilities. It will expand its partnership and services with and to State and local law enforcement, first responders, the private sector, and the public, as well as integrate information and capabilities from its partners in the Federal Government and international allies. Bombing Prevention intends to dramatically increase the number of services provided with a corresponding increase in resources.

FY 2009 Mitigation Programs Accomplishments

- Integrated the private sector into the Infrastructure Protection incident management planning process, including coordinated planning, readiness, and incident management execution activities. Established routine Information Sharing and Analysis Center presence at National Infrastructure Coordinating Center watch. Developed concept for Sector Coordinating Council/Partnership for Critical Infrastructure Security presence in Incident Management Cell when activated.
- Completed integration of the 24x7 watch and Incident Management Cell into a single operational construct as elements of the National Infrastructure Coordinating Center

to improve incident management response and information sharing and increase efficiency.

- Led the cross-divisional effort to train and socialize the Infrastructure Protection incident management process with Federal, State, local, and industry partners.
- Established regularly scheduled training, drilling and team-building events for Infrastructure Protection incident management personnel, including Infrastructure Protection Incident Management Cell surge teams, to facilitate rapid activation of Incident Management Cell and transition to incident management activities during no-notice incidents.
- Coordinated IP's planning and execution efforts for the National Level Exercise (NLE) 2-09 including the completion of a comprehensive After Action Review (AAR) to guide planning for future NLEs.
- Organized IP's response to the American Samoa tsunami.
- Assembled "mobile office" fly-away kits for COOP, devolution, or incident management deployment.
- Completed review of 6,400 Security Vulnerability Assessments, issued approximately 1,000 final tiering determinations and Site Security Plan due dates, and initiated planning for inspections of CFATS Tier1-4 facilities, with priority on Tier 1 and Tier 2 facilities as site security plans are completed.
- Hired and trained approximately 25 inspectors to expand inspector cadre to a total of approximately 69 personnel.
- Coordinated DHS regulatory authorities related to the chemical sector with other DHS and Federal agencies.
- Began to develop rulemaking to regulate the sale and transfer of Ammonium Nitrate.
- Deployed 10 additional Protective Security Advisors to States without a Protective Security Advisor located within its boundaries (Maine, Vermont, New Hampshire, Rhode Island, Delaware, South Dakota, North Dakota, Wyoming, Montana, and Idaho). Field-deployed Protective Security Advisors are located in Federal Government offices near State homeland security officials. This enables stronger relationships between DHS and the State and local governments, and critical infrastructure and key resource owners and operators.
- Trained 70 percent of Protective Security Advisors to perform Infrastructure Liaison duties in a Federal Joint Field Office in support of the PFO and emergency support functions lead agencies with critical infrastructure and key resource analysis during incidents.
- Conducted 1,400 Enhanced Critical Infrastructure Protection assessment of Level 1 and Level 2 assets.
- Enhanced bombing prevention (TRIPwire) capability to include additional partner content-providing organizations, and expand TRIPwire user base to 7,500 registered users, to include select private sector security and international partners through TRIPwire Community Gateway. Provided TRIPwire Community Gateway to 18 Sectors.
- Conducted capability assessments for over 130 of the Nation's public safety bomb squads, explosives detection canine units, specialized weapons and tactics teams, and dive teams using National Capabilities Analysis Database and develop a systematic methodology for coordinating closing identified gaps with interagency partners.

- Bombing Prevention Project continued to support in the development of consensus-based best practices through the Scientific Working Group on Dog and Orthogonal Detector Guidelines and co-lead the Homeland Security Presidential Directive-19 effort to produce national explosives detection canine certification and training standards.
- Sponsored and delivered 28 one-day improvised explosive device Awareness Workshop training courses, 70 three-day Surveillance Detection Courses, and 30 four-day Soft Target Awareness Courses for State and local law enforcement and private sector security partners.
- Developed 4 Multi-Jurisdiction Improvised Explosive Device Security Plans in support of FEMA's Regional Catastrophic Preparedness Grant Program and the Regional Resiliency Assessment Program.
- Conducted Bomb-Making Materials Awareness Program events in Philadelphia. The Bomb-Making Materials Awareness Program trains State and local law enforcement officers to conduct outreach to the private sector businesses that sell or supply materials that can be used to make improvised explosive devices to help employees identify relevant precursor components, such as chemicals and electronics, and suspicious purchasing behavior that could indicate bomb-making activity.
- Established Critical Manufacturing Sector Government Coordinating Council and completed Sector-Specific Plan to enable effective sector coordination, information sharing, and implementation of comprehensive public-private sector security programs.
- Completed Draft Physical Security Criteria for Federal Facilities for Interagency Security Committee to enhance security at all non-military Federal facilities.
- Completed testing and development of the Voluntary Chemical Risk Assessment Tool, allowing chemical owners/operators to efficiently and accurately carry out an all-hazards risk assessment of their facilities.
- Conducted the 2009 Dams Sector Exercise Series: Columbia River Basin to develop an Integrated Regional Strategy to improve disaster resilience and preparedness for the Tri-Cities area of Washington State.
- Completed draft Nuclear and Chemical Sector Risk Baseline Program and began expansion to other sectors. This process develops a prioritized baseline portfolio of the sector-wide risk landscape to guide decision making and measure the success of risk mitigation efforts.
- Developed voluntary Web-based Security Awareness Training tool that can be used by critical infrastructure and key resource employees in the Chemical, Commercial Facilities, Critical Manufacturing, Dams, Emergency Services, and Nuclear Sectors to increase security awareness nationwide.

FY 2010 Mitigation Programs Planned Accomplishments

- Integrate critical infrastructure and key resources private sector incident management processes and information flow beyond Infrastructure Protection, including the National Operations Center, NPPD, FEMA, and the Sector-Specific Agencies, to fully realize benefits of critical infrastructure and key resources incident-specific information sharing in protection and restoration of critical infrastructure and key resources during incidents.

- Establish unscheduled drilling and exercise events for National Infrastructure Coordinating Center Incident Management Cell surge teams to facilitate rapid activation of Incident Management Cell during no-notice incidents.
- Expand the quality and quantity of collaborative incident management relationships with key critical infrastructure and key resources partners including the Sector Specific Agencies, private sector, and State/Local/Regional Fusion Centers.
- Evaluate Infrastructure Protection Readiness related training and exercise programs to ensure that programs and resources are adequate to produce qualified and sufficient Incident Response staff and surge teams.
- Complete all Contingency Plans and Tactical Plans for 15 National Scenarios.
- Establish Critical Information Requirements/Essential Elements of Information for remaining national planning scenarios.
- Complete all preparations (seminars, workshops, drills, and TTXs) and execute annual National Level Exercise to validate incident management processes and ensure training of key personnel.
- Perform review and complete revisions of the Incident Management Base Plan and Incident Management and Infrastructure Liaison Standard Operating Procedures (SOPs).
- Complete review of Security Vulnerability Assessments submitted by CFATS facilities, and notify covered facilities (approximately 5000) of final tier and Site Security Plan due date.
- Review and approve or disapprove Site Security Plans under CFATS, prioritizing Tier 1 and Tier 2 facilities.
- Issue for public review and comment a proposed rule, and develop a final rule, to implement the Department's regulatory authority over the sale or transfer of Ammonium Nitrate (Section 563 requirements).
- Initiate inspections cycle to verify security measures in place, or planned, and assess compliance with CFATS annually at Tier 1 facilities, biannual efforts with Tier 2 facilities, and initial efforts with Tier 3 and 4 facilities.
- Continue to hire and train inspector cadre, running 2 chemical security academies.
- Adjust the Chemical Security Assessment Tool as necessary to support implementation of the Department's regulatory authority over the sale or transfer of ammonium nitrate (e.g., develop portal for submission of Ammonium Nitrate User Number registrations).
- Begin planning efforts to conduct pilot exercises (response capabilities vs. response needs) using threat scenarios that underpin the CFATS risk-based performance standards with select chemical facility owners and operators, and State and local partners.
- Continue implementation of the Enhanced Critical Infrastructure Protection assessment methodology/ Infrastructure Survey Tool across all 18 critical infrastructure and key resources sectors, and four sub-sectors, enabling a complete comparison of all asset vulnerabilities and the ability to fully identify the most vulnerable sectors and security areas of concern.
- Conduct targeted outreach through the Protective Security Advisors and distribute awareness materials to Sectors and facilities of concern.

- Conduct targeted outreach to the retail and lodging subsectors, including contact with 390 malls and training aides viewed by more than 10,000 facility employees.
- Complete Critical Manufacturing and Dams Sector Risk Baseline Program to establish a formalized process for analyzing overarching sector risk. This process develops a prioritized baseline portfolio of the sector-wide risk landscape to guide decision making and measure the success of risk mitigation efforts.
- Implement capabilities-based risk and prioritization program in Emergency Services Sector as a proof of concept that can be expanded to identify key sector capability gaps and to guide prevention, protection, response and recovery programs to close gaps.
- Complete a full review of all six Sector-Specific Agency Management Project Sector-Specific Plans, and revise according to changing risk environment and new priorities. The review will be undertaken in close coordination with sector partners.
- Implement the National Dams Security Performance Program to assess and track status, trends, and gaps regarding sector-wide implementation of security and protection programs.
- Develop protective measures guide for owners/operators in the Lodging and Outdoor Events sub-sectors of Commercial Facilities Sector. Two guides will be developed for the Outdoor Events sub-sector, one for parades and festivals (non-perimeter Guide) and one for amusement parks (perimeter Guide). Partner with the State of Colorado and owners and operators to develop and complete a Protective Measures Guide for mountain resorts.
- Complete Draft Minimum Standards for the Use, Training, and Certification of Contract Security Guards for Interagency Security Committee to enhance security at all non-military Federal facilities.
- Develop and coordinate a program to support the review of license applications for new commercial nuclear power reactors, and four license reviews.
- Conduct State Security Seminar and Exercise Series with state chemical industry councils to foster communication between facilities and their local emergency response teams. The program encourages representatives to share knowledge during a facilitated tabletop exercise tailored for the specific interests of the local chemical facilities.
- Conduct Bomb-Making Materials Awareness Program events in all Level 1 Urban Area Security Initiative regions and 30 additional cities. The Bomb-Making Materials Awareness Program trains State and local law enforcement officers to conduct outreach to the private sector businesses that sell or supply materials that can be used to make improvised explosive devices to help employees identify relevant precursor components, such as chemicals and electronics, and suspicious purchasing behavior that could indicate bomb-making activity.
- Develop and conduct targeted webinar training for service and security personnel to Sectors and facilities of concern.
- Access partner-provided content based upon expanded bombing prevention (TRIPwire) user base, including select private sector security and international partners through TRIPwire Community Gateway. Prototype the TRIPwire Field Tool to better support user community with increased utility and portability.

- Validate efforts of previous findings and complete assessments for 25% of the explosives detection canine units in UASI Level 1 cities.
- Develop 12 Multi-Jurisdiction Improvised Explosive Device Security Plans in support of FEMA's Regional Catastrophic Preparedness Grant Program and the Regional Resiliency Assessment Program.

FY 2011 Mitigation Programs Planned Accomplishments

- Complete all preparations and execute annual National Level Exercise to validate incident management processes and ensure training of key personnel.
- Complete final planning for National Exercise Program Level 2 or Level 3 Critical Infrastructure and Key Resource-focused exercise.
- Complete Sector-Specific Agency incident management training event.
- Perform review and revision of Incident Management and Infrastructure Liaison Standard Operating Procedures.
- Begin planning efforts to acquire, staff, and equip up to 2 additional permanent regional offices for inspection of high-risk chemical facilities and ammonium nitrate facilities.
- Continue to expand efforts to ultimately support full cycle of CFATS facility inspections, including prioritized review, assessment, and inspection efforts of Tier 3 and 4 facilities.
- Conduct one pilot exercise (response capabilities vs. response needs) using threat scenarios that underpin the Chemical Facility Anti-Terrorism Standards risk-based performance standards with select chemical facility owners and operators, and State and local partners.
- Conduct ongoing assessments of the interactions between chemical security inspectors and covered critical infrastructure and key resource owners and operators to inform procedures and processes.
- Maintain and utilize capability to support chemical security adjudication, enforcement, compliance, and appeals requirements to meet established CFATS requirements.
- Begin performing inspections to verify compliance with Ammonium Nitrate regulations in accordance with previously promulgated rulemaking.
- Maintain current levels of deployed PSAs. Terminate the deployment of Infrastructure Protection Analysts to support State and Local Fusion Centers with critical infrastructure protection subject matter expertise.
- Complete the initial deployment of the Geospatial Pilot Project in fiscal year 2011, providing a capability to accurately collect geospatial data on critical infrastructure and key resources, providing real-time vulnerability information to Headquarters.
- Continue to develop the Infrastructure Survey Tool for four additional sub-sectors to support the implementation of the Enhanced Critical Infrastructure Protection methodology.
- Collaborate with National Institute for Occupational Safety and Health, Chief Human Capital Officer and Federal facilities to identify and share best practices in preventing violence in the workplace. Using a multidisciplinary approach the goal is to develop a Workplace Violence Prevention Program for Federal Agencies.

- Complete Emergency Services Risk Baseline Program. This process develops a prioritized baseline portfolio of the sector-wide risk landscape to guide decision making and to measure success.
- Launch ISC Voluntary Security Recognition Pilot to encourage Federal facilities to adopt ISC Security measures. Program components will include vulnerability assessments, possible Buffer Zone Protection Plans, documentation for implemented security measures, employee security training, communications protocols and procedures with local first responders, security auditing plans, a certification process, and participating in exercises.
- Complete the “Roadmap to Secure Control Systems in the Dams Sector.” The roadmap will provide a comprehensive framework and recommended strategies focused on the protection of industrial control systems across the Dams Sector to enhance the sector’s understanding and management of cyber risk.
- Conduct six Chemical Sector Explosive Threat Awareness Training courses to increase awareness of the threat of improvised explosive devices to the Chemical Sector. The course provides safety precautions for security professionals dealing with explosive incidents, and strengthens deterrence, prevention, detection, protection against, and response to terrorist use of vehicle borne improvised explosive devices.
- Complete and distribute Protective Measures Guide for Shopping Facilities within the Commercial Facilities Sector.
- Expand TRIPwire user access to foreign security partners to include the United Kingdom, Australia, New Zealand, and Canada.
- Begin collection and data analysis for national bombing prevention capabilities in support of Quadrennial Homeland Security Review (QHSR) efforts.
- Continue public safety bomb squad capability assessments, and reassessments of squads assessed in FY 2005 – FY 2009.
- Commence development of TRIPwire Secret to enable high level criminal analysis and targeting, as well the ability to share classified information to and from other Federal government partners.
- Continue evaluation and refinement of a functional TRIPwire field tool.
- Fully support DHS requirements for the HSPD-19 Implementation Plan Joint Program Office.

Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
National Cyber Security Division
Program Performance Justification
(Dollars in Thousands)

PPA: National Cyber Security Division

	Perm. Pos	FTE	Amount
2009 Actuals	128	79	252,140
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	-

America’s information technology infrastructures, including the Internet, telecommunication networks and embedded computer systems, are increasingly being targeted for exploitation and disruption. Because America’s critical cyber infrastructures are under constant attack, the Department of Homeland Security created the National Cyber Security Division to enhance Federal cyber readiness; analyze cyber threats and vulnerabilities, disseminate threat warning information and coordinate incident response activities. The National Cyber Security Division mission operates under authorities derived from the Homeland Security Act of 2002; the Federal Information Security Management Act of 2002; the 2003 White House - National Strategy to Secure Cyberspace; Homeland Security Presidential Directive-7, Critical Infrastructure Identification, Prioritization and Protection; and National Security Presidential Directive-54/Homeland Security Presidential Directive-23, Cyber Security and Monitoring.

Based on the recommendations contained in the 2009 White House - Cyberspace Policy Review, the National Cyber Security Division will continue to advance and enhance the security and resiliency of the Nation’s cyber infrastructure in conjunction with its public and private partners, while maintaining its status as the DHS lead in implementing many cybersecurity mandates and requirements.

The National Cyber Security Division develops capabilities to prevent, prepare for, and respond to catastrophic incidents that could degrade or overwhelm the Nation’s critical information technology infrastructure and key cyber networks. National Cyber Security Division funds will identify and reduce vulnerabilities, mitigate threats, and ensure that cyber intrusions are detected and that disruptions cause minimal damage to public and private sector networks. To date, the National Cyber Security Division has leveraged its current investments in people and technology to provide capabilities to secure the Federal .gov domain and support key initiatives in the following mission areas:

- *Alert, Warning, and Analysis* activities use a standard, repeatable and reliable methodology to assess the severity of cyber activities reported through a myriad of sources. The National Cyber Security Division identifies and publishes alerts and warnings and mitigation strategies on vulnerabilities, incidents and exploits through established programs and mechanisms.
- *Coordination and Collaboration* activities receive information on cyber activity affecting the Nation's cyber infrastructure and coordinate with Federal departments and agencies, private industry and other key stakeholders to develop situational awareness. Interactions consist of two-way information sharing in the form of direct person-to-person communications or written products and both table top and large scale exercises. In order to complete this mission, a reliance on coordination and collaboration with a number of public and private industry communities of interest are critically important.
- *Response and Assistance* activities provide advice to Federal civilian, State and local government and critical infrastructure communities of interest in response to malicious cyber activity. This includes releasing products that contain cyber risk mitigation tools as well as the provision of technical cyber security assistance to Federal government departments and agencies to help bolster their incident response, and analysis of malware and digital media efforts.
- *Protection and Detection* activities develop and deploy the National Cybersecurity Protection System, operationally known as EINSTEIN, which detects malicious cyber activity within the .gov domain and assists with the protection of the Federal government's external Internet connection points. The National Cyber Security Division is also the Sector Specific Agency for the Information Technology Sector, designated under the National Infrastructure Protection Plan to provide critical infrastructure protection cyber security support across all sectors.

To meet increasing cyber risks, the request seeks to commensurately increase investments in the National Cyber Security Division. Funding enables the National Cyber Security Division to expand current baseline operations to fill identified capability gaps. This will significantly enhance the National Cyber Security Division's ability to work collaboratively with public, private, and international entities to mitigate risk and improve the protection and security of the Nation's cyber infrastructure.

National Cyber Security Division programs ensure that the statutory and derivative responsibilities underlying its mandates for protecting the Nation's cyber infrastructure are effectively executed. Planned activities will facilitate the Department's ability to close capability gaps in mission-critical areas and enhance the National Cyber Security Division's ability to respond to statutory requirements.

The National Cyber Security Division mission is to work collaboratively with Federal, State and local governments, the private sector, academia, and international partners to secure the Nation's critical cyberspace and information technology infrastructures through employing risk management and cyber incident preparedness, prevention, and

response activities. This broad mission gives the National Cyber Security Division a pivotal role in providing cyber analysis, intrusion detection and warning, intrusion prevention, incident response, information sharing and collaboration, vulnerability reduction, and cyber outreach and awareness. The National Cyber Security Division works in coordination with public and private sectors to promote the security, resilience, and reliability of the Nation's cyber infrastructure. Moreover, the National Cyber Security Division coordinates public and private sector cyber preparedness activities and aids in the preparation for, response to, and recovery from catastrophic incidents that would degrade or overwhelm our national cyber systems.

In FY 2009, President Obama directed the National Security Council and the Homeland Security Council to review cyber security government-wide plans, programs, and activities that were currently underway as well as imminently planned actions. One of the outcomes of the White House Cyberspace Policy Review was support to the Department of Homeland Security, National Cyber Security Division's FY 2010 budget request and its program goals and objectives. Furthermore, Congress appropriated approximately 99% of NCSA's cybersecurity request.

As addressed by language in the Joint Explanatory Statement accompanying Public Law 111-83, the request for the National Cyber Security Division is submitted in a PPA structure identical, by account, to that enacted in FY 2010. These PPAs are: United States Computer Emergency Readiness Team, Strategic Initiatives, and Outreach and Programs. Organizationally, the National Cyber Security Division consists of the Office of the Director and five organizational branches: US-CERT Operations, Federal Network Security, Network Security Deployment, Global Cyber Security Management and Critical Infrastructure Cyber Protection and Awareness. These organizations are responsible for the execution of the missions and responsibilities listed under this PPA structure.

Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
US-CERT
Program Performance Justification
(Dollars in Thousands)

PPA: United States Computer Emergency Readiness Team

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	207	144	323,629
2011 Adjustments-to-Base	44	100	(9,624)
2011 Current Services	251	244	314,005
2011 Program Change	37	19	984
2011 Total Request	288	263	314,989
Total Change 2010 to 2011	81	119	(8,640)

NPPD requests \$314.989 million for the United States Computer Emergency Readiness Team, including 288 positions and 263 FTE. This represents a net decrease of \$8.640 million over the FY 2010 enacted budget of \$323.629 million. A portion of these funds support NPPD's role in the Comprehensive National Cybersecurity Initiative and the other cybersecurity activities.

The FY 2011 request for the United States Computer Emergency Readiness Team includes adjustments-to-base for annualization of \$2.066 million for 15 FTE received in FY 2010, pay inflation of \$0.264 million, and rent inflation of \$0.046 million. Adjustments-to-base also include 44 positions / 85 FTE under the Workforce Realignment Program offset by \$11.932 million in program/contract dollars; a decrease of \$8.000 million for one time Data Center Migration costs; and a transfer of \$4.000 million to the Federal Law Enforcement Training Center for the National Computer Forensics Institute.

Program changes include: a decrease of \$13.543 million across multiple projects within US-CERT; an increase of \$5.000 million and 26 positions / 13 FTE to advance Federal coordination of cybersecurity-related activities, and an increase of \$9.528 million and 11 positions / 6 FTE to enable the implementation of the Assessment, Testing and Analysis Capability program that intends to test and measure departments' and agencies' compliance with laws, regulations, policies, and standards relating to information security, and also to establish and maintain a holistic, enterprise view of the Federal government's current security state.

CURRENT SERVICES PROGRAM DESCRIPTION

\$ thousands	FY 2010			FY 2011			Change			
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
	<i>US-CERT Salaries & Benefits</i>	144	207	\$20,342	217	229	\$28,856	73	22	\$8,514
	<i>Cybersecurity Coordination Salaries & Benefits</i>	0	0	\$0	27	40	\$4,181	27	40	\$4,181
	<i>A/S CS&C Salaries & Benefits</i>	0	0	\$0	19	19	\$3,995	19	19	\$3,995
	Salaries & Benefits	144	207	\$20,342	263	288	\$37,032	119	81	\$16,690
	<i>Cybersecurity Coordination</i>			\$5,000			\$5,819			\$819
	<i>Incident Handling</i>			\$15,257			\$14,213			-\$1,044
	<i>Analysis</i>			\$27,416			\$21,748			-\$5,668
	<i>Strategic Operations</i>			\$14,701			\$14,193			-\$508
	<i>Situational Awareness</i>			\$232,689			\$213,897			-\$18,792
	<i>Production</i>			\$8,224			\$7,836			-\$388
	<i>Asst. Secretary for Cybersecurity and Communications</i>			\$0			\$251			\$251
	Program Costs			\$303,287			\$277,957			-\$25,330
	Total	144	207	\$323,629	263	288	\$314,989	119	81	-\$8,640

US-CERT leverages technical competencies in Federal network operations and threat analysis centers to develop knowledge and knowledge management practices supporting Federal stakeholders as they make key operational and execution decisions. It analyzes and reduces cyber threats and vulnerabilities, disseminates cyber threat warning information, and coordinates with partners and customers to achieve shared cyber situational awareness related to the Nation’s cyber infrastructure. US-CERT addresses the need for a single, accountable focal point for achieving cybersecurity throughout the Federal enterprise by utilizing a holistic approach to Federal government network security, enabling cybersecurity challenges to be addressed in a manner that maximizes value and minimizes risks associated with technology and security investments. US-CERT also manages the development, acquisition, deployment, and personnel support required to implement the National Cybersecurity Protection System, which is operationally known as EINSTEIN. Additionally, US-CERT addresses the need to build a skilled cyber workforce for today’s and tomorrow’s Federal government; provides a set of comprehensive resources that can be used to appropriately manage supply chain risk across the lifecycle of networks, systems, and components; and oversees the implementation of national cybersecurity policies and ensures appropriate resources are available to support the mission and its specialized information technology systems.

This PPA encompasses the following activities:

- *Incident Handling* activities detect and mitigate targeted attacks against the Federal government by covering the security of Federal information technology assets and services, as well as the assurance of essential citizen services.
- *Analysis* activities correlate and analyze cyber threat data “in-house” and disseminate actionable data and information in order to improve the overall understanding of current or emerging cyber threats.
- *Strategic Operations* activities build critical interagency information sharing and incident response collaboration.

- *Situational Awareness* activities identify, analyze, and comprehend broad network activity, supporting incident handling and analysis of trends for Federal departments and agencies. It is responsible for the development, acquisition, deployment, and support required for the National Cybersecurity Protection System, operationally known as EINSTEIN.
- *Production* activities collaborate with the public and private sector to share and disseminate critical cybersecurity information through a variety of distribution mechanisms.
- *Cybersecurity Coordination* activities permit the National Cyber Security Center to deliver on six key service areas: mission integration; coordination and collaboration; situational awareness and cyber incident response; analysis and reporting; knowledge management; and technology development and management.
- *Assistant Secretary, CS&C*: The US-CERT PPA also includes funding for 19 staff for \$3.995 million and \$0.251 million of contract funding for the Assistant Secretary, CS&C.

To collect and disseminate cybersecurity threat and attack information, the US-CERT coordinates and facilitates information sharing with Federal civilian agencies, the Department of Defense, intelligence agencies, State and local governments, private sector partners, infrastructure owners and operators, international partners, as well as the general public.

It was established as the operational arm of the National Cyber Security Division with the mission to lead and coordinate efforts to improve the Nation's cybersecurity posture, promote cyber information sharing, and manage cyber risks to the Nation. Its mission elements include: analyze and reduce cyber threats and vulnerabilities; disseminate cyber threat warning information; coordinate with partners and customers to achieve shared cyber situational awareness of the Nation's cyber critical infrastructure; provide response and recovery support for national assets; and advise on national-level cybersecurity policy and guidance.

US-CERT encompasses the activities that provide immediate customer support and incident response, including 24x7x365 support in the National Cybersecurity and Communications Integration Center, which has connectivity to all major Federal cyber operations centers, industry, international and communications partners, including the National Coordinating Center for Telecommunications; supports the United States Computer Emergency Readiness Team mission through integrated planning and sustainable financial, acquisition, and human capital management; provides several levels of analytical insight into cyber activities. In near-real time, its analysts examine raw and summarized data from a wide variety of information sources to make determinations about potential attacks detected by the National Cybersecurity Protection System's alerting systems; and supports the implementation of tools and technologies, including monitoring of deployed sensors and creation of threat signatures, countermeasures, and scenarios to provide the ability to rapidly detect and categorize cyber activities that could

pose a potential risk to United States Computer Emergency Readiness Team stakeholders.

US-CERT proactively anticipates attack vectors and intrusion activity as individuals and groups responsible for this activity change methods and increase the complexity of attacks against Federal government systems. As adversaries evolve in sophistication, US-CERT's approach to prioritization and escalation is based on the expected impact of the incident on the nation's cyber critical infrastructure. It escalates and prioritizes to assess risk, identify mitigation strategies, coordinate strategies and monitor results in a comprehensive risk management approach.

Additionally, US-CERT maintains a 24x7 Operations Center that provides situational awareness and risk mitigation information and support for Federal government customers as well as the general public. Through monitoring, communications, and coordination, US-CERT is able to provide timely and accurate mitigation guidance and serve as the focal point for collaborative cyber awareness, mitigation, and reduction for cyber threats and vulnerabilities.

US-CERT also utilizes a holistic approach to Federal government network security that enables Federal partners to address cybersecurity challenges in a manner that maximizes value and minimizes risks associated with technology and security investments.

It leads the Comprehensive National Cybersecurity Initiative Trusted Internet Connections (TIC) Initiative with the Office of Management and Budget. It optimizes network security capabilities into a common solution for the Federal information enterprise and facilitates the reduction, and consolidation of external connections, including Internet points of presence, through approved access points; ensures that implementation efforts across the Federal enterprise are in compliance with information technology security policy directives and statutes; and supports Federal partners' by promoting cybersecurity directives and statutes, including Office of Management and Budget and National Institute of Standards and Technology guidelines and special publications.

US-CERT optimizes network security capabilities into a common solution for the Federal information enterprise and facilitates the reduction and consolidation of external connections, including Internet points of presence, through approved access points. The reduction and consolidation of external access points has a number of benefits for the Federal government, particularly when coupled with risk mitigation and added security measures. In total, this allows for the establishment of a central oversight and assurance function.

While the Office of Management and Budget maintains oversight of the Trusted Internet Connections Initiative, implementation relies on the technical expertise of US-CERT to synchronize the efforts of all participating Federal partners. US-CERT monitors and oversees Federal partners' transition to becoming a Trusted Internet Connection Access

Provider, and consequently manages their baseline information systems security capabilities.

US-CERT also collaborates with Federal partners to define capabilities that drive the enhancement of cybersecurity, monitors progress, and collects and distributes best practices information relating to lessons learned with the goal of improving Federal partners' cybersecurity posture. Through promulgation of guidelines and best practices, US-CERT provides a Federal enterprise-level perspective to the customer base on information systems security trends and approaches, and can also offer recommendations on process improvements.

Compliance validations at Trusted Internet Connection sites and Security Operations Centers are conducted by US-CERT. It develops and manages a compliance program capable of monitoring, evaluating, and enabling ongoing compliance with Federal information technology security directives and initiatives. As part of the process, the branch evaluates and enforces ongoing compliance with Trusted Internet Connection technical requirements.

US-CERT collaborates with the Committee on National Security Systems to ensure best practices are promulgated when appropriate. It also acts as a liaison between Federal partners and critical infrastructure and key resources stakeholders by serving as a conduit for information security best practices and trends.

It does this through collection and analysis of information on cybersecurity risks, agency preparedness, and threats and provision of a clearinghouse for cross-agency and cross-sector research and experience on cyber threats and their prevention and mitigation. US-CERT then utilizes this information to identify and draft proposed Federal cybersecurity policy options and white papers, support Office of Management and Budget policy and legislative proposals, and propose or refine Federal cyber-security strategy.

By ensuring that Federal partners comply with mandatory cybersecurity practices, US-CERT provides support for cross-government initiatives as necessary.

US-CERT is responsible for the development, acquisition, deployment, and support required for the National Cybersecurity Protection System, operationally known as EINSTEIN, which is an integrated intrusion detection/prevention system that encompasses the hardware, software, and other components being procured specifically to support the Department's responsibilities under the Comprehensive National Cybersecurity Initiative.

To respond to Comprehensive National Cybersecurity Initiative requirements, the National Cyber Security Division established the National Cybersecurity Protection System, an integrated detection/prevention system that encompasses the hardware, software and other components necessary to support the Department's cybersecurity mission.

The National Cybersecurity Protection System improves security over the .gov domain by providing customers with orderly and efficient capability improvements. Broadly, it consists of four discrete blocks, starting with Block 1, and then Blocks 2-4 consisting of follow-on end-to-end system upgrades. The end-to-end system upgrades are achieved through incremental development and deployment. The deployed capabilities include flow collection at agency sites, centralized data storage, visualization, correlation, knowledge based, intrusion detection system capabilities, and flow analysis tools; contextual data feeds; and a prototype environment.

- *National Cybersecurity Protection System Block 1/EINSTEIN 1* was deployed at thirty-one sites between 2003 and 2008. Its capabilities included flow collection at Federal partner site, centralized data storage, visualization, correlation, knowledgebase, flow analysis tools, and contextual data feeds.
- *National Cybersecurity Protection System Block 2/ EINSTEIN 2* are an expansion of Block 1/EINSTEIN 1. It is being deployed in four phases at up to a total of 100 sites from the year 2008 to the year 2010. EINSTEIN 2 includes capability improvements provided via EINSTEIN 1 system upgrades. It includes three parts: Blocks 2.0, 2.1 and 2.2 which provide EINSTEIN 2, updated visualization and correlation tools and other updated capabilities based on Federal partner-gathered data sets.
 - Block 2.0 includes flow collection and intrusion detection system at federal partner sites, centralized data storage, visualization, correlation, knowledge base/management, flow analysis, intrusion detection system tools, contextual data feeds, and a prototype environment.
 - Block 2.1 includes increased capabilities in event detection and management including aggregation, correlation, and visualization.
 - Block 2.2 includes increased functionality including information sharing environment across multiple agencies. Also includes establishing agreements on the nature of information sharing via Service Level Agreements/Memoranda of Understanding actions that are needed for collaboration.
- *National Cybersecurity Protection System Block 3/EINSTEIN 3* includes classified capability improvements. Its architecture and deployment are interdependent with the capabilities delivered via EINSTEIN 1 and EINSTEIN 2. Its capabilities will fulfill key components of the Comprehensive National Cybersecurity Initiative. The planned activities under this section can be provided via classified channels.

With enhanced capabilities, US-CERT will be able to implement improvements within the National Cybersecurity Protection System. For EINSTEIN 2, the end-to-end system upgrades are being deployed in four phases by adding flow collection and intrusion detection system at agency sites, intrusion detection system analysis tools, and a prototype environment. Phase I involved deployment at one department. Phase II deployed systems to five additional departments/agencies. Phase III is in the process of deploying to four NETWORKX Vendors and Phase IV involves all remaining installations.

US-CERT has developed a detailed deployment plan outlining activities and critical milestones needed to achieve Full Operational Capability for the EINSTEIN 2 deployment. The deployment plan provides an overview of how the information system will be deployed and tested, defining National Cybersecurity Protection System component entry and exit criteria for each upgrade installation, and detailing transition to an operational status. It also contains an overview of the system, a brief description of the major tasks involved in the implementation, the overall resources needed to support the implementation effort and any site-specific implementation requirements.

The National Cybersecurity Protection System structure improves the capability to analyze malicious activity occurring across the Federal information technology networks resulting in improved computer network security situational awareness. This increase in situational awareness can then be shared with Federal executive agencies in an effort to reduce and better prevent computer network vulnerabilities.

US-CERT addresses the need to build a skilled cybersecurity workforce for today's and tomorrow's Federal government and provides a set of comprehensive resources that can be used to appropriately manage supply chain risk across the lifecycle of networks, systems, and components.

The Comprehensive National Cybersecurity Initiative Education Initiative establishes the framework for shaping and delivering a cyber-capable workforce, with a focus on those requiring the role-based specialized skills needed to protect, deter, and respond to threats to Federal government networks. In turn, these priority initiatives will be informed by, and will inform, partnerships with advisory bodies, public, private, academic and other-government circles. These partnerships will form the foundations needed to prepare a skilled workforce for effective performance of cyber missions and promote a strong and dependable pipeline of skilled individuals in cybersecurity for future Federal government employment.

After in-depth reviews of cyber-related reports and studies, a high-level survey of current Federal government cyber education opportunities, and interviews with government and non-government stakeholders, the Comprehensive National Cybersecurity Initiative Cyber Education Senior Steering Committee identified three compelling drivers for cybersecurity training, education, and workforce development: keep pace with technological change, both in content and delivery; reinforce coherency through common language, guidelines, and standards; and invigorate the pipeline and accelerate the availability of skilled cybersecurity employees. Funding requested for US-CERT Operations support all three CNCI education goals.

US-CERT provides a set of comprehensive resources that can be used to appropriately manage supply chain risk across the lifecycle of networks, systems, and components. In order to achieve this, the branch brings together disparate policy, thus providing Federal partners with the necessary guidance to improve their protective posture from vulnerabilities arising out of the information and communications technology supply chain.

US-CERT oversees the implementation of national cybersecurity policies and ensures appropriate resources are available to support the mission of the Comprehensive National Cybersecurity Initiative and its specialized information technology systems.

Additionally, it provides comprehensive responses to Congressional Testimony and other inquiries, as well as informs the Department's internal and external stakeholders about cybersecurity issues and activities. It is responsible for security policy development and oversight and management of the overall security of the Division's information technology systems including the Mission Operating Environment, the National Cybersecurity Protection System and the United States Computer Emergency Readiness Team .gov portal.

US-CERT ensures that facilities and real estate plans accommodate not only the normal office and cubicle requirements for unclassified staff operations, but also the highly specialized requirements supporting secure and classified cyber and communications operations. Interim and long-range plans for improving facilities, infrastructure and communications will permit the National Cyber Security Division to fully execute its responsibilities under the Comprehensive National Cybersecurity Initiative and protect the Nation's critical infrastructure and key resources.

FY 2009 US-CERT Accomplishments:

- Conducted analysis and coordinated response support and defense against cyber attacks for the Federal civilian Executive Branch (i.e., .gov), and information sharing and collaboration with State and local government, industry and international partners.
- Issued alerts and warnings to United States Computer Emergency Readiness Team stakeholders through the National Cyber Alert System.
- Maintained the United States Computer Emergency Readiness Team Portal to facilitate disseminating situational awareness products and encourage collaboration among stakeholders.
- Co-sponsored the National Vulnerability Database hosted by the National Institutes of Standards and Technology.
- Implemented Technical Mentoring Initiative to maximize staff capabilities in analysis, detection and mitigation.
- Improved the process for release of actionable information by establishing a Joint Agency Cyber Knowledge Exchange Program to provide Federal agency Security Operations Centers with information on the cyber threats to their networks as well as mitigation techniques for protection.
- Expanded the Government Forum of Incident Response and Security Teams to include state and local stakeholders. The fifth annual Government Forum of Incident Response and Security Teams conference was attended by almost 1,000 information technology security professionals, with 180 hours of instruction and discussion facilitated by over 125 presenters and panelists.
- Enhanced the capability to provide timely warnings and notifications by sharing information on daily and weekly calls with National Security Agency/Central

Security Service Threat Operations Center (NTOC), Intelligence Community-Incident Response Center, Defense Cyber Crime Center, National Cyber Investigative Joint Task Force, and Joint Task Force - Global Network Operations.

- Produced over 6000 products (e.g., security bulletins and alerts) for the general public and government customers, and an additional 700 information security products (e.g., Situational Awareness Reports) for government customers only.
- Began soliciting feedback from stakeholders on a quarterly basis to enhance products and thus meet the needs of each sector better. As part of this endeavor, the United States Computer Emergency Readiness Team will improve the accuracy of its distribution lists for each product.
- Participated in Information Technology Sector Specific Plan implementation including working level discussions and activities to promote trusted information exchange on cybersecurity events.
- Conducted a pilot designed to implement a single, integrated process improvement training initiative to baseline business processes and formally integrate process requirements by re-engineering core Call Center and incident handling activities within the United States Computer Emergency Readiness Team.
- Hosted multi-agency Conficker Table Top to prepare for potential cyber attacks and surged operations to mitigate the Conficker worm impact.
- Created a widely distributed logon script tool for use on enterprise networks to detect infection by the Conficker worm.
- Conducted privacy training and finalized legal compliance requirements to ensure that the United States Computer Emergency Readiness Team is in full legal compliance with the Department of Homeland Security and Federal privacy requirements.
- Collaborated with United States Computer Emergency Readiness Team stakeholders on the development of the United States Computer Emergency Readiness Team Concept of Operations document.
- Supported nine Initial Operating Capability deployments of the National Cybersecurity Protection System Block 2/EINSTEIN 2.
- Drafted new United States Computer Emergency Readiness Team Concept of Operations (CONOPs) to clearly align mission, operational framework, and partnerships.
- Revised and drafted internal United States Computer Emergency Readiness Team standard operating procedures and playbooks.
- Increased staffing for the 24x7 Operations Center to provide capability for in-depth incident tracking, detecting, and mitigating, in order to improve around the clock analysis and fusion support.
- Maintained active collaboration with the Working Group of Key Allies, known as the Usual 5 (Australia, Canada, New Zealand, the United Kingdom, and the United States), the International Watch and Warning Network and the Forum of Incident Response and Security Teams.
- Established a baseline inventory of existing external connections and complete Initial Operating Capability Assessment for Trusted Internet Connection Access Providers.
- Oversaw Office of Management and Budget designated Trusted Internet Connection Access Providers implementation of technical requirements.

- Bundled Trusted Internet Connection compliant managed security services through the NETWORKX contract vehicle with General Services Administration.
- Monitored Federal partner transition to Trusted Internet Connection compliant, managed security services through the NETWORKX contract vehicle.
- Established a process to annually review and update the Trusted Internet Connection Access Points Technical and Information Systems Security Requirements and Trusted Internet Connection Architecture documentation.
- Created Trusted Internet Connection compliance assessments teams and establish follow-on contract for assessment team resources.
- Developed assessment metrics to measure long-term compliance of Trusted Internet Connection Access Providers.
- Conducted and evaluated eight Trusted Internet Connection Access Providers using Trusted Internet Connection compliance assessments, utilizing developed metrics to recommend changes to policy or architecture.
- Performed Operations and Maintenance, as required including new security patch management, hardware and software upgrades, and other actions needed to support improved communication.
- Attained Initial Operating Capability for EINSTEIN 2.
- Provided an initial intrusion detection capability for an expanded set of Departments/Agencies.
- Completed deployments to three NETWORKX Vendors' Trusted Internet Connection locations, which will expand intrusion detection capability to protect future Departments/Agencies that leverage General Services Administration NETWORKX Managed Trusted Internet Protocol Service Trusted Internet Connection services.
- Provided automated near real-time notification of detected intrusion events.
- Completed planning activities to stand up a redundant, warm site capability within the Department of Homeland Security to increase the availability and reliability of the detection and correlation capabilities.
- Created initial requirements to establish a Continuity of Operations Plan facility for the United States Computer Emergency Readiness Team to increase the availability and reliability of the analytical services provided to the Federal .gov.
- Baselined the Block 2.0 engineering and programmatic details in preparation for entering the Obtain/Deploy/Full Rate Production phase.
- Completed detailed design and began development of an initial Security Information and Event Management (SIEM) capability to enhance the aggregation and correlation of disparate data source events, data normalization, automatic correlation analysis, intelligent event monitoring and advanced threat visualization and analytics.
- Integration of a centralized Block 2.1 solution at the Services and Operations Center resulting in a decreased analyst workload through automation of data correlation and analysis processes.
- Established a partnership with the Federal Bureau of Investigation to launch a Digital Forensics Educators Working Group.
- Functioned as co-lead of the Comprehensive National Cybersecurity Initiative Education Initiative and the Initiative's Senior Steering Committee.

- Established interagency cybersecurity training partnerships to analyze requirements to synchronize cybersecurity roles and skill standards and develop a cybersecurity competence assessment methodology.
- Supported a multi-agency Federal Virtual World Collaboration program in the development of prototype user cases utilizing virtual world space for cybersecurity training activities.
- Developed a Federal cybersecurity training exercise program and conducted pilot training activities.
- Invested in Federal-wide access to online role-based training for the Federal cybersecurity workforce, via an unclassified network to approximately 100,000 users.
- Facilitated the dissemination of software assurance training and laboratory modules, as well as undergraduate and graduate courseware curriculum via virtual training environments.
- Sponsored an academic working group to design a concept and make recommendations on enhancing the Centers of Academic Excellence program criteria to support specific sectors of the critical infrastructures.
- Sponsored an academic working group and conducted a workshop to develop a model and define criteria for community college recognition and involvement in the Centers of Academic Excellence program.
- Sponsored an academic review of information assurance standards which led to the publication of a white paper outlining next steps and recommendations for mapping to higher education cybersecurity curricula.
- Implemented Supply Chain Risk Management projects to establish a body of best practices, guidance, and lessons learned across the Federal enterprise, thus identifying available Federal guidance and industry best practices sufficient for successful and consistent applications.
- Executed Supply Chain Risk Management programs in the civilian government and provide training opportunities to civilian agencies participating in the pilot programs, which involve streamlining and enhancing the execution of Supply Chain Risk Management for civilian agency pilot programs.
- Conducted quarterly programmatic evaluation of cost, schedule and performance activities relative to goals and objectives of Comprehensive National Cybersecurity Initiative-funded programs, including development and submission of quarterly Comprehensive National Cyber Security Initiative reports to the Office of the Director of National Intelligence and the Joint Interagency Cyber Task Force.
- As required, responded to inquiries and reporting requirements on Comprehensive National Cybersecurity Initiative programs, including those from Congress, the Office of Management and Budget, the Government Accountability Office, and other governing bodies, including development and submission of the FY 2009 Comprehensive National Cyber Security Initiative Expenditure Plan as required by Congress.
- Developed and submitted necessary five-year resource requests and justifications of Comprehensive National Cybersecurity Initiative programs as part of the Department's annual Planning, Programming, Budgeting, and Execution process.

FY 2010 US-CERT Planned Accomplishments:

- Conduct analysis and coordinate response support and defense against cyber attacks for the Federal civilian Executive Branch, i.e., .gov, and information sharing and collaboration with State and local government, industry and international partners.
- Issue alerts and warnings to United States Computer Emergency Readiness Team stakeholders through the National Cyber Alert System.
- Maintain the United States Computer Emergency Readiness Team Portal to facilitate disseminating situational awareness products and encourage collaboration among stakeholders.
- Partner in the activated National Cybersecurity and Communications Integration Center, which will improve the nation's capability and capacity to detect, prevent, respond, and mitigate disruptions of voice and cyber communications.
- Participate in Cyber Storm III, the national-level cyber exercise.
- Participate in the National Cyber Incident Response Plan Tabletop Exercise to stress, monitor and evaluate the effectiveness of the National Cyber Incident Response Plan during a cyber incident.
- Expand and operationalize the Technical Mentoring Initiative to maximize staff capabilities in analysis, detection and mitigation.
- Co-sponsor the National Vulnerability Database hosted by National Institutes of Standards and Technology.
- Evaluate the United States Computer Emergency Readiness Team's Classification Training program and develop an action plan so that the United States Computer Emergency Readiness Team is better able to share mitigating actions.
- Revise internal the United States Computer Emergency Readiness Team standard operating procedures and playbooks to support the United States Computer Emergency Readiness Team operations to include communications and coordination with Federal executive departments and agencies, industry and international partners.
- Improve relationships with industry to more quickly validate vulnerabilities and develop mitigation strategies.
- Participate in Information Technology Sector Specific Plan implementation including working level discussions and activities to promote trusted information exchange on cyber security events.
- Collaborate with private sector stakeholders from the information technology and communications sectors and co-draft a sector-specific Concept of Operations.
- Develop a plan and supporting procedures for mobile incident response team capabilities.
- Refine internal metrics to measure progress toward cybersecurity goals and objectives.
- Support National Cybersecurity Protection System deployments.
- Host Joint Agency Cyber Knowledge Exchange program.
- Develop a Federal department and agency partnership program to assign United States Computer Emergency Readiness Team personnel to work with specific .gov partners, thus creating a more specialized, customer service-focused program.
- Analyze existing Federal Information Security Management Act processes to reflect on information assurance policies and requirements to improve guidance and requirements based on current threats and vulnerabilities.

- Develop more comprehensive internal metrics to measure progress toward cybersecurity goals and objectives.
- Revise the United States Computer Emergency Readiness Team escalation and notification processes to include developing a cyber incident taxonomy in coordination with federal stakeholders.
- Hold Government Forum of Incident Response and Security Teams conference to educate the various levels of the Government Forum of Incident Response and Security Teams community on incident response activities.
- Increase staffing for the 24x7 Security Operations Center to provide an increased capability for in-depth incident tracking, detection, and mitigation, and provide around-the-clock analysis and fusion support.
- Manage continued Federal enterprise reduction and consolidation efforts of external connections, enabling efficient monitoring and alerting on suspicious activity occurring across the Federal enterprise.
- Conduct a combined feasibility study and cost-benefit analysis on the optimization of reducing Trusted Internet Connection access points. Explore at least two options for optimization in order to determine the extent to which consolidation efforts will continue to yield cost-effective optimization of Federal security and the point of diminishing returns on investment.
- Analyze and update the Trusted Internet Connection Access Points Technical and Information Systems Security Requirements and Trusted Internet Connection Architecture to: remain aligned with Federal security strategy; address identified solution gaps; provide Federal agencies clear guidance for the migration of existing infrastructure; and implementation of new capabilities in a manner consistent with the overall Federal security strategy.
- Align NETWORKX requirements and coordinate with the General Services Administration to adapt the NETWORKX contract vehicle to meet applicable Internet Connections/Trusted Internet Connection Access Points Technical and Information Systems Security Requirements in order to continue to provide Federal partners a cost effective solution for the implementation of capabilities necessary to comply with the overall Federal security strategy.
- Perform sixteen Trusted Internet Connection compliance assessments to ensure agencies have the appropriate operational capabilities in place to meet the Trusted Internet Connection Initiative objectives.
- Map Trusted Internet Connection compliance assessment criteria to other common Federal and industry compliance, audit, and certification criteria to allow parties engaged in the assessment process to leverage existing documentation to satisfy checks and eliminate unnecessary duplication of effort.
- Expand Trusted Internet Connection compliance assessment capabilities to support Comprehensive National Cybersecurity Initiative implementation by identifying and adding required capability checks to the compliance catalog. This will enable the creation of a broader compliance program of which the Trusted Internet Connection compliance assessments are a subset.
- Monitor implementation of Federal cybersecurity policies by Federal partners, providing coordination, guidance, and tracking the progress in implementation of information security policies. This will create an environment of improved

information security and awareness pertaining to the protection of Federal information and information systems from unauthorized access, use, disclosure, disruption, modification, or destruction.

- Assess the viability of a government-off-the-shelf Cyber Security Vulnerability Assessment tool to determine if it is feasible to distribute from a Federal enterprise standpoint as a common standardized tool that will minimize/eliminate the need for each Federal partner to develop or procure its own duplicative capability.
- Monitor and facilitate the Managed Trusted Internet Protocol Service offerings.
- Analyze and promote additional cybersecurity mitigation strategies and associated policies, working with the Office of Management and Budget and the National Institute of Standards and Technology, and facilitate and drive implementation of these additional capabilities across the Federal enterprise.
- Reduce potential alert pools by 70 percent, automatically filtering out false positives, increasing likelihood analysts are examining and mitigating true incidents.
- Increase the ability to aggregate and correlate identified events at deployed locations to 50 percent of events aggregated and correlated daily.
- Perform Operations and Maintenance while phasing out EINSTEIN 1 equipment as EINSTEIN 2 installations are completed.
- Enhance Block 2.0 data flow collection and intrusion detection system at 16 Federal sites.
- Aggregate and correlate data feeds from Blocks 1.0 and 2.0 and up to four industry data feeds. This provides analysts a more robust capability for targeting threats based on vulnerabilities identified from the National Cybersecurity Protection System inherent sensors and industry data.
- Enhance Block 2.1 baseline system enhanced to increased capabilities in event detection and management including data collection, correlation, analysis, and visualization.
- Integrate centralized Block 2.1 solution to decrease analyst workload through automation of data correlation and analysis processes.
- Incorporate interoperable information sharing environment across multiple Departments/Agencies and data centers to support Continuity of Operations Plan.
- Define requirements and architecture for EINSTEIN 3.
- Begin deployments of EINSTEIN 3 based on finalized requirements and architecture decisions.
- Improve the Centers of Academic Excellence program by implementing the community college information assurance pilot program, supporting the National Centers of Academic Excellence model to support the sectors of the critical infrastructures, and facilitating the development of cybersecurity standards relevant to higher education and recommendations for curriculum mapping.
- Lead, with the Department of Defense, the Comprehensive National Cybersecurity Initiative Education Initiative by initiating and/or continuing engagement with stakeholders to identify enhancement activities for cybersecurity workforce development.
- Conduct Federal cybersecurity training exercises via classroom and virtual environments.

- Provide and facilitate government-wide unclassified access to virtual training environments, hands-on laboratories, training exercises, and Web 2.0 technologies to provide cybersecurity training to all federal agencies.
- Create a systematic approach for establishing a skilled cybersecurity workforce by synchronizing Federal cybersecurity skill standards and training guidelines and designing a cybersecurity competency assessment model to measure cybersecurity workforce skill capabilities.
- Develop a training program for key Federal partners in order to provide security systems professionals with a Supply Chain Risk Management capability.
- Review results of Supply Chain Risk Management pilots to analyze potential application of best practices to other Federal departments and agencies.
- Identify Supply Chain Resource Management requirements for National Cybersecurity Protection System integration.
- Establish and complete program infrastructure, to include awarding acquisition contracts, creating a long-term Plan of Action and Milestones, completing a Work Breakdown Structure, Organizational Work Breakdown Structure and completing the program's Missions Needs Statement.
- Collaborate across Federal civilian departments, agencies, public, and private sectors to gain input into the design and implementation of the Supply Chain Risk Management Program.
- Identify and test Supply Chain Risk Management Key Practices (developed in FY 2009) through pilots and market research.
- Create Government-wide Risk Process Model for Supply Chain considerations.
- Establish threat information sharing capability with the Office of the Director of National Intelligence.
- Develop technical and acquisition recommendations based on pilot findings, market research and collaboration with both public and private sector partners.
- Establish governance, protocols, and standard operating procedures for the National Cyber Security Division, including process improvements that reduce time required to develop and process procurement requests, which will improve budget execution.
- Support the Office of Assistant Secretary for Cyber Security and Communications with the necessary resources to proactively lead and develop cross-cutting cyber strategic plans, implement standardized policies and programs, and more efficiently integrate critical National Cyber Security Division initiatives. These funds will also assist Cyber Security and Communications leadership efforts to develop a collaborative federated approach in working with Federal, State, local and private industry partners.
- Develop and submit required quarterly reports to the Office of the Director of National Intelligence and the Joint Interagency Cyber Task Force.
- As required, respond to inquiries and reporting requirements on Comprehensive National Cybersecurity Initiative programs, including those from Congress, the Office of Management and Budget, the Government Accountability Office, and other governing bodies, including development and submission of the FY 2010 Comprehensive National Cyber Security Initiative Expenditure Plan as required by Congress.

- Develop and submit necessary five-year resource requests and justifications of Comprehensive National Cybersecurity Initiative programs as part of the Department's annual Planning, Programming, Budgeting, and Execution process.
- Prepare, with the Department of Homeland Security Chief Administrative Officer, a National Cyber Security Division Facility Blueprint Plan to guide comprehensive facility short-term, interim, and long-term plans that address real estate, security and infrastructure issues.
- Complete the build out of the new integrated joint watch floor and successfully relocate associated Watch Center staff without interruption to service or capability.
- Work with the Office of the Assistant Secretary for Cyber Security and Communications to help relocate staff to new locations in order to alleviate the National Cyber Security Division staff operations space compression issue.

FY 2011 US-CERT Planned Accomplishments:

- Conduct analysis and coordinate response support and defense against cyber attacks for the Federal civilian Executive Branch, i.e., .gov, and information sharing and collaboration with State and local government, industry and international partners.
- Issue alerts and warnings to United States Computer Emergency Readiness Team stakeholders through the National Cyber Alert System.
- Maintain the United States Computer Emergency Readiness Team Portal to facilitate disseminating situational awareness products and encourage collaboration among stakeholders.
- Co-sponsor the National Vulnerability Database hosted by the National Institutes of Standards and Technology.
- Participate in Information Technology Sector Specific Plan implementation including working level discussions and activities to promote trusted information exchange on cyber security events.
- Support National Cybersecurity Protection System deployments.
- Host Joint Agency Cyber Knowledge Exchange program.
- Enhance the Federal Department and Agency partnership program.
- Analyze existing Federal Information Security Management Act processes to reflect on information assurance policies and requirements to improve guidance and requirements based on current threats and vulnerabilities.
- Hold Government Forum of Incident Response and Security Teams conference to educate the various levels of the Government Forum of Incident Response and Security Teams community on incident response activities.
- Assist in the development of requirements for next generation security solutions, including National Cybersecurity Protection System Block 3 and follow-on technologies to protect Federal networks.
- Update the Trusted Internet Connection Access Points Technical and Information Systems Security Requirements and Trusted Internet Connection Architecture to: remain aligned with Federal security strategy; address identified solution gaps; provide Federal agencies clear guidance for the migration of existing infrastructure; and implementation of new capabilities in a manner consistent with the overall Federal security strategy.

- Manage continued Federal enterprise reduction and consolidation efforts of external connections, enabling efficient monitoring and alerting on suspicious activity occurring across the Federal enterprise.
- Develop and maintain the cyber security strategic picture for the Federal government by maintaining actionable cyber strategic intelligence that realistically addresses existing and emerging security vulnerabilities, threats, and risks.
- Perform Trusted Internet Connection compliance assessments to ensure agencies have the appropriate operational capabilities in place to meet the Trusted Internet Connection Initiative objectives.
- Perform additional expanded Trusted Internet Connection compliance assessment capabilities to support Comprehensive National Cybersecurity Initiative implementation.
- Monitor implementation of Federal cybersecurity policies by Federal partners, providing coordination, guidance, and tracking the progress in implementation of information security policies. This will create an environment of improved information security and awareness pertaining to the protection of Federal information and information systems from unauthorized access, use, disclosure, disruption, modification, or destruction.
- Oversee designated Enterprise Security Solutions to ensure that the solutions and technologies remain current and are properly coordinated, planned and implemented with customer agencies.
- Analyze and promote additional cybersecurity mitigation strategies and associated policies, working with the Office of Management and Budget and the National Institute of Standards and Technology, and facilitate and drive implementation of these additional capabilities across the Federal enterprise.
- Improve ability to detect, prevent, and analyze threats to .gov traffic.
- Refresh and maintain intrusion detection capabilities.
- Complete replication of National Cybersecurity Protection System data to improve reliability of system.
- Implement information sharing to better coordinate and collaborate with other cyber centers.
- Continue deployment of EINSTEIN 3.
- As in FY 2010, lead, with the Department of Defense, the Comprehensive National Cybersecurity Initiative Education Initiative by initiating and/or continuing engagement with stakeholders to identify enhancement activities for cybersecurity workforce development.
- Provide and facilitate government-wide unclassified access to virtual training environments, hands-on laboratories, training exercises, and Web 2.0 technologies to provide cybersecurity training to all federal agencies.
- Conduct Federal cybersecurity training exercises via classroom and virtual environments.
- Implement the systematic approach for establishing a professional cyber workforce using common assessment tools to measure the performance of government personnel assigned to critical cyber positions.

- Deliver a report to the Office of Management and Budget identifying resource requirements for implementing Supply Chain Risk Management across all national security and other Federal government high priority systems.
- Deliver a report to the Office of Management and Budget identifying resource requirements for implementing Supply Chain Risk Management across all national security and other Federal government high priority systems.
- Provide a gap analysis of existing policy and guidance for Supply Chain Risk Management across the national security and Federal government high priority systems, and recommending remedial steps.
- Establish procedures for developing and disseminating all-source counterintelligence risk assessments for information technology to executive departments and agencies.
- Create a training program for Federal government counterintelligence risk management to be used within the Supply Chain Risk Management program.
- Implement governance, protocols, and standard operating procedures for the National Cyber Security Division.
- Develop and submit required quarterly reports to the Office of the Director of National Intelligence and the Joint Interagency Cyber Task Force.
- As required, respond to inquiries and reporting requirements on Comprehensive National Cybersecurity Initiative programs, including those from Congress, the Office of Management and Budget, the Government Accountability Office, and other governing bodies, including development and submission of the FY 2009 Comprehensive National Cyber Security Initiative Expenditure Plan as required by Congress.
- Develop five-year resource requests and justifications of Comprehensive National Cybersecurity Initiative programs as part of the Department's annual Planning, Programming, Budgeting and Execution process.
- With the Department of Homeland Security Chief Administrative Officer, begin implementation of the National Cyber Security Division Facility Blueprint Plan.
- Complete relocation of staff to new locations in order to alleviate the National Cyber Security Division staff operations space compression issue.

The US-CERT PPA also contains the budget request for Cybersecurity Coordination, which funds the National Cyber Security Center (NCSC).

NCSC's mission is to ensure that Federal agencies have access to and receive information and intelligence needed to execute their respective cybersecurity missions. All six service areas have been designed to deliver on that mandate, each with its own unique capability that enhances another service area. The integrating capabilities, processes and tools the Center deploys will strengthen each individual center's mission; promote an integrated national situational awareness; and support an integrated cyber incident response.

The NCSC plans to deliver on six key service areas:

- *Mission Integration* facilitates the integration of the six participating centers through common or aligned processes, procedures and techniques. The six

- participating centers include: the United States Computer Emergency Response Team (US CERT), the NSA Threat Operations Center (NTOC), the Intelligence Community Incident Response Center (IC-IRC), the US STRATCOM Cyber Command (CYBERCMD), the Department of Defense Cyber Crimes Center (DC3), and the National Cyber Investigative Joint Task Force (NCIJTF.)
- *Collaboration and Coordination* facilitates professional collaboration and managing the partnership agreement process with each center. The partnership agreements and the mission integration officers work to provide the cross organizational information sharing process. As an example, if US CERT needs information from DC3 to fulfill an information gap, and that same information is needed for CYBERCMD, the partnership agreements and mission integration officers will serve as the mechanism(s) for multi-cross organizational information sharing.
 - *Situational Awareness and Cyber Incident Response* sustains an integrated national situational awareness capability for operational and strategic means at all three classification levels. Provides support to steady state incident response and lead national cyber incident response efforts. Develops and deploy an integrated incident management system of detection, analysis, alert and notification, and response/remediation. Under the Situational Awareness and Cyber Incident Response team, this unit will support the Secretary as the Principal Federal Official for cyber under the National Infrastructure Protection Plan (NIPP).
 - *Analysis and Reporting* reports daily, weekly and annually on the composite state of the U.S. Cyber Networks and Systems. Conducts system wide incident analysis, and integrated incident response planning. Convenes and manages the cyber incident investigative capability, modeled after other successful federal investigative capabilities. Critical to this effort is for the Center to operate at all three classification levels - in order to share information across all classification domains and to build mechanisms to down grade information to a lower classification level to share information more broadly.
 - *Knowledge Management* provides a portal with a compendium of cybersecurity information and intelligence for cybersecurity professionals, analysts and center customers. Sustains a national cyber incident database. This knowledge management system will provide the means for on-line collaboration, correlation analysis, discovery, and trend studies.
 - *Technology Development and Management* provides enabling IT support for the center and provides enterprise tools and capabilities (process, tool deployment and common procedures) for all six centers.

NCSC will utilize the information sharing agency agreements documented in the 2003 Memorandum of Understanding (MOU) Between the Intelligence Community, Federal Law Enforcement Agencies, and the Department of Homeland Security Concerning Information Sharing (Information Sharing MOU); the 2005 Memorandum for the Heads of Executive Departments and Agencies on the Terrorism Information Sharing Environment; and the policies and procedures developed by the Program Manager for the Information Sharing Environment (PM-ISE). By 2011, the mission analysis and partnership agreements will be completed utilizing the framework established by the PM-

ISE. These agreements will identify complimentary mission space and information/intelligence gaps. The agreements will delineate how the NCSC will deliver key information and intelligence needs to improve each Center's mission as defined by National Security Presidential Directive 54 (NSPD 54)/Homeland Security Presidential Directive 23 (HSPD 23).

FY 2010 Cybersecurity Coordination Planned Accomplishments:

- Refine and improve the NCSC Coordination Council
- Integrate the NCSC as an integral part of the National Cyber Incident Response Plan
- Deploy the knowledge management system for cybersecurity information on Homeland Security Data Network (HSDN), at the secret level for all 6 centers, center customers and fusion centers. Complete all credentialing. Consolidate cybersecurity information at the secret level for all 6 centers, center customers and fusion centers.
- Complete mission analysis of each center. Complete cross center mission analysis to identify collective gaps and information needs.
- Complete partnership agreements with each center.
- Report on significant national cyber incidents.
- Create a standard operating procedure (SOP) for a NCSC watch function for cross domain situational awareness and incident response to monitor national cyber events and avoid replication of efforts with other cyber centers. Staff a watch desk at Glebe Road watch center for one shift.
- Achieve federal manning strength of 14 employees.
- Conduct a proof of concept for a national cyber incident database utilizing National Information Exchange Model developed by DHS (NIEM) and markup language of Information Object Data Exchange Format (IODEF).

FY 2011 Cybersecurity Coordination Planned Accomplishments:

- Complete partnership agreements with each center.
- Ensure and continue to monitor execution of deliverables as agreed to under each signed partnership agreement. Measure and report effectiveness of integration, collaboration and information sharing.
- Report on significant national cyber incidents.
- Release Version 3.0 of Knowledge Management System with Symantec web extensions. (Web extensions enable cross domain information sharing without having to re-key data).
- Sustain the knowledge management system at the secret level. Continue to add content and users.
- Support and integrate incident response activities under the National Cyber Incident Response Plan.
- Integrate results of IODEF proof of concept into the knowledge management system release Version 3.0.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Strategic Initiatives
Program Performance Justification
(Dollars in Thousands)**

PPA: Strategic Initiatives

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	37	28	64,179
2011 Adjustments-to-Base	1	1	193
2011 Current Services	38	29	64,372
2011 Program Change	-	-	(7,492)
2011 Total Request	38	29	56,880
Total Change 2010 to 2011	1	1	(7,299)

NPPD requests \$56.880 million for Strategic Initiatives, including 38 positions and 29 FTE. This represents a net decrease of \$7.299 million over the FY 2010 enacted budget of \$64.179 million. These funds support NPPD's role in cybersecurity activities.

The FY 2011 request for Strategic Initiatives includes adjustments-to-base for annualization of \$0.138 million for 1 FTE received in FY 2010, pay inflation of \$.055 million, and 1 position offset by \$0.112 million in program/contract dollars. Program changes include a net decrease of \$7.492 million.

CURRENT SERVICES PROGRAM DESCRIPTION

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	28	37	\$3,943	29	38	\$4,024	1	1	\$81
<i>Critical Infrastructure Protection</i>			\$12,452			\$8,713			-\$3,739
<i>Training & Education</i>			\$5,847			\$1,365			-\$4,482
<i>Software Assurance</i>			\$2,641			\$2,510			-\$131
<i>Cyber Exercises</i>			\$3,701			\$7,102			\$3,401
<i>Standards & Best Practices</i>			\$6,431			\$3,295			-\$3,136
<i>ISS Line of Business</i>			\$2,600			\$2,600			\$0
<i>Control Systems</i>			\$26,564			\$27,258			\$694
<i>Asst. Secretary for Cybersecurity and Communications</i>			\$0			\$13			\$13
Program Costs			\$60,236			\$52,856			-\$7,380
Total	28	37	\$64,179	29	38	\$56,880	1	1	-\$7,299

Strategic Initiatives establishes mechanisms for Federal partners to deploy standardized tools and services at a reduced cost, paving the way for a collaborative environment that enables sharing of best practices and common security challenges and shortfalls. It develops and promulgates sound practices for software developers, information technology security professionals, and other critical infrastructure and key resources stakeholders and collaborates with the public and private sectors to assess and mitigate risk to the Nation's cyber critical infrastructure and key resources.

This PPA encompasses activities under:

- *Critical Infrastructure Protection-Cyber Security* activities strengthen preparedness by partnering with the public and private sectors to reduce vulnerabilities and minimize the severity of cyber attacks across all critical infrastructures and key resources sectors.
- *Training and Education* activities provide resources to improve the training, education, and workforce development of information technology security professionals within the Federal government and private industry.
- *Software Assurance* activities improve software development and acquisition processes by way of forums, working groups, and best practices collaborations.
- *Cyber Exercises* activities plan, coordinate, and conduct cyber-focused exercises that prepare and enhance incident operational capabilities for the Department and its Federal, State, local, regional, international, and private sector partners.
- *Standards and Best Practices* activities promote and sponsor the development of standards, guidance documents, metrics, and tools that raise awareness and provide technical guidance for the implementation of cybersecurity controls.
- *Information Systems Security Line of Business (ISS LoB)* activities support the long-term strategic prevention of attacks against Federal government networks by addressing common challenges faced by all agencies.
- *Control Systems* focus on reducing the cyber risk to industrial control systems within the Nation's critical infrastructure and key resources.
- *Assistant Secretary, CS&C*: The Strategic Initiatives PPA also includes \$0.131 million of contract funding for the Assistant Secretary, CS&C.

Across the Federal civilian government, Strategic Initiatives: works to assess and prioritize common cybersecurity needs and solutions; promote actionable cybersecurity policies, initiatives, standards, and guidelines for implementation; works closely with the Office of Management and Budget, Department of Commerce, and others to enable and drive the effective implementation of cybersecurity risk mitigation strategies; and measures and monitors agency implementation strategies and compliance with published cybersecurity policies, initiatives, standards and guidelines. Federal Network Security supports the long-term strategic prevention of attacks against Federal government networks by addressing common challenges faced by all agencies.

To comply with the Federal Information Security Management Act and the E-Government Act of 2002 the Office of Management and Budget directed the Department of Homeland Security to establish the Information Systems Security Line of Business in

order to directly facilitate agency compliance with information security requirements, standards, and guidelines, and improve the level of information security across government. Strategic Initiatives leverages existing efforts and processes within the Office of Management and Budget Information Systems Security Line of Business. These activities focus on agency partnering, outreach, and collaboration to achieve objectives.

Combined with projects for software security automation and measurement, Strategic Initiatives' community collaboration efforts seek to reduce software vulnerabilities, minimize exploitation, and address means to improve capabilities that routinely develop and deploy trustworthy software products, enabling more resilient assets within the cyber critical infrastructure.

Strategic Initiatives promotes sound practices and standards that improve cybersecurity. It facilitates the promulgation, adoption, and enhancement of common indexing and reporting capabilities for malware, exploitable software vulnerabilities, and common attacks which target software by providing standardized schema for naming, indexing, describing, and cataloging. It supports the update of capabilities which enable the automation, use and evolution of these capabilities within the information technology security community. Through sponsoring and collaborating with numerous programs, committees, and working groups that seek to improve standardization of information across both public and private industry, Strategic Initiatives helps support Federal partners by providing them with cybersecurity research and development requirements to support their missions.

Through sponsorship of the Common Vulnerabilities and Exposures and Open Vulnerability and Assessment Language program, Strategic Initiatives works in partnership with the National Institute of Standards and Technology to standardize cyber vulnerability nomenclatures, making it possible to respond to vulnerabilities more efficiently as information is correlated across vendor products. The National Vulnerabilities Database, managed by the National Institute of Standards and Technology and funded by the National Cyber Security Division, is built on the outputs of the Common Vulnerabilities and Exposures program. The National Vulnerabilities Database provides stakeholders a comprehensive resource of publicly available United States government vulnerability resources including industry-specific information. It also participates in the National Institute of Standards and Technology's Security Content Automation Protocol program, which allows stakeholders to use commercial-off-the-shelf tools to check and map the security status and controls of their systems.

Strategic Initiatives works with the Department's Science and Technology Directorate to coordinate cybersecurity research and development priorities conducted through the Department's various programs. Through this collaboration, the National Cyber Security Division is able to participate in research and development program topic selections, proposal evaluations, vendor selection, and research and development program technical reviews. Through strategic workforce development programs, Strategic Initiatives facilitates the development of trained professionals to support the Nation's cybersecurity

needs, thus preparing the information technology workforce to meet current and future cybersecurity challenges.

Strategic Initiatives focuses resources on improving cybersecurity education, increasing the efficiency of existing cybersecurity training programs, and promoting cybersecurity workforce development. It influences numerous cybersecurity and information assurance education programs, including collaboration with the National Security Agency and the National Science Foundation to sponsor the National Centers of Academic Excellence in Information Assurance Education and Research program and the Federal Cyber Service: Scholarship for Service program, respectively.

Furthermore, it collaborates with stakeholders to promote innovative training programs and best practices to facilitate the availability of qualified information technology security professionals and a strong and dependable pipeline of future skilled cybersecurity employees in the Nation's workforce.

Strategic Initiatives collaborates with the public and private sectors to assess and mitigate risk to the Nation's cyber critical infrastructure and key resources.

Strategic Initiatives includes a special focus on identification, analysis, and remediation of control systems vulnerabilities because of the potential impacts of a control system attack. It also develops partnerships and provides guidance through programs aimed at reducing the likelihood of success and severity of impact of a cyber attack against the Nation's critical infrastructure industrial control systems. It coordinates with public and private partners to increase capabilities within critical infrastructure and key resources stakeholders to improve vulnerability assessment and mitigation, information dissemination, awareness, training, and tools.

In accordance with the National Infrastructure Protection Plan, Strategic Initiatives strengthens the Nation's preparedness through public and private partnerships that work to improve the security of the Information Technology Sector, serving as the designated Sector-Specific Agency. It provides assistance and expertise across all critical infrastructure and key resources sectors for cybersecurity.

It works with the National Programs and Protection Directorate's Office of Infrastructure Protection to develop and implement the National Infrastructure Protection Plan Information Technology Sector-Specific Plan. It also assists other Sector-Specific Agencies, private sector owners and operators of critical infrastructures and key resources, and State and local governments in assessing and mitigating cyber risks.

As part of its work on the National Infrastructure Protection Plan, Strategic Initiatives provides support to the National Infrastructure Protection Plan Program Management Office and the National Critical Infrastructure and Key Resources Annual Report. Working on these projects with Sector-Specific Agencies permits the opportunity to enhance cybersecurity in all critical infrastructure and key resources sectors via the cross-sector perspectives and activities on common vulnerabilities and protective measures,

interdependencies, and risk assessment methodologies and mitigation strategies. To further this objective, it formed and co-chairs the Cross Sector Cyber Security Working Group to share information and provide a forum of projects requiring input from all sectors.

Additionally, Strategic Initiatives plans, coordinates, and conducts cyber-focused exercises that prepare and enhance incident operational capabilities for the Department and its Federal, State, local, regional, international, and private sector partners. Working collaboratively with stakeholders, it develops, designs, and executes cyber exercises that range from policy process exercises that facilitate cybersecurity operations to network simulations that test command and control procedures, response mechanisms, and cross-sector coordination.

It also manages the biannual Cyber Storm exercises series, which involves hundreds of cross-sector critical infrastructure and key resources participants. The construction of a national cyber exercise supports Federal partners and State and local governments in identifying gaps in cybersecurity processes and procedures, demonstrating interdependencies between response organizations and the information technology, and improving cyber preparedness for the delivery of critical government services.

FY 2009 Strategic Initiatives Accomplishments:

- Defined, advised, assessed, and designated Federal enterprise-wide Shared Service Centers with Federal partners.
- Awarded a Federal enterprise-wide acquisition in order to provide Situational Awareness and Incident Response Tier I products and services with the General Services Administration.
- Defined and advised commercial Shared Service Center for Certification and Accreditation services with the General Services Administration.
- Defined technical requirements for Situational Awareness and Incident Response Tier II products and services collaborate with Federal partners.
- Updated the Software Assurance Community Resources and Information Clearinghouse, “Build Security In” web sites, and online resources consistent with stakeholder needs for software assurance sound practices for development, acquisition, and sustainment.
- Conducted semi-annual Software Assurance Forums for other government, private industry, academia, and international entities to facilitate the ongoing collaboration to identify methods for improving processes and practices throughout the software development lifecycle.
- Hosted Software Assurance Working Groups to advance focused portfolio efforts.
- Managed programs to collaborate with stakeholders in specifying and updating the Common Weakness Enumeration and Common Attack Pattern Enumeration and Classification.
- Collaborated with the National Institute for Standards and Technology to further develop final base-line source code security analysis tool specification document and a test plan document, Software Assurance Metrics and Tool Evaluation Reference

Dataset test suite, and Web Application Scanner Tool Functional Specifications test suite.

- Collaborated with the National Institute for Standards and Technology to provide Test Case Generator, which will generate thousands of small test programs embodying the weaknesses described in Object Management Group's Semantics of Business Vocabulary and Business Rules.
- Shared common naming conventions for vulnerabilities through further sponsorship of the Common Vulnerabilities and Exposures program and Open Vulnerability and Assessment Language to improve standardization of information across security advisories, tools, databases, and services.
- Participated in and provided technical expertise to various cybersecurity standards committees including the Department's Standards Committee, the Committee on National Security Systems, the International Organization of Standardization security standards committees, and other associated national research and development standards committees.
- In collaboration with Federal partners, private industries, and international stakeholders, conducted workshops and conferences on innovative cybersecurity standards and requirements topics, as well as best practices.
- Functioned as a national cybersecurity education resource, initiated engagement with stakeholders to identify enhancement activities for cybersecurity workforce development, conducted briefings and conference presentations.
- Co-sponsored the National Centers of Academic Excellence program, coordinating and conducting the Centers of Academic Excellence annual meeting and participating in annual program reviews.
- Co-sponsored the Federal Cyber Service: Scholarship for Service program, including coordinating and conducting the annual Scholarship for Service symposium and job fair, implementing a mentorship program, and conducting annual program quality reviews.
- Co-sponsor the annual Cybersecurity Educators Colloquium and the annual Federal Information System Security Educators' Association.
- Promoted Federal agency awareness of the Scholarship for Service program via agency information sessions, and participation in Federal government bodies, such as the Chief Information Officer Council's Information Technology Workforce Development Committee.
- Supported a group of state Chief Information Security Officers to design and develop a State government model for information security workforce development.
- Customized Department of Homeland Security curriculum supporting four information technology security roles requiring consistent, uniform training across federal organizational components to build an Information Systems Security Line of Business Tier Two Training Shared Service Provider Capability and conduct pilot training sessions.
- Enhanced the control systems testing environment by evaluating additional technologies, such as wireless connectivity.
- Established the Industrial Control Systems Joint Working Group to provide a formal mechanism to protect information and foster the coordination of activities and programs across government and private sector stakeholders.

- Developed the Cyber Security Evaluation Tool for critical infrastructure owners and operators.
- Organized and facilitated monthly conference calls with vendors of predominant Supervisory Control and Data Acquisition and control systems found throughout the nation which is attended by about 90 percent of all control systems vendors with a United States market share.
- Conducted vulnerability assessments on six legacy or commercial-off-the-shelf control systems components, operating systems, or networks to provide public and private partners with critical information on control security weaknesses, providing vendors with important control security information they can use to patch or eliminate security holes within their products resulting in more secure products and applications.
- Developed and presented training videos and classes at workshops, conferences and other venues to educate the control systems community on the risk of control system cyber attacks and mitigation solutions.
- Established the Industrial Control Systems Cyber Emergency Response Team, which is a national resource to receive, manage and respond to incidents and vulnerabilities that affect our nation's control systems.
- Conducted joint exercise with Department of Defense and Department of Energy, which included representatives from Federal Agencies and the private sector.
- Developed and validated control systems scenarios that illustrate the impact and consequences of vulnerabilities on our nation's critical infrastructure and key resources.
- Developed the Cyber Security Procurement Language for Control Systems that can be used ensure that security is built into systems before they are purchased.
- Developed the Catalog of Control System Security: Recommendations for Standards Developers to accelerate the cyber security standards process.
- Developed Creating Cyber Forensics Plans for Control Systems, recommended practice for Control Systems.
- Collaborated with the Chemical sector to publish their control system security roadmap.
- Assisted the Dams sector in drafting an initial version of their control system security roadmap.
- Supported Water sector roadmap implementation efforts by providing training at regional workshops.
- Expanded control systems malware analysis within the United States Computer Emergency Readiness Team branch by establishing a malware test bed in conjunction with the existing laboratory facilities, and supported it by helping to secure control systems through the production and dissemination of timely situational awareness information about control systems security and through the identification, analysis, and reduction of control system threats and vulnerabilities.
- Recapitalized the existing infrastructure of the control systems test bed in order to conduct scenario verification of control systems to capture the root cause of events and identify and disclose to public and private partners' protective measures and potential mitigation techniques.

- In coordination with the appropriate Information Sharing and Analysis Centers, identified key vulnerabilities and mitigation strategies to mitigate both previously and newly discovered high-priority weaknesses, and consequently provide control systems vendors with important control systems security information that can be used to patch or eliminate security holes within products.
- Completed and published the first information technology sector-wide baseline risk assessment in collaboration with industry and government partners.
- Distributed and implemented the automated cybersecurity vulnerability assessment for use by critical infrastructure and key resources stakeholders and conducted on-site assessments in coordination with the Protective Security Advisor program.
- Supported cyber security risk assessment and mitigation and conducted on-site assessments of facilities across critical infrastructure and key resources sectors. Provided critical infrastructure and key resources sector participants a portfolio of assessment tools, techniques, and analytics, ranging from those that can be self-applied to those that require expert facilitation or mentoring outreach.
- Supported the Office of Infrastructure Protection Protective Security Advisor Program in the Regional Resiliency Assessment Program by providing cybersecurity assessment expertise at critical infrastructure and key resources site assistance visits.
- Contributed the Cybersecurity Annual Report Appendix to the 2009 Critical Infrastructure and Key Resources National Annual Report
- Conducted sector interviews and provided guidance to the cross sector community on the Department's cybersecurity activities, as well as ways to address the National Infrastructure Protection Plan Measurement and Report Office Sector Annual Report Guidance during the 2009 Sector Annual Report development process.
- Convened workshop and follow-up meetings on research and development within the information technology sector and share results with public and private sector security partners invested in research and development. Critical Infrastructure Protection-Cyber Security developed the Public and Private Sector Research and Development Integration Concept of Operations which provides an approach for integrating private-sector input into Federal cybersecurity research and development efforts as part of the Comprehensive National Cybersecurity Initiative.
- Led efforts through the Cross Sector Cyber Security Working Group to enhance information sharing, metrics for success across the 18 critical infrastructure and key resource sectors, and identify incentives for cybersecurity.
- Participated in the Committee on Foreign Investment in the United States Interagency Working Group process to provide technical review and assistance on cybersecurity and/or information technology-related cases. A total of 64 Committee on Foreign Investment in the United States cases were reviewed by Critical Infrastructure Protection-Cyber Security in FY 2009.
- Initiated the 18-to-24-month planning process for Cyber Storm III, currently planned for 2010, and integrated aspects of Comprehensive National Cyber Initiative and the White House Cyberspace Policy Review into Cyber Storm III planning and development.
- Developed and deployed Cyber Exercise Technical Assistance and Cyber Exercise Support Program to bolster support and participation in cyber exercises with the full

range of critical infrastructure partners, thus enhancing collective cybersecurity preparedness and identifying interdependencies in cyber preparedness and response.

- Published, disseminated, and socialized the Cyber Storm II After-Action Report to further develop findings, identify areas for improvement, and formulate a roadmap based on the observations laid out in the Cyber Storm II After-Action Report.
- Managed cooperative agreement with University of Texas at San Antonio Center for Infrastructure Assurance and Security to conduct State and local cybersecurity preparedness assessments and exercise activities.

FY 2010 Strategic Initiatives Planned Accomplishments:

- Identify common solutions for information systems security that will reduce cost through shared services, providing benefits and cost efficiencies by eliminating duplication, increasing expertise through specialization, freeing-up resources for mission specific requirements, and other tailored security requirements.
- Strengthen the Federal government's information systems security through adherence to the management and reporting regulations of the Federal Information Security Management Act which will result in improved effectiveness and consistency in securing Federal government information systems.
- Support key components of the governance structure to improve information security decision making by providing a model for initiating, managing, and maintaining an approach for a range of security needs in a dynamic security environment. Elevate decision-making for common activities of information systems security from local programs to an enterprise level that ensures consistency and strengthens information systems security government-wide.
- Collaborate with the National Institute of Standards and Technology and tool vendors to create standards and certification mechanisms from which tools can be qualified for software security verification.
- Leverage international standards efforts including those of the Institute of Electrical and Electronics Engineers, the International Organization for Standardization/International Electrotechnical Commission and collaborate with stakeholders in the Software Assurance Program's Working Groups to create deliverables that seek to modify national and international standards that will better address software assurance needs.
- Participate in the Institute of Electrical and Electronics Engineers Computer Society and the International Organization for Standardization and International Electrotechnical Commission Joint Technology Council "Software and Systems Engineering" Standards Committees, and contribute to efforts to publish a systems and software assurance standard that could be used to communicate claims about the safety, security, and dependability of software products.
- Conduct semi-annual Software Assurance Forums for government, private industry, academia, and international entities to facilitate the ongoing collaboration to identify methods for improving processes and practices throughout the software acquisition and development lifecycles.
- Host Software Assurance Working Groups to advance focused portfolio efforts.
- Facilitate the promulgation, adoption, and enhancement of common indexing and reporting capabilities for malware, exploitable software vulnerabilities, and common

attacks which target software by providing standardized schema for naming, indexing, describing, and cataloging. This will support daily update of capabilities which enable the automation, use and evolution of these capabilities within the information technology security community.

- Provide criteria for evaluating capabilities of software suppliers, and in collaboration with the Defense Acquisition University complete development of a course curriculum based on the Software Assurance Acquisition Guide that began in FY 2008.
- Provide a repository and on-line resources of Software Assurance material suitable for use in education and training.
- Provide Software Assurance models and outlines to integrate Software Assurance in graduate and undergraduate education along with training through coordination with academia and training and certification organizations in support of Cyber Education and Training.
- Provide Software Assurance outreach through presentations and articles in professional journals, pocket guides, and handouts based on Software Assurance documents for development, acquisition, testing, measurement, and education.
- Develop technologies for the automated analysis of software and systems for exploitable vulnerabilities and malicious code.
- Develop configuration settings, guidance and tools to reduce exposure to vulnerabilities.
- Participate in appropriate standards committees to ensure the development and promotion of cyber security standards.
- Develop automated reconfiguration tools that may be used to recover from attacks.
- Develop standards and policies for the creation, use, and maintenance of identities and privileged information.
- Function as a national cybersecurity education resource, initiating engagement with stakeholders to identify enhancement activities for cybersecurity workforce development, conduct briefings and conference presentations.
- Co-sponsor, promote, and expand the Centers of Academic Excellence program and the Scholarship for Service program.
- Co-sponsor with the Federal Bureau of Investigation, the digital Forensics Educators Working Group and conduct quarterly meetings.
- Co-sponsor the annual Cybersecurity Educators Colloquium and the annual Federal Information System Security Educators' Association.
- Finalize the State government information security workforce development model and promote it nationally as a best practice, throughout multiple state government entities.
- Maintain interagency cybersecurity training partnerships to share investment and increase availability of shared training and experiential learning resources across the Federal government.
- Customize cybersecurity curriculum modules supporting two cybersecurity roles requiring consistent, uniform training across federal organizational components to build an Information Systems Security Line of Business Tier Two Training Shared Service Provider Capability and conduct pilot training sessions.

- Enhance risk and vulnerability assessments on commercial-off-the-shelf control systems components, operating systems, or networks to provide public and private partners with critical information on control security weaknesses, providing vendors with important control systems security information they can use to patch or eliminate security holes within their products, resulting in more secure products and applications.
- Conduct vulnerability analysis on SmartGrid enabling technologies, such as Advanced Metering Infrastructure, Advanced Meter Reading and Mesh network architectures to identify potential vulnerabilities and develop mitigation solutions.
- Collaborate with the Federal Energy Regulatory Commission on joint Electromagnetic Pulse studies to evaluate potential hazards to the electric grid.
- Operate the Industrial Control Systems Joint Working Group and its subgroups to provide a formal mechanism to protect information and foster the coordination of activities and programs across government and private sector stakeholders.
- Enhance the Industrial Control Systems Cyber Emergency Response Team, which is a national resource to receive, manage and respond to incidents and vulnerabilities that affect our nation's control systems.
- In accordance with the Control Systems Security Program Strategy, update and maintain the Federal Coordination Strategy for Securing Control Systems and the Control Systems Security Protection Framework as the central framework for coordinating Federal activities with State and local government, private industries, international entities, and control systems vendors.
- Assist the Chemical sector with implementation efforts for their control system security roadmap.
- Collaborate with the Water sector to publish their control system security roadmap.
- Work with the Energy sector to update their control system security roadmap.
- Expand the control systems content of the United States Computer Emergency Readiness Team's website, promoting it as a central repository for control systems cybersecurity information, control system vulnerability reporting, and cross-sector control systems information sharing for public and private partners.
- Review, enhance, and widely distribute the Cyber Security Evaluation Tool across the control systems community, including public and private partners to further the situational awareness information on the cyber status and health of critical infrastructure and key resources stakeholders' control systems.
- In close collaboration with Information Technology Government Coordinating Council and Information Technology Sector Coordinating Council, review and update the Information Technology Sector-Specific Plan to reflect changes in the information technology and cybersecurity landscape.
- Conduct sector interviews and provided guidance to the cross sector community on the Department's cybersecurity activities, as well as ways to address the National Infrastructure Protection Plan Measurement Program Management Office 2010 Sector Specific Plan Guidance during the 2010 Sector Specific Plan development process.
- Implement long-term actions as outlined in the Information Technology Sector-Specific Plan to develop a methodology to manage risks identified in the Information Technology Sector Baseline Risk Assessment, identify protective programs, enhance

information sharing, set the pace for the research and development agenda of the information technology sector, and track its progress.

- In close collaboration with Information Technology Government Coordinating Council and Information Technology Sector Coordinating Council, conduct activities in support of the next iteration of the IT Sector Risk Assessment.
- Contribute to the development of cybersecurity risk assessment methodologies including provision of cybersecurity content for risk and vulnerability assessment methodologies developed by the Department to assist critical infrastructure and key resources sectors with onsite cybersecurity implementation assessments and provide options for considerations to increase cybersecurity resiliency. For FY 2010, Critical Infrastructure Protection-Cyber Security plans to conduct 50 site assistance visits to critical infrastructure and key resources sites.
- Develop cybersecurity guidance for the Department's grants programs that promote efforts to enhance the security of State and local governments, which in turn will aid in the development and implementation of State and local critical infrastructure and key resources cybersecurity protection plans. Additionally, Critical Infrastructure Protection-Cyber Security plans to further develop and define the Regional Cyber Assessment Review Program which intends to build a comprehensive view of cybersecurity dependencies that can be applied regionally or organizationally.
- Execute Cyber Storm III National Cyber Exercise and during exercise activities, test and validate Cyber Exercise Range, which will provide the capability to execute technical level cyber exercises for the Federal government and State and local governments, providing the possibility of eventual expansion into private industries.
- Sponsor and support cyber exercises with State, local, regional, and private sector security partners as part of the Cyber Exercise Technical Assistance and Cyber Exercise Support program.
- Provide technical exercise assistance to the United States, Canada, Australia, New Zealand, and United Kingdom and continue execute an exercise plan to facilitate operational interaction with these nations and work with the International Watch and Warning Network to integrate capabilities into future cyber exercise plans.
- Support development and implementation of the Cyber Incident Response plan by conducting tabletop and other exercises, developing frameworks and playbooks as needed.

FY 2011 Strategic Initiatives Planned Accomplishments:

- Participate in Federal government-wide cybersecurity initiatives and serve as an information conduit to promote collaboration in providing e-government services and share lessons learned.
- Drive strategic sourcing efforts for investments in security solutions, technologies, and processes through cross-agency cooperation and partnerships.
- Oversee and monitor designated enterprise solutions.
- Manage the daily operations of the Information Systems Security Line of Business Program Management Office.
- Collaborate with other National Cyber Security Division programs to assess and maintain the cybersecurity strategic picture for the Federal government.

- Identify common needs and requirements that save time, money, and effort by capitalizing on shared solutions for common security areas.
- Lead important research and analysis projects that will evaluate emerging cyber technologies and risks by evaluating historical, existing, and emerging technologies with the potential ability to reduce vulnerabilities, prevent intrusions, and defend against threats.
- Effectively monitor and support cross government cyber initiatives and policies by maintaining a strong situational awareness capability to consistently and accurately monitor, evaluate, synthesize, validate, and report on cyber security initiatives.
- Facilitate the implementation of cross-government initiatives through proactive strategic support to agencies with respect to cyber policy. Also lead continuous improvement initiatives through established Federal executive cyber security committees.
- Strategic sourcing to help achieve more secure information systems within the Federal government by facilitating a more consistent, comparable, and repeatable approach for selecting and specifying security services and tools.
- Implementation of Enterprise Security Solutions so all Federal departments and agencies will benefit from reduced costs through sharing services and eliminating duplicative efforts; improved quality of service and expertise through specialization and consolidation; and improved levels of cyber security across government agencies, particularly smaller agencies that may not have these capabilities internally.
- Co-sponsor semi-annual software assurance forums and quarterly working groups with the Department of Defense and the National Institute for Standards and Technology to provide venues for public-private collaboration in advancing software security in development and acquisition processes and resources.
- Provide collaboratively developed, software assurance information resources via journals, guides and on-line resources suitable for use in education, training, and process improvement.
- Co-sponsor software security automation and measurement capabilities with the Department of Defense, the National Institute for Standards and Technology and the National Security Agency, including the use of common indexing and reporting capabilities for malware, exploitable software weaknesses, and common attacks that target software.
- Manage programs to facilitate the adoption of Malware Attribute Enumeration Classification, Common Weakness Enumeration, and Common Attack Pattern Enumeration and Classification.
- Co-sponsor with the Department of Defense, the National Institute for Standards and Technology and the National Security Agency standards, metrics and certification mechanisms from which tools can be qualified for software security verification.
- Participate in and provide technical expertise to various cybersecurity standards committees including the Department's Standards Committee, the Committee on National Security Systems, the International Organization of Standardization security standards committees, and other associated national research and development standards committees.
- Provide feedback to the Science and Technology Directorate on research and development priorities.

- Promote common naming conventions for vulnerabilities by sponsoring the Common Vulnerabilities and Exposures and Open Vulnerability and Assessment Language programs.
- Function as a national cybersecurity education resource, initiating engagement with stakeholders to identify enhancement activities for cybersecurity workforce development, conduct briefings, and conference presentations.
- Promote adoption of the State government information security workforce development model nationally as a best practice, throughout multiple state government entities.
- Co-sponsor, with the Federal Bureau of Investigation, the digital Forensics Educators Working Group and conduct quarterly meetings.
- Maintain interagency cybersecurity training partnerships to share investment and increase availability of shared training and experiential learning resources across the Federal government.
- Co-sponsor the annual Cybersecurity Educators Colloquium and the annual Federal Information System Security Educators' Association.
- Co-sponsor the National Centers of Academic Excellence and the Scholarship for Service program.
- Enhance risk and vulnerability assessments on commercial-off-the-shelf control systems components, operating systems, or networks to provide public and private partners with critical information on control security weaknesses, providing vendors with important control systems security information they can use to patch or eliminate security holes within their products, resulting in more secure products and applications.
- Expand the Advanced Vulnerability Discovery facility to include two Additional Real Time Data Simulators, an expanded wireless test bed spectrum, current generation Automated Metering Infrastructure/Automated Meter Reading technologies, initial baseline assessment of current systems.
- Operate the Industrial Control Systems Joint Working Group and its subgroups to provide a formal mechanism to protect information and foster the coordination of activities and programs across government and private sector stakeholders.
- Enhance the Industrial Control Systems Cyber Emergency Response Team, which is a national resource to receive, manage and respond to incidents and vulnerabilities that affect our nation's control systems.
- Assist the Water sector with implementation efforts for their control system security roadmap.
- In accordance with the Control Systems Security Program Strategy, update and maintain the Federal Coordination Strategy for Securing Control Systems and the Control Systems Security Protection Framework as the central framework for coordinating Federal activities with State and local government, private industries, international entities, and control systems vendors.
- Improve the control systems content of the United States Computer Emergency Readiness Team's website, maintaining it as a central repository for control systems cybersecurity information, control system vulnerability reporting, and cross-sector control systems information sharing for public and private partners.

- Maintain an ongoing program review, enhancement, and distribution of the Cyber Security Evaluation Tool across the control systems community, including public and private partners to further the situation awareness information on the cyber status and health of critical infrastructure and key resources stakeholders' control systems.
- Utilize the cyber assessment portfolio and relevant results to inform sector planning and make additional considerations for top-down design for sector-specific best practices, assessments, and security measurements and performance.
- Incorporate sector-specific objectives within critical infrastructure and key resource assessments and at the same time provide national-level estimations of sector and cross-sector cyber security capabilities, achievements, and barriers.
- Implement long-term actions as outlined in the Information Technology Sector-Specific Plan to develop a methodology to manage risks identified in the Information Technology Sector Baseline Risk Assessment, identify protective programs, enhance information sharing, set the pace for the research and development agenda of the information technology sector, and track its progress.
- In close collaboration with Information Technology Government Coordinating Council and Information Technology Sector Coordinating Council, conduct activities in support of the next iteration of the Information Technology Sector Risk Assessment.
- Utilize the developed cybersecurity risk assessment methodologies, including provision of cybersecurity content for risk and vulnerability assessment methodologies developed by the Department to assist critical infrastructure and key resources sectors with onsite cybersecurity implementation assessments and provide options for considerations to increase cybersecurity resiliency. For FY 2011, Critical Infrastructure Protection-Cyber Security plans to conduct 75 site assistance visits to critical infrastructure and key resources sites.
- Evaluate the results of the Cyber Storm III National Cyber Exercise.
- Sponsor and support cyber exercises with State, local, regional, and private sector security partners as part of the Cyber Exercise Technical Assistance and Cyber Exercise Support program.
- Provide technical exercise assistance to the United States, Canada, Australia, New Zealand, and United Kingdom and continue to execute an exercise plan to facilitate operational interaction with these nations and work with the International Watch and Warning Network to integrate capabilities into future cyber exercise plans.
- As necessary, support national efforts to conduct tabletop and other exercises.

Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Outreach and Programs
Program Performance Justification
(Dollars in Thousands)

PPA: Outreach and Programs

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	16	14	9,346
2011 Adjustments-to-Base	-	-	29
2011 Current Services	16	14	9,375
2011 Program Change	-	-	(2,500)
2011 Total Request	16	14	6,875
Total Change 2010 to 2011	-	-	(2,471)

NPPD requests \$6.875 million for Outreach and Program, including 16 positions and 14 FTE. This represents a net decrease of \$2.471 million over the FY 2010 enacted budget of \$9.346 million. These funds support NPPD’s role in cybersecurity activities.

The FY 2011 request for Outreach and Programs includes adjustments-to-base for pay inflation of \$.029 million. Program changes net to a decrease of \$2.500 million.

CURRENT SERVICES PROGRAM DESCRIPTION

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
<i>Outreach & Programs Salaries & Benefits</i>	14	16	\$1,935	11	13	\$1,496	-3	-3	-\$439
<i>A/S CS&C Salaries & Benefits</i>	0	0	\$0	3	3	\$485	3	3	\$485
Salaries & Benefits	14	16	\$1,935	14	16	\$1,981	0	0	\$46
<i>Stakeholder Outreach, Communication & Coordination</i>			\$3,592			\$3,336			-\$256
<i>International Affairs & Public Policy</i>			\$653			\$656			\$3
<i>Planning & Programs</i>			\$916			\$902			-\$14
<i>Information Sharing & Collaboration</i>			\$2,250			\$0			-\$2,250
<i>Asst. Secretary for Cybersecurity and Communications</i>			\$0			\$0			\$0
Program Costs			\$7,411			\$4,894			-\$2,517
Total	14	16	\$9,346	14	16	\$6,875	0	0	-\$2,471

Outreach and Programs promotes opportunities to leverage the cybersecurity research and development investments of others. It promotes cybersecurity awareness among and within the general public and key communities, maintains relationships with governmental cybersecurity professionals to share information about cybersecurity

initiatives, and develops partnerships to promote collaboration on cybersecurity issues. Outreach and Programs also supports the National Cyber Security Division by setting direction to overall cybersecurity strategy and planning by integrating resource management, human capital, facilities, performance management, and policy development and implementation into the broad array of issues addressed by the National Cyber Security Division.

This PPA encompasses activities under:

- *Stakeholder Outreach, Communications and Coordination* activities focus on the development of internal and external communications, ensure collaboration on events and activities across the National Cyber Security Division, and build and maintain stakeholder relationships to raise cybersecurity awareness.
- *International Affairs and Public Policy* activities conduct international outreach, facilitating collaboration, cooperation, planning, and policy development on global cyber security issues.
- *Planning and Programs* activities integrate resource management, human capital, facilities, performance management, and policy development and implementation into the broad array of issues addressed by National Cyber Security Division leadership.
- *Information Sharing and Collaboration* activities develop research, education, and outreach programs that focus on technology critical for cybersecurity and emergency preparedness and response.
- *Assistant Secretary, CS&C*: The Outreach and Programs PPA also includes funding for 3 staff for \$0.485 million for the Assistant Secretary, CS&C.

Outreach and Programs coordinates domestic and international engagement and outreach on behalf of the National Cyber Security Division. It promotes cybersecurity awareness among and within the general public and key communities, maintains relationships with governmental cybersecurity professionals to share information about cybersecurity initiatives, and develops partnerships to promote collaboration on cybersecurity issues. As part of its role, it works closely with other National Cyber Security Division programs to ensure that the public and key stakeholders are aware of the efforts and activities National Cyber Security Division conducts in support of cybersecurity.

It coordinates and develops internal and external communications, including the development of messages that support the advancement of Department cybersecurity priorities, and coordinating the channels by which those messages are disseminated to stakeholders. This includes developing talking points and speeches for leadership, coordinating speaking engagements across the Division, and providing support for all public affairs needs, including media engagement. It increases awareness with small and medium sized businesses, educational institutions, home computer users, and the general public. It also aims to increase knowledge in government—at all levels—about the capabilities, and services that National Cyber Security Division provides. Outreach and Programs concentrates on building and maintaining information sharing relationships with both internal and external stakeholders (e.g., State and local governments,

international partners, etc.), and engages in a number of bilateral, regional, and multilateral relationships to build situational awareness, strengthen operational information sharing, improve incident response capabilities, contribute to cybersecurity capacity building efforts, and coordinate on strategic policy issues.

Furthermore, Outreach and Programs is responsible for supporting the National Cyber Security Division leadership in setting direction to overall cybersecurity strategy and planning; in ensuring appropriate resources are available to support the mission; developing strategic implementation plans, including performance measures and milestones, focusing on the division's priorities, initiatives, and financial processes; and in preparing, justifying, and administering the National Cyber Security Division budget. It integrates resource management, human capital, facilities, performance management, and policy development and implementation into the broad array of issues addressed by National Cyber Security Division leadership.

It advises the development of national cybersecurity policy and acts as a liaison for: matters related to the Government Performance and Results Act; the implementation of the President's Management Agenda; the coordination of responses to audit groups, such as the Office of the Inspector General and the Government Accountability Office; and the development of performance measurement and vital information to justify five-year resource requests through the Future Years Homeland Security Program. Additionally, it provides comprehensive responses to Congressional Testimony and other inquiries, as well as informs the Department's internal and external stakeholders about cybersecurity issues and activities.

FY 2009 Outreach and Programs Accomplishments:

- Planned, organized, and implemented Department participation in the 2009 RSA Security Conference.
- Supported outreach for the Government Forum of Incident Response and Security Teams annual meeting.
- Prepared for 2009 National Cyber Security Awareness Month in October 2010.
- Coordinated activities and messaging with the National Cyber Security Alliance to promote cybersecurity awareness to the general public, small and medium size enterprises, and education community, to include the creation of a cyber volunteer education program, a K-12 baseline study on cyber education, and lessons plans for educators to promote cybersecurity education.
- Further advanced State and local collaboration through Department engagements including the Multi-State Information Sharing and Analysis Center, the National Association of State Chief Information Officers, National Fusion Centers, National Governors Association, and the State Homeland Security Advisors Council.
- Finalized and presented report on the value of cybersecurity exercises to the Asia Pacific Economic Cooperation Telecommunications and Information Working Group.
- Led the Meridian Programme Committee and began preparations to host the Meridian Conference in October FY 2010.
- Initiated planning for Cyber Storm III with the fifteen member nations of the International Watch and Warning Network by facilitating a table top exercise to

develop standard operating procedures that must be implemented by member nations and further tested through Cyber Storm III.

- Continued engagement in various multilateral forums in collaboration with the United States interagency to advance dialogue on cybersecurity and represented the National Cyber Security Division's equities to include the Asia Pacific Economic Cooperation Telecommunication and Information Working Group, the Organization for Economic Cooperation and Development, North Atlantic Treaty Organization, the Group of 8 High Tech Crime Sub-Group, the Inter-American Committee against Terrorism of the Organization of American States, and the International Telecommunication Union, among others.
- Continued engagement with Usual 5 and further advanced establishing secure communications for the Usual 5 member countries.
- Further advanced bilateral collaboration through international Department engagements including the United States-United Kingdom Joint Contact Group and the United States-Germany Security Cooperation Group.
- Coordinated bilateral workshops, briefings, and meetings with officials from Australia, Canada, Sweden, the United Kingdom, Japan, New Zealand, France, Estonia, and others to advance information and collaboration sharing on cybersecurity issues of mutual concern.
- Conducted programmatic evaluation of cost, schedule, and performance activities relative to goals and objectives.
- Developed and implemented process improvements that reduced the time required to develop and process procurement requests.
- Implemented new acquisition Department Management Directive requirements for program planning.
- Worked with Cybersecurity and Communications Budget and Finance Division to implement standardized budget policies and procedures.
- Enhanced the United States Computer Emergency Readiness Team's visualization and display capture capability to more effectively handle incidents and response.
- Provided compression and expansion options for key vendors and government staff in order to enhance information sharing.

FY 2010 Outreach and Programs Planned Accomplishments:

- Plan, organize, and implement Department participation in the 2010 RSA Security Conference.
- Support outreach for the Government Forum of Incident Response and Security Teams annual meeting in 2010.
- Sponsor the National Cyber Security Awareness Month in October 2010.
- Coordinate activities and messaging with the National Cyber Security Alliance to promote cybersecurity awareness to the general public, small and medium size enterprises, and education community, a K-12 baseline study on cyber education, and lessons plans for educators to promote cybersecurity education.
- Further advance State and local collaboration through Department engagements including the Multi-State Information Sharing and Analysis Center, the National Association of State Chief Information Officers, National Fusion Centers, National Governors Association, and the State Homeland Security Advisors Council.

- Lead implementation of national public affairs campaign effort initiated in FY2009 for the Department's Cyber Storm III Exercise.
- Host the biannual "Usual 5" meeting, to advance collaboration with a specific focus on planning for Cyber Storm III.
- Host the Meridian Conference in October FY 2010, to bring together senior policymakers to collaborate on critical information infrastructure protection.
- Participate in the Meridian Programme Committee to plan for the FY 2011 Meridian Conference in Taiwan.
- Finalize and present report on cybersecurity awareness to the Asia Pacific Economic Cooperation Telecommunications and Information Working Group.
- Develop and pilot an international training module for cybersecurity capacity building.
- Complete developing the standard operating procedures for the International Watch and Warning Network, which will be tested during Cyber Storm III.
- Advance Cyber Storm III planning with International Watch and Warning Network member countries.
- Continue engagement in various multilateral forums in collaboration with the United States interagency to advance dialogue on cybersecurity and represent the National Cyber Security Division's equities to include the Asia Pacific Economic Cooperation Telecommunication and Information Working Group, the Organization for Economic Cooperation and Development, North Atlantic Treaty Organization, the Group of 8 High Tech Crime Sub-Group, the Inter-American Committee against Terrorism of the Organization of American States, and the International Telecommunication Union, among others.
- Continue previous year efforts to further advance bilateral collaboration through international Department engagements including the United States-United Kingdom Joint Contact Group and the United States-Germany Security Cooperation Group.
- Work with the Cybersecurity and Communications and NPPD human capital leadership to improve the on-boarding of personnel and track all key events within the Department on-boarding cycle.
- Implement process improvements that reduce the time required to develop and process procurement requests.
- Implement Department Management Directive acquisition requirements for program planning.
- Develop and begin to implement process improvements within the National Cyber Security Division Executive Secretariat that will help improve document version review and control, and reduce the time required to provide responses to internal and external inquiries.
- Develop and submit five-year resource requests to the Department, the Office of Management and Budget, and Congress.
- Conduct programmatic evaluation of cost, schedule, and performance activities relative to goals and objectives.
- As necessary, provide responses to inquiries, including those from Congress, the Office of Management and Budget, the Government Accountability Office, and other governing bodies.

FY 2011 Outreach and Programs Planned Accomplishments:

- Plan, organize, and implement Departmental participation in the 2011 RSA Security Conference.
- Support outreach for the Government Forum of Incident Response and Security Teams annual meeting in 2011.
- Sponsor the National Cyber Security Awareness Month in October 2011.
- Coordinate activities and messaging with appropriate industry partners to promote cybersecurity awareness to the general public, small and medium size enterprises, and education community, a K-12 baseline study on cyber education, and lessons plans for educators to promote cybersecurity education.
- Further advance State and local collaboration through Department engagements including the Multi-State Information Sharing and Analysis Center, the National Association of State Chief Information Officers, National Fusion Centers, National Governors Association, and the State Homeland Security Advisors Council.
- Contribute to Meridian Program Committee in support of the 2011 Meridian Conference.
- Continue engagement in various multilateral forums in collaboration with the United States interagency to advance dialogue on cybersecurity and represent the National Cyber Security Division's equities to include the Usual 5, International Watch and Warning Network, Asia Pacific Economic Cooperation Telecommunication and Information Working Group, the Organization for Economic Cooperation and Development, North Atlantic Treaty Organization, the Group of 8 High Tech Crime Sub-Group, the Inter-American Committee against Terrorism of the Organization of American States, and the International Telecommunication Union, among others.
- Continue previous year efforts to further advance bilateral collaboration through international Department engagements including the United States-United Kingdom Joint Contact Group and the United States-Germany Security Cooperation Group.
- Work with the Cybersecurity and Communications and National Protection and Programs Directorate human capital leadership to further improve the on-boarding of personnel and track all key events within the Department on-boarding cycle.
- Enhance internal National Cyber Security Division transparency and efficiency by the continued implementation of governance, protocols, and standard procedures, including process improvements that reduce time required to develop and process procurement requests, which will improve budget execution.
- Develop and begin to implement process improvements within the National Cyber Security Division Executive Secretariat that will help improve document version review and control, and reduce the time required to provide responses to internal and external inquiries.
- Develop and submit five-year resource requests to the Department, the Office of Management and Budget, and Congress.
- Conduct programmatic evaluation of cost, schedule, and performance activities relative to goals and objectives.
- As necessary, provide responses to inquiries, including those from Congress, the Office of Management and Budget, the Government Accountability Office, and other governing bodies.

Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Office of Emergency Communications
Program Performance Justification
(Dollars in Thousands)

PPA: Office of Emergency Communications

	Perm. Pos	FTE	Amount
2009 Actuals	47	27	34,138
2010 Enacted	52	52	45,060
2011 Adjustments-to-Base	6	6	150
2011 Current Services	58	58	45,210
2011 Program Change	-	-	(686)
2011 Total Request	58	58	44,524
Total Change 2010 to 2011	6	6	(536)

The National Protection and Programs Directorate (NPPD) requests \$44.524 million and 58 positions and FTE for Office of Emergency Communications (OEC) in FY 2011. This is a decrease of \$0.536 million compared to the FY 2010 enacted budget of \$45.060 million.

The FY 2011 request includes increases of \$0.135 million for pay inflation and \$0.015 million for GSA rent. Program changes include an increase of \$1.000 million for the Public Safety Broadband Interoperability program within Federal Communications Services. Program decreases include \$1.000 million for the SEARCH project, \$0.566 million for Multi-Jurisdictional Communications Services and \$0.120 million for Policy, Planning and Analysis.

The OEC request includes an adjustment to base for the addition of six more Federal positions, funded within the requested FY 2011 salary and benefit resources. Toward this goal, two mid-level Federal positions will be added to each of the following OEC Divisions: the Office of the Director, Multi-Jurisdictional Communications Services, and Federal Communications Services.

CURRENT SERVICES PROGRAM DESCRIPTION

\$ thousands	FY 2010 Enacted	FY 2011 Request
Personnel Costs	\$ 9,226	\$ 9,361
Program Costs	\$ 35,834	\$ 35,163
Total Costs	\$ 45,060	\$ 44,524

Pursuant to Title XVIII of the Homeland Security Act of 2002, as amended, OEC was formally established on April 1, 2007. OEC's mission is to support and promote the ability of emergency responders and government officials to continue to communicate in the event of natural disasters, acts of terrorism, or other man-made disasters, and work to ensure, accelerate, and attain interoperable and operable emergency communications nationwide.

Mandated under the Post-Katrina Management Reform Act of 2006, OEC serves as the coordination point for interoperable communications policies and holds key responsibilities, including leading the development and implementation of the National Emergency Communications Plan (NECP), the first nationwide strategic plan for enhancing emergency communications. Moreover, OEC developed the National Emergency Communications Plan (NECP), with input from more than 150 stakeholders from all levels of government and the private sector, to address emergency communications challenges and gaps.

Emergency communications encompasses operability, interoperability, and the continuity of communications across a full range of current and future capabilities for the exchange of voice, data, and video information. The Office of Emergency Communications is committed to ensuring that emergency response personnel at all levels of government and across all disciplines can communicate as needed, on demand, and as authorized. In order to achieve this vision, the Office of Emergency Communications developed six key strategic goals to improve emergency communications and to support the goals of DHS.

- *Goal 1:* Foster coordination between Federal, State, local, tribal, and private sector Emergency Communications stakeholders.
- *Goal 2:* Improve emergency communications capability through targeted interaction with Federal, State, local, and tribal agencies.
- *Goal 3:* Target Federal grants to the most critical emergency communications needs of States and localities in alignment with the National Emergency Communications Plan.
- *Goal 4:* Develop policies and plans that guide, promote, and enhance efforts to improve emergency communications nationwide.
- *Goal 5:* Develop innovative methods for addressing emergency communications gaps.
- *Goal 6:* Create a unified Office of Emergency Communications Headquarters and regional staff committed to ensuring programmatic success.

To achieve its mission, vision, and goals, the Office of Emergency Communications organized itself to be flexible and responsive to its users' needs, yet capable of delivering consistent and effective services. This strategy is designed to drive effective and efficient capability improvements to strengthen emergency communications preparedness and response. The OEC Office of the Director provides leadership, direction, and oversight for Office of Emergency Communications activities in support of its mission, and serves as the organization's principal advocate before Congress; other Federal, State, local, and tribal agencies; key stakeholders; and the public. Three Divisions reporting to the OEC Director carry out the Office's mission and programmatic responsibilities, as follows:

- *Federal Communications Services (FCS)* engages with Federal Departments and Agencies to improve emergency communications capabilities, including policy development, investment planning, and direct assistance;
- *Multi-Jurisdictional Communications Services (MCS)* engages with State, local, and tribal stakeholders to deliver targeted technical assistance and to gather stakeholder input on policies, guidance, and initiatives; and
- *Policy, Planning, and Analysis (PPA)* identifies and assesses interoperable emergency communications capabilities and drives Federal grants to meet emergency responders' requirements and needs.

Office of the Director

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	10	10	\$1,865	12	12	\$1,893	2	2	\$28
<i>Management & Administration</i>			\$1,160			\$1,160			\$0
<i>Coordination</i>			\$2,240			\$4,048			\$1,808
<i>Technical Assistance</i>			\$3,783			\$990			-\$2,793
<i>Demonstration Projects</i>			\$3,783			\$1,015			-\$2,768
<i>Policy</i>			\$0			\$334			\$334
Program Costs			\$10,966			\$7,547			-\$3,419
Total	10	10	\$12,831	12	12	\$9,440	2	2	-\$3,391

The OEC Office of the Director provides strategic leadership and oversight guidance, which facilitates the dissemination of Office of Emergency Communication's mission objectives, policies, and programs to the nation's State, local, and tribal governments; other Departments and Agencies; key stakeholders; and the public. In FY 2011, the Office of Emergency Communications is realigning Sub-PPA activities and related funds from within respective branches to underneath the Office of the Director. These enterprise-wide functions include branch administrative and business operations support, Office of Emergency Communications-wide outreach and strategy support activities, and executive secretariat and coordination support. These realignments will allow for increased transparency and more efficient tracking of funds expended on Office of the Director and OEC organizational-wide activities, while serving to strengthen and unify operations and management functions across the enterprise.

FY 2009 Office of the Director Accomplishments:

- Defined strategic goals and developed the Office of Emergency Communications Strategic Plan, which maps to the National Emergency Communications Plan and is based upon the Policy, Coordination, Demonstration Projects, Grants, and Technical Assistance Service Offerings.
- Developed and conducted monthly Office of Emergency Communications budget and program management reviews, including the development of project financial status updates and financial risk mitigation strategies.
- To enhance the hiring process, the Office of the Director facilitated the development and implementation of various on-boarding standard operating procedures and related human capital tools.
- To support the release of the National Emergency Communications Plan, the Office of the Director, published articles in more than 20 media outlets, such as the Homeland Security Today, PC Magazine, and Federal Computer Week.

FY 2010 Office of the Director Planned Accomplishments:

- Implement a Training Roadmap to ensure employees develop core skill sets and competencies.
- Hire 10 Regional Coordinators and ensure effective administrative support to regional staff and State and local partners.
- Develop and implement a Telework Standard Operating Procedure specific to the Regional Coordinator requirements.
- Implement Continuity of Operations planning actions to ensure successful integration of OEC Continuity of Operations efforts are aligned to Cybersecurity & Communications (CS&C) planning efforts.
- Implement outcomes of the comprehensive Workforce Analysis in conjunction with NPPD.

FY 2011 Office of the Director Planned Accomplishments:

- Expand strategic planning and integration activities to encompass Department-wide and interagency Emergency Communications activities.
- Implement a plan for strategic communications efforts, including positioning the Office of Emergency Communications as a focal point of nationwide emergency communications and enhancing relationships among stakeholders and the inter-governmental community.
- Build upon previous efforts to manage Office of Emergency Communications Continuity of Operations planning and ensure integration of Office of Emergency Communications Continuity of Operations efforts with Cybersecurity & Communications Continuity of Operations.
- Implement outcomes of the comprehensive Workforce Analysis in conjunction with NPPD.

Policy, Planning, and Analysis

\$ thousands	FY 2010			FY 2011			Change		
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP
Salaries & Benefits	8	8	\$1,273	8	8	\$1,292	0	0	\$19
<i>Management & Administration</i>			\$664			\$801			\$137
<i>Policy</i>			\$4,300			\$4,371			\$71
<i>Coordination</i>			\$1,116			\$1,085			-\$31
<i>Grants</i>			\$458			\$450			-\$8
Program Costs			\$6,538			\$6,707			\$169
Total	8	8	\$7,811	8	8	\$7,999	0	0	\$188

Policy, Planning, and Analysis identifies challenges facing the advancement of interoperable emergency communications capabilities and develops policies and strategies to meet these challenges. This includes the following: developing national assessments (e.g., National Communications Capabilities Report); monitoring the implementation of the National Emergency Communications Plan; leading development of emergency communications grant program guidance (e.g., Interoperable Emergency Communications Grant Program and the SAFECOM Grant Guidance); and engaging in outreach to industry partners. Policy, Planning, and Analysis also coordinates and integrates information collected by the Federal and Multi-Jurisdictional Communications Services programs to provide an integrated national assessment of existing and emerging interoperable emergency communications challenges and vulnerabilities, and develops Departmental Emergency Communications grant program guidance. Additionally, Policy, Planning, and Analysis evaluates progress achieved through these programs to ensure that Federal assistance is optimally targeted at addressing identified existing and emerging interoperable emergency communications challenges.

FY 2009 Policy, Planning, and Analysis Accomplishments:

- Developed foundational criteria to demonstrate the accomplishment of the National Emergency Communications Plan Goal 1. By the end of 2010 (90% of all high-risk urban areas are able to demonstrate response-level emergency communications¹ within one hour for routine events involving multiple jurisdictions and agencies).
- Hosted the first National Conference on Emergency Communications in April 2009 to bring together over 400 Federal, State, local, and tribal practitioners to discuss the current state of emergency communications, identify challenges, and collaborate on solutions.
- Assisted in the establishment of the Interoperable Emergency Communications Grant Program and developed grant guidance and program priorities in alignment with the National Emergency Communications Plan.
- Facilitated the following, through the Interoperable Emergency Communications Grant Program (IECGP): (1) an increase from 16 to 44 full-time Statewide Interoperability Coordinators (SWICs), who coordinate across disciplines, jurisdictions, and regions at the State level to achieve operable and interoperable

¹ Response-level Emergency Communication refers to the capacity of individuals with primary leadership responsibility to manage resources and make timely decisions during an incident involving multiple agencies, without technical or procedural communications impediments.

emergency communications; and (2) an increase from 2 to 19 Statewide Interoperability Governing Bodies (SIGBs).

- Furthered standardization of emergency communications requirements to improve interoperability by influencing \$2.4 billion dollars of grant programs with an emergency communications component through the development and issuance of the SAFECOM Recommended Guidance for Federal Grant Programs.

FY 2010 Policy, Planning, and Analysis Planned Accomplishments:

- Improve emergency communications response relationships and build upon accomplishments of FY2009 by reviewing local incident after action reports from the FY 2009 and FY 2010 Homeland Security Exercise and Evaluation Program to measure progress in achieving National Emergency Communications Plan Goal 1.
- Develop grant guidance, in collaboration with the Federal Emergency Management Agency, for the Interoperable Emergency Communications Grant Program and other Departmental grant programs for emergency communications, to ensure that grant selection criteria continues to reflect strategic objectives.
- Support all National Emergency Communications Plan goals through phone support, outreach, and data analysis and develop criteria for the proposed implementation process for Goal 3.
- Submit Biennial Progress Report to Congress on progress in implementing the National Emergency Communications Plan.
- Develop the SAFECOM Guidance for Federal Grant Programs, which provides consistent policy guidance on equipment, planning, and training standards.

FY 2011 Policy, Planning, and Analysis Planned Accomplishments:

- Complete a comprehensive assessment of Federal Emergency Communications capabilities for the next iteration of the National Communications Capabilities Report.
- Provide guidance to States and urban areas to help them achieve the targeted benchmarks under National Emergency Communications Plan Goal 1 by the end of 2010 (90% of all high-risk urban areas designated within the Urban Areas Security Initiative are able to demonstrate response-level emergency communications within one hour for routine events involving multiple jurisdictions and agencies).
- Provide guidance to States and urban areas to help them achieve the targeted benchmarks under National Emergency Communications Plan Goal 2 by 2011 (75% of non-Urban Areas Security Initiative jurisdictions are able to demonstrate response-level emergency communications in the event of a significant incident, as outlined in national planning scenarios, within three hours).
- Continue to develop grant guidance and review grant applications in collaboration with the Federal Emergency Management Agency for the Interoperable Emergency Communications Grant Program and other Departmental grant programs for emergency communications, to ensure that grants continue to support strategic objectives.
- Continue to facilitate a grant focus group within the Emergency Communications Preparedness Center for Federal Departments and Agencies with grant programs that

support emergency communications, in order to develop consistency and share best practices and lessons learned.

- Prepare Statewide Communication Interoperability Plan and Interoperable Emergency Communications Grant Program reports for Congress to demonstrate continual progress achieved by Federal grants and implementation of Statewide Communication Interoperability Plans.
- Develop criteria required to measure progress in achieving Goal 3 of the National Emergency Communications Plan by 2013 (75% of all jurisdictions are able to demonstrate response-level emergency communications in the event of a significant incident, as outlined in national planning scenarios, within three hours).
- Complete the National Communications Capabilities Report in mid 2011 with input from Federal, State, local, tribal, private sector, and non-governmental responders, leveraging existing studies by the Federal Communications Commission or other Federal entity.

Multi-Jurisdictional Communications Services

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	28	28	\$4,942	30	30	\$5,013	2	2	\$71
<i>Management & Administration</i>			\$2,138			\$2,926			\$788
<i>Coordination</i>			\$500			\$2,540			\$2,040
<i>Technical Assistance</i>			\$13,100			\$10,260			-\$2,840
<i>Demonstration Projects</i>			\$503			\$0			-\$503
<i>SEARCH</i>			\$1,000			\$0			-\$1,000
<i>AS CS&C</i>			\$0			\$185			\$185
Program Costs			\$17,241			\$15,911			-\$1,330
Total	28	28	\$22,183	30	30	\$20,924	2	2	-\$1,259

Multi-Jurisdictional Communications Services establishes and administers services delivered to advance State, local, tribal, and multi-jurisdictional interoperable emergency communications capabilities. Multi-Jurisdictional Communications Services focuses on providing the Office of Emergency Communications' technical assistance and stakeholder engagement efforts through the Interoperable Communications Technical Assistance Program and SAFECOM programs. Technical assistance provides direct support through the development and delivery of training, tools, and on-site assistance to Federal, State, and local agencies for the implementation of the National Emergency Communications Plan and the advancement of public safety interoperable emergency communications capabilities. Through the SAFECOM program, Office of Emergency Communications develops tools, best practices, and methodologies that emergency response agencies can use to enhance their interoperability efforts. The stakeholder engagement effort focuses on conducting outreach and consensus building activities with State, local, and tribal government officials and national practitioner organizations to exchange best practices and build consensus for common challenges.

Included under the MCS program funding request, is the plan to allocate \$0.185 million to support the Office of Assistant Secretary for Cyber Security and Communications. Please see the attached Budget Addendum for additional details.

FY 2009 Multi-Jurisdictional Communications Services Accomplishments:

- Provided requested technical assistance to States and territories to support the implementation of Statewide Communication Interoperability Plans and the alignment of Statewide Communication Interoperability Plans to the National Emergency Communications Plan. The Statewide Communication Interoperability Plans identify and verify initiatives that States are undertaking to advance interoperable emergency communications.
- Provided Statewide Communication Interoperability Plans Implementation Workshops to support 49 States and territories in establishing concrete milestones for advancing interoperable emergency communications and identify priorities for the Office of Emergency Communications technical assistance services.
- Established the Statewide Interoperability Coordinators Council and the Metropolitan Area Working Group, stakeholder bodies that serve as a mechanism for Office of Emergency Communications to receive and provide feedback on the implementation of the National Emergency Communications Plan and Statewide Communication Interoperability Plans objectives and initiatives and as a forum for member collaboration.
- Assisted with the development of the first nationally standardized Type III Communications Unit Leader training course. Managed and funded completion of 49 Communications Unit Leader training sessions, resulting in over 1,200 students trained in aggregate across the Nation.

FY 2010 Multi-Jurisdictional Communications Services Planned Accomplishments:

- Provide assistance to States and territories to support the implementation of Statewide Communication Interoperability Plans and the alignment of Statewide Communication Interoperability Plans to the National Emergency Communications Plan.
- Deploy Communications Unit Technician Training in order to ensure that in the event of a multi-discipline, multi-jurisdictional response event, on site response practitioners are trained to a similar baseline. The Communications Unit Technician is responsible for assisting with the technical activities of incident response.
- Convene meetings for the Statewide Interoperability Coordinator Council to share challenges and solutions and to support OEC's achievement of National Emergency Communications Plan performance goals.
- Conduct 60 site visits to observe and validate Goal 1 of the National Emergency Communications Plan.
- Conduct 40 Statewide Communication Interoperability Plan workshops.

FY 2011 Multi-Jurisdictional Communications Services Planned Accomplishments:

- Provide requested technical assistance to States and territories to support the implementation of Statewide Communication Interoperability Plans.

- Provide targeted assistance, develop guidance documents, and conduct workshops to support implementation of Statewide Communication Interoperability Plans and leverage stakeholder groups to support the States' and territories' demonstration of National Emergency Communications Plan Goal 2 (75 percent of non-Urban Areas Security Initiative jurisdictions are able to demonstrate response-level Emergency Communications within one hour for routine events involving multiple jurisdictions and agencies).
- Continue to build out previous efforts to enhance information sharing by convening meetings for the SAFECOM Executive Committee, SAFECOM Emergency Response Council, the Statewide Interoperability Coordinator Council, and Metropolitan Area Working Group to share challenges and solutions and support OEC's achievement of National Emergency Communications Plan Goals and Milestones.

Federal Communications Services

\$ thousands	FY 2010			FY 2011			Change		
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP
Salaries & Benefits	10	10	\$1,865	12	12	\$1,893	2	2	\$28
<i>Management & Administration</i>			\$1,160			\$1,160			\$0
<i>Coordination</i>			\$2,240			\$4,048			\$1,808
<i>Technical Assistance</i>			\$3,783			\$990			-\$2,793
<i>Demonstration Projects</i>			\$3,783			\$1,349			-\$2,434
<i>Policy</i>			\$0			\$0			\$0
Program Costs			\$10,966			\$7,547			-\$3,419
Total	10	10	\$12,831	12	12	\$9,440	2	2	-\$3,391

FCS leads the Office of Emergency Communications' (OEC's) efforts to coordinate and align Federal emergency communications programs and initiatives with National goals. Through the Emergency Communications Preparedness Center (ECPC), OEC is establishing a forum for Federal Departments and Agencies to share information and coordinate communications programs and to connect those efforts with State, local, tribal, and private sector efforts. The ECPC serves as the interagency focal point for coordinating efforts to avoid unnecessary duplication and hindrances to emergency communications among the participating Federal Departments and Agencies. FCS also leads efforts to demonstrate innovative solutions for improving cross-border interoperability through the development of the Cross Border Security Communications Network and the Border Interoperability Demonstration Project (BIDP). These collaborations help to improve interoperability, while maximizing the use of scarce funding resources by identifying sharing opportunities.

FY 2009 Federal Communications Services Accomplishments:

- Officially established the ECPC following final approval of the charter by member Departments and Agencies.
- Coordinated with DHS and the Departments of Justice and Treasury to determine the future of the Joint Wireless Program.

- Co-convened the first U.S.-Canada Cross Border Workshop in May 2009 to address key challenges to cross-border interoperability and develop action plans to address and resolve the issues, as appropriate.
- Coordinated with more than 50 agencies, at all levels of government, to develop the Integrated Interoperable Communications Plan for the 2010 Winter Olympic and Paralympic Games.
- Developed application process and selection criteria for awarding Border Interoperability Demonstration Project (BIDP) grants via completion of the BIDP Funding Opportunity Announcement.

FY 2010 Federal Communications Services Planned Accomplishments:

- Implement the Emergency Communications Preparedness Center (ECPC) Clearinghouse on DHS.gov. This activity will identify and potentially eliminate duplication of emergency communications efforts and provide users access to a document library and a centralized information source.
- Formally stand up the ECPC and convene the first ECPC Executive Committee and Steering Committee meetings.
- Convene, in coordination with Public Safety Canada, a Cross-Border Interoperability Workshop.
- Award grants for the BIDP in coordination with the DHS Management Directorate, monitor project implementation and conduct technical assistance.
- Implement Phase I of the U.S.-Mexico High Level Consultative Commission on Telecommunications Security Communications Task Group (HLCC SCTG) Action Plan. This phase includes completing system implementation and finalization of bi-national and domestic standard operating procedures.

FY 2011 Federal Communications Services Planned Accomplishments:

- Continue the implementation of the U.S.-Mexico HLCC SCTG Action Plan. Phase II includes completing system implementation of two additional sites and completion of Customs and Border Patrol Border Patrol Operations/Dispatch Center upgrades.
- Monitor BIDP implementation and conduct technical assistance, as appropriate. Begin collecting best practices and lessons learned from initial phase.
- Coordinate interdepartmental policy efforts through the ECPC.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Priority Telecommunications Services
Program Performance Justification**
(Dollars in Thousands)

PPA: Priority Telecommunications Services

	Perm. Pos	FTE	Amount
2009 Actuals	40	40	57,178
2010 Enacted	41	41	56,773
2011 Adjustments-to-Base	-	-	150
2011 Current Services	41	41	56,923
2011 Program Change	-	-	(640)
2011 Total Request	41	41	56,283
Total Change 2010 to 2011	-	-	(490)

In FY 2011, NPPD requests \$56.283 million for Priority Telecommunications Services, including 41 positions/FTE. This represents a decrease of \$0.490 million below the FY 2010 enacted budget of \$56.773 million. These funds support the operation of the Government Emergency Telecommunications System, the Wireless Priority Service, Special Routing Agreement Service, Industry-Government and Interagency Processes, and an internal realignment of base resources for the Assistant Secretary, Cyber Security and Communications.

The FY 2011 request includes adjustments-to-base for pay inflation of \$0.081 million and GSA Rent of \$0.069 million. A net program decrease of \$0.640 million is the result of increased program efficiencies. The FY 2011 includes an internal Priority Telecommunications Services realignment of \$1.552 million from Wireless Priority Services to the Industry-Government Interagency Processes (IGIP) project. This realignment of base resources allows for the accomplishment of Sector Specific Agency (SSA) communication responsibilities as assigned by Homeland Security Presidential Directive-7. The SSA activity requirement is executed by IGIP and will support efforts that identify and Manage Risk to Critical Infrastructure and Key Resources (CIKR); manage the National Infrastructure Protection Plan (NIPP) Partnership Framework and Coordinate Plan Implementation; and conduct CI/KR Training, Outreach and Awareness. Existing FTE positions will support this effort.

CURRENT SERVICES PROGRAM DESCRIPTION

\$ thousands	FY 2010			FY 2011			Change		
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP
PTS Salaries and Benefits	41	41	\$5,283	37	37	\$4,914	-4	-4	-\$369
A/S CS&C Salaries & Benefits	0	0	\$0	4	4	\$450	4	4	\$450
Total Salaries & Benefits	41	41	\$5,283	41	41	\$5,364	0	0	\$81
WPS			\$24,867			\$22,988			-\$1,879
GETS			\$19,708			\$19,148			-\$560
SRAS			\$2,267			\$2,237			-\$30
Industry, Government, & Interagency Processes			\$1,743			\$3,272			\$1,529
Facilities			\$2,905			\$2,974			\$69
AS CSC			\$0			\$300			\$300
Total Program Costs			\$51,490			\$50,919			-\$571
Total	41	41	\$56,773	41	41	\$56,283	0	0	-\$490

Priority Telecommunications Services

Priority Telecommunications Services offers solutions to acquire effective and survivable communications services by leveraging commercially-owned assets in the public switched networks, with industry investments in technology insertion and industry operating costs.

Priority Telecommunications Services ensure the availability of national security and emergency preparedness communications and help the Nation prevent, respond to, and recover from threatened and actual terrorist attacks, major disasters, and other emergencies. When conventional communications services are congested or degraded, Priority Telecommunications Services technologies will enable voice communications to support response and recovery coordination efforts for critical programs such as Continuity of Operations and Continuity of Government programs to ensure essential Government functions and operations are carried out.

During regional or national emergency situations when only degraded public networks exist, Priority Telecommunications Services significantly enhances call completion capabilities of first responders, national leadership, and other national security and emergency preparedness users by the following three PTS programs:

- *Government Emergency Telecommunications Service (GETS)*. A nationwide landline telephone service enabling priority communications for the President, Federal, State, and local governments, and industry organizations by providing priority voice calling via the existing public switched network;
- *Wireless Priority Service (WPS)*. A nationwide wireless telephone service providing end-to-end priority calls via selected commercial wireless carriers—which includes GETS interoperability to enhance the probability of call completion;
- *Special Routing Arrangement Service (SRAS)*. The SRAS is held in classified channels and supports special communication capabilities for unnamed selective users that require the highest level of non-traceable priority calls during times of severe public network congestion or when disruption may result from acts of war.

FY 2009 Priority Telecommunications Services Accomplishments

- Increased total Government Emergency Telecommunications Service cards to 229,838 and increased total Wireless Priority Service users to 97,998.
- Provided 90% of the Executive Departments and Agencies with Government Emergency Telecommunications Service and Wireless Priority Service at their headquarters and alternate operating facilities in support of Continuity of Operations and Continuity of Government requirements.
- Deployed interoperability specification in Verizon Wireless and Sprint Nextel networks to eliminate the ~20% network cellular Wireless Priority Service coverage gaps.
- Achieved 90% GETS call completion rate during emergency communications periods.
- Provided priority service to NS/EP personnel for use during time of crisis.

FY 2010 Priority Telecommunications Services Planned Accomplishments

- Readiness – Maintain nationwide coverage for Government Emergency Telecommunications Service while supporting increase to 252,822 users.
- Readiness – Maintain nationwide coverage for Wireless Priority Service while supporting increase to 103,891 users. This represents a 5,893 user increase over FY 2009.
- Performance - Achieve over 90% GETS call completion rate during emergency communications periods.
- Complete mobile switching center testing and deployment of the directed retry handover feature of the Wireless Priority Service. This feature automatically redirects Universal Mobile Telecommunications System (3rd generation wireless technology) subscribers (found in portions of the AT&T and T-Mobile networks) to carriers using Wireless Priority Service Global System for Mobile Communications (GSM) (2nd generation cellular technology). Both AT&T and T-Mobile utilize both of these wireless technologies in their network. Interoperability – Maintain GETS interoperability with selected Government communications services including the Defense Switched Network, Diplomatic Telecommunications Service, and GSA Federal Technology Service/Network.

FY 2011 Priority Telecommunications Services Planned Accomplishments

- Readiness – Maintain nationwide coverage for Government Emergency Telecommunications Service while supporting increase to 278,104 users.
- Readiness – Maintain nationwide coverage for Wireless Priority Service while supporting an increase to 108,231 national security and emergency preparedness users.
- Maintain SRAS operations supporting a special group of users (classified).
- Performance - Achieve over 90% GETS call completion rate during emergency communications periods.
- Interoperability – Maintain GETS interoperability with selected Government communications services including the Defense Switched Network, Diplomatic Telecommunications Service, and GSA's Federal Technology Service/Network.

Customer Service/ Industry-Government Interagency Processes (IGIP) Branch

The Customer Service/Industry-Government Interagency Processes Branch supports four main functions:

- Manages the President's National Security Telecommunications Advisory Committee (NSTAC) under Executive Order 12382;
- Supports the Committee of Principals (COP) under Executive Order 12472;
- Manages the Communication Sector under HSPD-7; and
- Serves as the Public Affairs coordinator for the National Communications System.

The Customer Service/IGIP Branch has extensive interface with government and private sector stakeholders. The IGIP Branch maintains relationships with key representatives from across the Communications Sector and other critical infrastructure sectors to ensure the communications infrastructure can be supported in the event of an emergency. Working across infrastructure sectors, IGIP helps ensure the communication sector has critical access, credentialing, fuel, and security when responding to attacks, accidents, and service impairment. If these services are not available, the ability to repair, recover, or reconstitute national communications networks are adversely impacted, increasing the duration and scope of a disruption.

As the Public Affairs coordinator, the Customer Service/ IGIP branch oversees coordinated strategic communications for the National Communications System. Additionally, the Branch provides extensive training on public-private sector relationship management and NCS strategies for national security emergency preparedness communications.

FY 2009 Customer Service/IGIP Accomplishments

- Provided support to the National Communications System (NCS) Committee of Principals (COP), including technical, logistical, executive, planning and managerial support in the identification, development, and analysis of current national security and emergency preparedness communications issues and recommended solutions. The COP is an interagency group designated by the President that provides advice and recommendations on NS/EP communications to the Executive Office of the President.
- Finalized National Communications System Committee of Principals' Communications Dependency on Electric Power Report and delivered to the Executive Office of the President.
- Maintained strong relations with the telecommunications industry and the National Communications System Committee of Principals to facilitate joint planning, operational activities, and coordination of assessments, information sharing, and restoration and recovery of the critical telecommunications infrastructure.
- Provided logistical and technical support to the National Communications System Committee of Principals working groups to address emerging continuity communications matters and minimum essential functions and processes under all circumstances, including crisis or emergency, attack, recovery, and reconstitution.

- Provided Secretariat Support for the National Security Telecommunications Advisory Committee, including quarterly National Security Telecommunications Advisory Committee Principal conference calls, the annual full-committee meeting, monthly Industry Executive Subcommittee meetings, task force, working group, and ad hoc meetings.
- Submitted National Security Telecommunications Advisory Committee membership analysis and recommendations for committee composition to the President.
- Managed the implementation of the Communications Sector Specific Plan and risk management framework, in response to Homeland Security Presidential Directive-7, and the National Infrastructure Protection Plan.
- Developed the 2009 Communications Critical Infrastructure and Key Resources (CI/KR) Sector Annual Report.
- Developed and reported quarterly Communications Sector Specific Plan implementation metrics to the DHS Office of Infrastructure Protection.
- In accordance with HSPD -7, performed ongoing reporting of Communications Critical Infrastructure and Key Resources (CI/KR) Tier 1, Tier 2 critical asset programs to identify and prioritize critical infrastructure and key resources within the Communications Sector. NCS CI/KR efforts help reduce risk to our Nation's most critical information technology and communication networks.
- Provided reports on sector plan implementation, as needed, against calls for data from DHS, and the Legislative and Executive Branches of the Federal Government.
- Provided ongoing critical infrastructure and key resources protection outreach and awareness for the Communications Sector stakeholders, customers, and owners and operators on sector protective programs, best practices and risk reduction capabilities.
- Coordinated and developed a response for the FCC Broadband Notice of Inquiry among the 24 Federal departments and agencies of the NCS.

FY 2010 Customer Service/IGIP Planned Accomplishments

- Provide support to the National Communications System Committee of Principals, including technical, logistical, executive, planning and managerial support in the identification, IPIS – 79 development, and analysis of current national security and emergency preparedness communications issues and recommended solutions.
- Represent National Communications System and DHS interests during Quarterly Committee of Principals meetings and the subordinate working groups.
- Maintain strong relations with the telecommunications industry and the National Communications System Committee of Principals to facilitate joint planning, operational activities, and coordination of assessments, information sharing, and restoration and recovery of the critical telecommunications infrastructure.
- Provide technical and logistical support to the National Communications System Committee of Principals working groups to address emerging continuity communications matters and minimum essential functions and processes under all circumstances, including crisis or emergency, attack, recovery, and reconstitution.
- Provide Secretariat Support for the National Security Telecommunications Advisory Committee, including quarterly National Security Telecommunications Advisory Committee Principal conference calls, the annual full-committee meeting, monthly

Industry Executive Subcommittee meetings, task force, working group, and ad hoc meetings.

- Submit National Security Telecommunications Advisory Committee membership analysis and recommendations for committee composition to the President.
- Collaborate with the National Infrastructure Advisory Council and other industry and governmental bodies involved in continuity communications, critical infrastructure protection and homeland security.
- Implement the Communications Sector Specific Plan and risk management framework, in response to Homeland Security Presidential Directive-7, and the National Infrastructure Protection Plan.
- Develop the cross sector risk assessments to define communications dependencies, corresponding risk mitigation activities, and recommended follow on activities such as research and development, capabilities' development, and protective programs.
- Publish 2010 triennial rewrite of the Communications Sector Specific Plan.
- Develop a 2010 Communications critical infrastructure and key resources Sector Annual Report.
- Develop and report quarterly Communications Sector Specific Plan implementation metrics to the DHS Office of Infrastructure Protection.
- In accordance with HSPD-7, report on Critical Infrastructure and Key Resources Tier 1 and Tier 2 critical asset program to identify and prioritize critical infrastructure and key resources within the Communications Sector.
- Provide critical infrastructure and key resources protection outreach and awareness for the Communications Sector stakeholders, customers, and owners and operators on sector protective programs, best practices and risk reduction capabilities.

FY 2011 Customer Service/IGIP Planned Accomplishments

- Ensure NCS Committee of Principals (COP) maintains its role as assigned in E.O. 12472 – Assignment of National Security and Emergency Preparedness (NS/EP) Functions.
- Develop priority list of Federal Government NS/EP emerging issues that the NCS COP could evaluate and provide guidance to senior leadership.
- Manage NCS COP processes, including technical, logistical, executive and planning requirements to support Federal Government communications policy recommendations.
- Represent the National Communications System and DHS interest during Quarterly Committee of Principals meetings, which are comprised of Assistant Secretary (or equivalent) level participants from 24 different Federal Departments and agencies.
- Provide necessary updates to Memorandum of Agreements with each of the 24 Federal members of the National Communications System as directed by National Communications System Directive 1-1.
- Manage the National Security Telecommunications Advisory Committee Federal Advisory Committee Act process. This includes the following activities: develop the work plan, conduct quarterly NSTAC Principal conference calls (CEO level), host the annual committee meeting, and hold monthly Industry Executive Subcommittee meetings. Additionally, IGIP will obtain or provide subject matter experts and

administrative support for task force, working group, and ad hoc meetings designed to address specific issues upon Federal Government Request (Primarily EOP and DHS).

- Submit National Security Telecommunications Advisory Committee membership analysis and recommendations for committee composition to the President annually.
- Collaborate with the National Infrastructure Advisory Council and other industry and governmental bodies involved in continuity communications, critical infrastructure protection, and homeland security.
- Review the cross sector risk assessments to identify communications dependencies, corresponding risk mitigation activities, and recommended follow-on activities such as research and development, capabilities development, and protective programs.
- Develop the 2011 Communications Critical Infrastructure and Key Resources (CI/KR) Annual Report.
- Develop and report quarterly Communications Sector Specific Plan implementation metrics to the DHS Office of Infrastructure Protection.
- Report on the Tier 1 and Tier 2 critical asset program to identify and prioritize CI/KR within the Communications Sector.
- Customer Service/IGIP manages the Government Coordination Council (GCC) which serves as a counterpart to the Sector Coordinating Council (SCC) for each CI/KR sector. The GCC provides effective coordination of CI/KR strategies and activities, policy, and communication across government and between the government and the sector to support the nation's homeland security mission.
- Provide critical infrastructure and key resources protection outreach and awareness with the CIP Branch for the Communications Sector stakeholders, customers, and owners and operators on sector protective programs, best practices and risk reduction capabilities.

Assistant Secretary, CS&C and NCS Plans and Programs Support

The PTS funding includes 4 staff for \$0.450 million and \$0.300 million of contract funding for the Assistant Secretary, CS&C, and NCS planning and programming support.

Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Next Generation Networks
Program Performance Justification
(Dollars in Thousands)

PPA: Next Generation Networks

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	43,200
2010 Enacted	-	-	25,000
2011 Current Services	-	-	25,000
2011 Program Change	-	-	(3,905)
2011 Total Request	-	-	21,095
Total Change 2010 to 2011	-	-	(3,905)

In FY 2011, National Protection and Programs Directorate requests \$21.095 million for Next Generation Network, a decrease of \$3.905 million from the FY2010 enacted budget of \$25.000 million.

Program changes include a decrease of \$3.576 million to Next Generation Network program funds for Title Globe and National Coordinating Center 24x7 Watch in the Critical Infrastructure Protection Program and a program decrease of \$0.329 million resulting from increased program efficiencies.

CURRENT SERVICES PROGRAM DESCRIPTION

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	0	0	\$0	0	0	\$0	0	0	\$0
Program Costs			\$25,000			\$21,095			-\$3,905
Total	0	0	\$25,000	0	0	\$21,095	0	0	-\$3,905

The National Communications System's Next Generation Network (NGN) Priority Services program was established to address the ramifications of the evolving technology being implemented by the communications industry. Next Generation Network Priority Services will continue to ensure the availability of national security and emergency preparedness voice communications to help the Nation prevent, respond to, and recover from threatened and actual terrorist attacks, major disasters, and other emergencies. The Next Generation Network Priority Services program is essential to replace the current Priority Telecommunications Services program as its circuit-based priority features and functions are phased out by evolution to Internet Protocol/packet-based networks. The

Next Generation Network Priority Services program will continue to leverage the highly survivable commercially-owned public switched network assets to provide the Government with a robust and diverse nationwide communications capability.

The Next Generation Network Priority Services program provides for the continuation of critical telecommunications supporting response and recovery coordination efforts and programs such as Continuity of Operations and Continuity of Government, to ensure that essential Government functions and operations are carried out.

FY 2009 Next Generation Network Accomplishments

- Developed Next Generation Network priority core Voice over Internet Protocol Industry Requirements; completed development of Industry Requirements core document for NGN priority voice services and continued development of Access Industry requirements.
- Developed standards in support of Next Generation Network priority Voice over Internet Protocol.
- Designed and developed Next Generation Network priority features in a vendor's nationwide wireline network equipment.
- Developed and implemented performance metrics, monitoring plan, and network design demonstration of priority wireline network equipment features.
- Initiated work with industry to develop and implement Next Generation Network security measures, including survivability enhancements and user identification management and authentication. Deployed packet priority enhancements in AT&T's full operating capability Internet Protocol Common Backbone network.
- Initiated planning, architecture and implementation of Next Generation Network priority capabilities in two additional wireline service provider networks in support of the Initial Operating Capability milestone. Developed and demonstrated Next Generation Network priority core Voice over Internet Protocol prototype, identifying and implementing modeling and prototyping not addressed by carriers.
- Developed and implemented the NGN FY 2009 Expenditure Plan to help achieve Phase 1 core and voice milestones.

FY 2010 Next Generation Network Planned Accomplishments

- Develop Next Generation Network Standards in support of priority Voice over Internet Protocol.
- Complete Industry Requirements Access document for Next Generation Network priority voice services.
- Develop and attain approved Concept of Operations and Operational Requirements Document for Next Generation Network Video and Data services to support the NS/EP community.
- Develop Next Generation Network priority features in nationwide wireline network equipment.
- Complete planning, testing and implementation of Next Generation Network priority enhancements in a National Wireline Network to reach Limited Capability (Phase I).
- Draft Industry Requirements Core Broadband document for Next Generation Network priority services Inter-carrier, security and broadband services.

- Provide priority core Voice over Internet Protocol communications capability with at least one national carrier's core networks (1/3 completion).
- Prepare and submit a Request for Information (RFI) to industry to gather data to assist the NGN program office for technology planning purposes.

FY 2011 Next Generation Network Planned Accomplishments

- Conduct network design demonstrations of priority wireline network equipment features including performance metrics and monitoring plan.
- Conduct planning, architecture and implementation of Next Generation Network priority capabilities in two additional wireline service provider networks in support of the Initial Operating Capability milestone.
- Conduct planning and design of Next Generation Network Voice over Internet Protocol wireless prototype.
- Conduct planning and architecture of priority Next Generation Network Voice over Internet Protocol features in nationwide wireless carriers.
- Continue Next Generation Network engineering assessments and demonstrations of Next Generation Network priority data and video services.
- Work with industry to develop and implement Next Generation Network security measures, including survivability enhancements, national security threat mitigation, and user identification management and authentication.
- Provide priority core Voice over Internet Protocol communications capability with at least one national carrier's core networks.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Programs to Study & Enhance Telecommunications
Program Performance Justification**
(Dollars in Thousands)

PPA: Programs to Study & Enhance Telecommunications

	Perm. Pos	FTE	Amount
2009 Actuals	25	18	11,877
2010 Enacted	28	28	16,774
2011 Adjustments-to-Base	-	-	55
2011 Current Services	28	28	16,829
2011 Program Change	-	-	(172)
2011 Total Request	28	28	16,657
Total Change 2010 to 2011	-	-	(117)

In FY 2011, NPPD requests \$16.657 million for the Programs to Study and Enhance Telecommunications, including 28 positions/FTE. This represents a decrease of \$0.117 million from the FY 2010 enacted budget of \$16.774 million. These funds support modeling, simulation, technology assessments, National Security and Emergency Preparedness standards, and vulnerability assessments on advanced technologies and converged networks. The FY 2011 request includes adjustments-to-base for pay inflation of \$0.055 million. A net program decrease of \$0.172 million is the result of increased program efficiencies.

CURRENT SERVICES PROGRAM DESCRIPTION

<i>\$ thousands</i>	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	28	28	\$3,727	28	28	\$3,782	0	0	\$55
<i>Modeling, Analysis & Tech.</i>			\$7,356			\$7,259			-\$97
<i>NS/EP Standards</i>			\$2,107			\$2,079			-\$28
<i>CNS / Advanced Technology</i>			\$2,152			\$2,124			-\$28
<i>Classified Program</i>			\$1,432			\$1,413			-\$19
Program Costs			\$13,047			\$12,875			-\$172
Total	28	28	\$16,774	28	28	\$16,657	0	0	-\$117

Modeling, Analysis and Technology Assessment

Modeling, Analysis and Technology Assessment develops models and conducts technical studies and analyses of public communications infrastructures to identify approaches to fulfill national security and emergency preparedness communications objectives and

support priority service and the National Cyber Security Division's (NCS) Comprehensive National Cyber Initiative (CNCI) programs. The extensive dataset and software-based commercial and government off the shelf analytic tools analyzes natural and man-made disruptions on communications infrastructure, conducts vendor independent analyses, and identifies network effectiveness solutions. Modeling, Analysis and Technology Assessment also conducts communications technology assessments, such as those required by the Committee on Foreign Investment in the United States (CFIUS) in support of the DHS Office of Policy, and technology studies that help quantify the dependence of critical government networks on Internet service provider infrastructure.

FY 2009 Modeling, Analysis and Technology Assessment Accomplishments

- Developed and deployed version 3.3 of the Infrastructure Mapping Tool to improve the Emergency Support Function #2 operations which will integrate the Federal Communications Commission's Disaster Information Reporting System and include an enhanced weather mapping function.
- Developed an enhanced Internet Analysis Capability to improve Emergency Support Function #2 and United States Computer Emergency Readiness Team operations.
- Supported the National Cyber Security Division's activities under the Trusted Internet Connection initiative.
- Modeled and analyzed the effectiveness of solutions offered by the Next Generation Networks Access Industry Requirements working group for achieving survivable national security and emergency preparedness services.
- Study and report on the role of Digital Integrated Services Network Real Time Services, call admission control, and Internet Protocol Multimedia Subsystem models within next-generation architectures.
- Enhanced the Network Discovery Tool with additional software features and improved visualization capabilities.
- Provided subject matter expertise in assessing the technical aspects of Federal Communications Commission applications (e.g., the type of telecommunications infrastructure at issue, and the potential effects of changes to that infrastructure) during the review of Team Telecom and Committee on Foreign Investments in the U.S. (CFIUS) cases by DHS Office of Policy.
- Analyzed physical infrastructure diversity, or "last-mile" connectivity, for National Communications System member agencies to ensure primary mission essential functions are preserved.
- Study the dependence of two other critical infrastructure sectors on the telecommunications sector to determine communications resiliency.
- Developed proprietary network carrier models to evaluate survivability and performance of national security and emergency preparedness communications under damage scenarios.
- Improved NCS modeling and analysis capabilities through incorporation of Department of Defense analysis tools and datasets.
- Partnered with a major carrier to test the effectiveness of inter-network solutions for providing end-to-end national security and emergency preparedness services within next-generation voice architectures.

FY 2010 Modeling, Analysis and Technology Assessment Planned Accomplishments

- Develop and deploy version 3.4 of the Infrastructure Mapping Tool to continue improving Emergency Support Function #2 operations which will integrate a web-enabled platform and contain enhanced security levels.
- Enhance the Internet Analysis Capability to further improve Emergency Support Function #2 and United States Computer Emergency Readiness Team operations during natural and man-made disasters by providing capabilities for near real-time alerting and the incorporation of National Communications System datasets.
- Support the National Cyber Security Division's activities under the Trusted Internet Connection (TIC) initiative.
- Model and analyze the effectiveness of solutions offered by the Next Generation Networks (NGN) Access Industry Requirements working group for achieving survivable national security and emergency preparedness services.
- Enhance the Network Discovery Tool with additional software features based on requirements from the Trusted Internet Connection program.
- Perform cyber and communications modeling and analysis in support of emerging threats and requirements.
- Provide subject matter expertise in assessing the technical aspects of Federal Communications Commission applications (e.g., the type of telecommunications infrastructure at issue, and the potential effects of changes to that infrastructure) during the review of Team Telecom cases by DHS Office of Policy.
- Analyze physical infrastructure diversity, or "last-mile" connectivity, for five National Communications System member agencies to ensure primary mission essential functions are preserved.
- Study the dependence of three other critical infrastructure sectors on the telecommunications sector.
- Develop proprietary network carrier models to evaluate survivability and performance of national security and emergency preparedness communications under damage scenarios.

FY 2011 Modeling, Analysis and Technology Assessment Planned Accomplishments

- Develop and deploy version 3.5 of the Infrastructure Mapping Tool to continue improving Emergency Support Function #2 operations which will integrate other agency government-funded tools and data sets.
- Enhance the Internet Analysis Capability to further improve Emergency Support Function #2 and United States Computer Emergency Readiness Team operations during natural and man-made disasters by providing capabilities for historical trending and scenario generation.
- Support the National Cyber Security Division's activities under the Trusted Internet connection initiative.
- Model and analyze the effectiveness of solutions offered by the Next Generation Networks Access Industry Requirements working group for achieving survivable national security and emergency preparedness services.
- Enhance the Networx Pricer Infrastructure Module with additional software features based on agency feedback.

- Enhance ScoutVision capabilities by providing increased cyber situational awareness and incorporating NCS datasets.
- Perform cyber and communications modeling and analysis in support of emerging threats and requirements.
- Provide subject matter expertise in assessing the technical aspects of Federal communications commission applications (e.g., the type of telecommunications infrastructure at issue, and the potential effects of changes to that infrastructure) during the review of Team Telecom and Committee on Foreign Investment in the United States (CFIUS) cases by DHS office of Policy.
- Analyze physical infrastructure diversity, or “last-mile” connectivity, for 21 federal agencies to ensure primary mission essential functions are preserved.
- Study the dependence of other critical infrastructure sectors on the telecommunications sector.
- Continue development of proprietary network carrier models to evaluate survivability and performance of national security and emergency preparedness communications under damage scenarios.
- Implement methodology to test the effectiveness of inter-networking solutions within next-generation architecture providing end-to-end national security and emergency preparedness services.

National Security and Emergency Preparedness Standards Team

The Standards Team works with national and international industry standards organizations to ensure that evolving communications standards address the technical requirements of national security emergency preparedness communications. The Standards Team implements Presidential Executive Order 12472 mandates which direct the Office of the Manager National Communications System to survey the development of evolving industry consensus standards with respect to national security emergency preparedness communications mission. The Standards Team adheres to the policy put forth in OMB Circular A-119; “*Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities*” that: “directs agencies to use voluntary consensus standards in lieu of government-unique standards except where inconsistent with law or otherwise impractical.”

Traditional national security and emergency preparedness telecommunications services were designed around the legacy circuit-switched infrastructure of the public switched telephone network. Public networks are now merging with Internet Protocol (IP) packet-switched infrastructures and converging into Next Generation Networks. As this evolution continues to mature, national security and emergency preparedness telecommunications services will be guided by commercial standards and technologies based on packet-switching Internet Protocol based networks. Wireless public networks have also become increasingly vital during national security and emergency preparedness events. The Standards Team focuses on these changes by working proactively with industry in standards development organizations. The national security and emergency preparedness standards efforts involve a two-pronged approach. The first standards effort is to establish national security and emergency preparedness service requirements within the standards

bodies, and the second is to work to develop standards-based technical capabilities to support National Communications System programs and missions.

The Standards Team also provides direct support to the U.S. Department of State by Chairing the International Telecommunications Advisory Committee Telecommunications Sector Study Group 'B'. Team members serve as senior Government advisors and leaders to a variety of international meetings on communications. When requested, the Standards Team takes specific requirements from North Atlantic Treaty Organization and other member organizations and introduces them into the international standards process. In addition, the Standards Team members actively participate in the work of the following industry groups:

- Alliance for Telecommunications Industry Solutions
- Telecommunications Industry Association
- International Telecommunication Union
- Internet Engineering Task Force
- TeleManagement Forum
- Third Generation Partnership Project
- Third Generation Partnership Project 2
- Multi-Service Switching Forum
- Institute of Electrical and Electronics Engineers

The Government Emergency Telecommunications Service (GETS), Wireless Priority Service (WPS), Special Routing Arrangement Service (SRAS) and the Telecommunications Service Priority (TSP) are national security and emergency preparedness services based on national and international standards implemented in the public circuit switched network. Service providers are transitioning their network infrastructure to an Internet Protocol based infrastructure which means that the national security emergency preparedness services will also transition. In order for these services to transition and offer, at a minimum, the same level of capabilities available in today's circuit switched network it is necessary to make modifications to Internet Protocol specifications, as well as national and international standards.

FY 2009 Standards Team Accomplishments

- Worked with Internet Engineering Task Force to develop standards framework for priority communications during network congestion.
- Incorporated the Resource Priority Header field into Internet Engineering Task Force standards.
- Submitted plan to Internet Engineering Task Force on how preferential treatment can be signaled or conveyed to prioritize flows, and exempt them from degraded service during periods of wide-scale congestion.
- Developed baseline Next Generation Networks security and signaling requirements in the Alliance for Telecommunications Industry Solutions technical reports and standards.

- Worked with TeleManagement Forum experts on the development of Service Level Agreement application note(s) to aid national security and emergency communications users in acquiring services in a multi-vendor environment.
- Created Emergency Telecommunications Service Internet Protocol Multimedia Subsystem requirements in Third Generation Partnership Project and Third Generation Partnership Project 2.
- Developed and subsequently presented an OMNCS contribution dealing with Security and Signaling technical requirements within the Next Generation Network to International Telecommunication Union – Telecommunication Sector Study Group 13.
- Actively engaged industry experts to ensure that Emergency Telecommunication Service requirements are included in developing wireless technical standards.

FY 2010 Standards Team Planned Accomplishments

- Define network management security and the associated security management system functional requirements to contribute to International Telecommunication Union-Telecommunication Sector.
- Approve Next Generation Networks Requirements to contribute to International Telecommunication Union-Telecommunication Sector.
- Develop transport requirements for Emergency Telecommunications Service core Internet Protocol Multimedia Subsystem.
- Develop security contributions for Emergency Telecommunications Service Next Generation Networks and Cyber.
- Work with Alliance for Telecommunications Industry Solutions experts on the development of baseline Emergency Telecommunications Service Next Generation Networks security and signaling technical reports and standards.
- Contribute to TeleManagement Forum guidebook on national security and emergency preparedness management applications in Next Generation Networks.
- Develop Security and Signaling technical Requirements and Specifications for Priority Services.
- Work with voluntary consensus standards organizations on evolving Next Generation Networks related standards; this work will be based on the standards gap analysis completed through the Access Internet Protocol Multimedia Subsystem Industry Requirements process.
- Work with Internet Engineering Task Force to develop standards for priority communications in packet based during network congestion.

FY 2011 Standards Team Planned Accomplishments

- Actively participate in and make written contributions to the International Telecommunication Union – Telecommunication Sector work on management plane security and the associated security management system functional requirements.
- Actively participate in and make written contributions containing the Next Generation Networks Access Industry Requirements to the Alliance for Telecommunications Industry Solutions and the International Telecommunication Union-Telecommunication Sector.

- Write contributions on transport requirements for Emergency Telecommunications Service core Internet Protocol Multimedia Subsystem and present to appropriate standards organizations.
- Collaborate with Alliance for Telecommunications Industry Solutions experts on the development of baseline Emergency Telecommunications Service Next Generation Networks security and signaling technical reports and standards.
- Complete work on the TeleManagement Forum guidebook on national security and emergency preparedness management applications in Next Generation Networks.
- Actively participate in and submit contributions to standards organizations dealing with the evolving Next Generation Networks based on additional requirements developed through the Access Internet Protocol Multimedia Subsystem Industry Requirements process.
- Contribute to various Internet Engineering Task Force working groups to ensure that the evolving next generation standards support priority communications in packet based networks.

Advanced Technologies/Converged Networks

Advanced Technologies/Converged Networks provides a vulnerability assessment of new technologies to Telecommunications and their impact on the infrastructure.

Advanced Technologies/Converged Networks work also includes identification and assessment of the vulnerabilities of satellite communications systems, coordination with commercial vendors in conducting studies on physical vulnerabilities, development of plans to mitigate interference, leadership and coordination efforts across DHS to ensure that satellite capabilities required to prevent, protect, respond to and recover from acts of terrorism, natural disasters, and other emergencies are available when needed.

FY 2009 Advanced Technologies/Converged Networks Accomplishments

- Issued National Communications System Handbook 3-10-1 – “Guidance for Improving Route Diversity within Local Access Networks” in February 2009.
- Issued National Communications System Change Notice – “Updates to National Communications System Manual 3-10-1, Guidance for Implementing National Communications System Directive 3-10” in February 2009.
- Recommended follow on updates to the National Communications System Directive 3-10, “Minimum Requirements for Continuity Communications Capabilities” to the Office of Science and Technology Policy in April 2009.

FY 2010 Advanced Technologies/Converged Networks Planned Accomplishments

- Issue revisions to National Communications System Manual 3-10-1 – “Guidance for Implementing National Communications System Directive 3-10”, based upon Office of Science and Technology Policy approval of recommended updates.
- Modify data collection tools to support the data surveys of Federal Executive Branch department and agencies of their “As-Is” continuity communications architecture deployed capabilities.
- Work to develop a Continuity Communications Architecture (CCA) to ensure, under all conditions, Category I federal executive branch agency communications.

Development of the architecture will require identifying existing continuity communication capabilities, shortfalls or gaps, and development of technical requirements to improve the overall continuity communications posture. Implementation will ensure agencies can execute primary mission essential functions in support of the eight national essential functions.

FY 2011 Advanced Technologies/Converged Networks Planned Accomplishments

- Provide annual revisions to the National Communications System Manual 3-1-1 – “Guidance for Implementing National Communications System Directive 3-1”, based upon Office of Science and Technology Policy approval of recommended updates.
- Update and refine the continuity communications architecture (CCA) to incorporate select Category II agencies.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Critical Infrastructure Protection
Program Performance Justification**
(Dollars in Thousands)

PPA: Critical Infrastructure Protection

	Perm. Pos	FTE	Amount
2009 Actuals	29	23	8,116
2010 Enacted	29	29	11,352
2011 Adjustments-to-Base	-	-	57
2011 Current Services	29	29	11,409
2011 Program Change	-	-	3,475
2011 Total Request	29	29	14,884
Total Change 2010 to 2011	-	-	3,532

In FY 2011, NPPD requests \$14.884 million for the Critical Infrastructure Protection programs, including 29 positions/ FTE. This represents an increase of \$3.532 million over the FY 2010 enacted budget of \$11.352 million. These funds support National Coordinating Center; Critical Infrastructure Protection operations, planning, policy; training and exercises; Network Security Information Exchange, and the Telecommunications Service Priority program.

The FY 2011 request includes adjustments-to-base pay inflation of \$0.057 million. Program changes include an increase of \$2.231 million for the National Coordinating Center 24x7 Watch, an increase of \$1.345 million for Title Globe, and a decrease of \$0.101 million resulting from program efficiencies.

CURRENT SERVICES PROGRAM DESCRIPTION

<i>\$ thousands</i>	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	29	29	\$3,697	29	29	\$3,754	0	0	\$57
<i>NCC Operations</i>			\$4,536			\$6,707			\$2,171
<i>CIP Operations, Plans & Policy</i>			\$1,346			\$2,673			\$1,327
<i>Training & Exercises</i>			\$691			\$682			-\$9
<i>NSIE</i>			\$392			\$387			-\$5
<i>TSP</i>			\$690			\$681			-\$9
<i>Contingency Planning</i>			\$0			\$0			\$0
Program Costs			\$7,655			\$11,130			\$3,475
Total	29	29	\$11,352	29	29	\$14,884	0	0	\$3,532

The Critical Infrastructure Protection Programs ensure the continued availability of national security and emergency preparedness telecommunications services under all circumstances, including crisis or emergency, attack, recovery, and reconstitution.

Critical Infrastructure Protection initiatives include:

- Operation and maintenance of the National Coordinating Center for Communications;
- Telecommunication analyses in support of disaster response exercises, planning, and operations;
- National continuity communications testing, compliance reporting, and scenario-based operations assessments;
- Continuity planning and operational support;
- Training and exercise of communications emergency response personnel;
- Production and maintenance of operational procedures, policies and support tools;
- Management of a structured forum for Government and telecommunication industry collaboration on national security and emergency preparedness telecommunications policies, procedures and issues; and
- Management of the system that provides for the restoration and provisioning of telecommunications circuits that support national security and emergency preparedness.

The Critical Infrastructure Protection Program includes the following Activities: *National Coordinating Center Operations; Critical Infrastructure Protection Operations, Plans, and Policy; Training and Exercises; Network Security Information Exchanges; and Telecommunications Service Priority.*

National Coordinating Center (NCC)

The National Coordinating Center (NCC) Operations is a joint industry-government body that provides a mechanism to respond to national security and emergency preparedness telecommunications incidents. The mission of the NCC is to assist in the initiation, coordination, restoration, and reconstitution of national security and emergency preparedness telecommunications services or facilities under all conditions, crises, or emergencies. Government membership includes 24 Federal departments and agencies with significant national emergency responsibilities or critical telecommunications requirements. The Communications Information Sharing and Analysis Center (ISAC) is made up of industry members representing the country's wireline and wireless service providers, equipment vendors, internet service providers, satellite industry, and cable industry. The strength of the NCC lies in the trusted relationship between government and industry. This relationship is critical to the NCC in its role as the primary mechanism within the National Communications System for executing Emergency Support Function #2 – Communications under the National Response Framework during an incident.

The NCC is governed by Executive Order 12472, which establishes a joint industry-government National Coordinating Center; Homeland Security Presidential Directive-5, which directs the NCC to provide support to the National Response Framework; and Section 706 of the Communications Act of 1934, which governs NCC engagement in

Continuity of Operations and Continuity of Government activities. The NCC Operations is comprised of three sub-activities:

NCC Watch This sub-activity serves as the operational core of the National Communications System. Co-located with the United States Computer Emergency Readiness Team (US-CERT), the NCC Watch provides 24x7 situational awareness over the health of the telecommunications infrastructure and facilitates the initiation, coordination, restoration and reconstitution of national security and emergency preparedness telecommunications services or facilities during emergency events. Senior level information assurance analysts located on site in the NCC are closely integrated with the Government National Coordinating Center operations staff and resident and non-resident Industry representatives from the NCC's member companies. The NCC Watch enhances physical and cyber security of the Nation's critical communications infrastructures by facilitating cooperation, providing real-time situational awareness, enhancing information sharing, and maintaining system-to-system interaction among critical infrastructures and between the Government and the private sector. On a daily basis, the NCC Watch provides:

- Monitoring and situational awareness of essential communications facilities through exchanges with network owners and operators, open source reporting, and the Federal, State, local, and tribal partners;
- Consultation with private industry to exchange status information and develop coordinated action plans; and
- Assessing threats and vulnerabilities to national security and emergency preparedness communications needs of the Federal Government.

NCC Programmatic Support

Provides planning and preparedness activities in support of national security and emergency preparedness. This includes internally focused activities for designing, developing, and implementing plans and operating procedures and addressing policy development and implementation. External activities focus on relationship building, information sharing, and operational planning and execution under the joint government/industry Communications Information Sharing and Analysis Center and Government partners of National Communications System.

High Frequency Radio Program

Provides technical, administrative, operational, and readiness support to four emergency High Frequency radio operational activities: SHARED RESOURCES High Frequency Radio Program, NCC High Frequency Radio Program, the NCS Regional Managers High Frequency Radio Program, and the NCS Auxiliary High Frequency Radio Program. These programs support a nationwide radio network of approximately 1,400 high frequency radio stations contributed by 100 Federal, State and industry organizations to form a nationwide emergency message-handling network. SHARED RESOURCES has made a notable contribution to national security and emergency preparedness support in over 42 emergencies since it was formally established in 1989 and serves as a backup high frequency communications vehicle linking key Federal entities with the major

telecommunications infrastructure service providers. It was vital for ensuring communications during Hurricane Katrina between isolated emergency operations centers. The NCS High Frequency Radio Program supports the NCS mission of executing Emergency Support Function #2 under the National Response Framework and is essential in supporting the NCC mission.

Critical Infrastructure Protection Operations, Plans, and Policy

Continuity of Operations.

The goal of Continuity of Operations is to improve the overall readiness, operations and execution of mission essential functions, including Enduring Constitutional Government, and Continuity of Government operations. It also establishes the framework to ensure all National Communications System staff members are trained to work continuity operations during an all-hazards event or incident. Homeland Security Presidential Directive-20 and the National Continuity Directive - 1 requires all Executive Branch departments and agencies to have plans in place to continue their mission essential functions at alternate facilities if their primary facilities become uninhabitable for an extended period.

The Continuity of Operations Plan provides guidance for the organization, its leaders, and all assigned staff, should NCS be directed to deploy during a Continuity of Operations event. The Continuity of Operations Plan identifies the mission essential functions of each NCS Branch, the order of succession for leadership, Emergency Relocation Group members and Advance Relocation Team members, mission critical systems, vital records and databases, and required communications for the Relocation Facility.

Operations Analysis

The Operations Analysis (OA) Team provides telecommunication analyses in support of disaster response related exercises, planning, and operations and assessments of national continuity communications through monthly testing, quarterly compliance reporting, and scenario-based mission-focused operations analyses.

During significant disasters or crises, the Operations Analysis activity leads the multi-agency Analysis Response Team (ART) in support of the NCC Manager. In this capacity, the Operations Analysis Team provides rapid assessments of potential impacts and/or actual damage or disruptions of critical telecommunications infrastructures. This activity supports all phases of Emergency Support Function #2 operations – from planning and preparedness, to full recovery of the telecommunications infrastructure.

The Operations Analysis Team works within the telecommunications analysis community to support the development, documentation, implementation and maintenance of policies, procedures, tools, databases, capabilities, and baseline analyses to enable comprehensive, accurate, and rapid assessments of the communications infrastructure. For example, this activity is developing a series of in-depth regional and metro characterization baselines of the communications infrastructure in high-risk areas (e.g. Washington D.C., Philadelphia, and along the hurricane prone coastal areas.).These

characterizations are used for planning, exercises, and during actual crises or disaster operations to significantly reduce the time required to assess potential or actual telecommunications infrastructure issues.

This activity also supports the requirements in Homeland Security Presidential Directive-20 to “conduct quarterly and annual assessments of continuity communications capabilities.” To accomplish this, the Operations Analysis Team conducts the monthly Title Globe program continuity testing of departments and agencies specified by the Office of Science and Technology Policy (OSTP). In addition, the Operations Analysis Team conducts quarterly and annual assessments of National Communications System Directive 3-10, *Minimum Requirements for Continuity Communications Capabilities*, compliance on behalf of OSTP.

Training and Exercise Program

The Training and Exercise Program ensures that the National Communications System has a cadre of emergency response personnel prepared to respond across the spectrum of crises and emergencies. These personnel are organized in accordance with the Emergency Support Function #2 Annex of the National Response Framework and are tasked to coordinate the restoration and provisioning of national security and emergency preparedness communications during an incident or disaster. In response to the recommendations of the *Hurricane Katrina After Action Report*, the NCS is enhancing its readiness for emergency response operations with an increased tempo of training and exercises for personnel who have Emergency Support Function #2 collateral duties. The NCS participates in exercises involving scenarios as varied as continuity of operations, continuity of government, natural disasters, weapons of mass destruction, critical infrastructure protection, and cyber intrusion. The training program will combine distance learning instruction with a periodic conference to provide interaction among the team members.

Network Security Information Exchanges

The Network Security Information Exchanges (NSIE) activity provides technical and administrative support to both the National Security Telecommunications Advisory Committee (NSTAC) and Government Network Security Information Exchanges (NSIE). The NSIE consists of two bodies: the Government Network Security Information Exchange which represents Federal agencies that have research, standards, regulatory, law enforcement, or intelligence functions related to the public network, or are major telecommunications users, and the President’s NSTAC NSIE which includes representatives from telecommunications service providers, equipment vendors, systems integrators, and major users. Participants on this international forum include representatives from the Canadian and United Kingdom government and telecommunications industry involved in the United Kingdom and Canadian Network Security Information Exchanges. The NSIE forum provides a trusted environment in which industry and Government representatives exchange information on threats to and vulnerabilities of the public network. These bodies meet jointly on a bimonthly basis to

address major technical and operational issues affecting the security of the public network, such as unauthorized penetration or manipulation of the public network software, databases, and other infrastructures supporting national security and emergency preparedness telecommunications services. The NSIE forums are designed to exchange ideas on technologies and techniques for addressing and mitigating the risks to the public network and its supporting infrastructures.

Telecommunications Service Priority Program

The Telecommunications Service Priority (TSP) program was established by a Federal Communications Commission Report and Order 88-341 in 1988. TSP is the regulatory, administrative, and operational system authorizing and providing for priority treatment of national security and emergency preparedness telecommunications services. The TSP program provides national security and emergency preparedness users with priority restoration and provisioning of telecommunications services that are vital to maintaining readiness or response to an incident. As a result of hurricanes, floods, earthquakes, and other natural or man-made incidents, telecommunications service vendors may become overwhelmed with requests for new telecommunications services and requirements to restore existing telecommunications services. The TSP Program provides service vendors with a Federal Communications Commission mandate for prioritizing service requests by identifying those services critical to national security and emergency preparedness. A telecommunications service with a TSP assignment is assured of receiving full attention by the service vendor before a non-Telecommunications Service Priority service. The TSP Program has two component priorities which include restoration and provisioning. A restoration priority is applied to telecommunications services to ensure restoration before any other services. A provisioning priority is obtained to facilitate priority installation of new telecommunications services.

FY 2009 Critical Infrastructure Protection Accomplishments

- Updated and maintained the NCS portion of the integrated NCS/NCSD Continuity of Operations Plan.
- Updated Continuity of Operations and Continuity of Government Communication plans, policies and procedures, as required.
- Updated emergency response plans, policies and procedures to reflect After Action/Lessons Learned reports from previous events.
- Conducted and documented in-depth telecommunications characterization baselines of hurricane prone coastal areas throughout the United States and other high interest areas in order to support disaster response operations, planning, and exercises related to critical communications infrastructures.
- Produced an initial assessment of the effect of several high-impact threat scenarios on the ability of the NCS to continue supporting mission essential functions.
- Produced an assessment of the potential communications impacts resulting from a nuclear burst at the U.S. Capitol Visitors Center in response to Office of Science and Technology Policy tasking.
- Provided Telecommunications Infrastructure Analysis to support planning for the 2009 Presidential Inauguration.

- Provided a set of Regional Characterizations of the Telecommunications Infrastructure to the Joint Telecommunications Resources Board.
- Provided the Joint Field Office and the NCC Manager reports on the projected telecommunications impacts and restoration status for Hurricane Ike.
- Developed plans, policies and procedures to support Emergency Support Function #2 operations with regard to the 15 National Planning Scenarios and other high interest scenarios.
- Coordinated interagency participation to conduct Emergency Support Function #2 operations in the annual National Level Exercises, and supported Emergency Support Function #2 participation in regional exercises.
- Supported Regional Communications Coordinator participation in earthquake preparedness planning and exercises associated with the Wasatch Fault in Utah.
- Planned and conducted an annual Emergency Support Function #2 Training Conference.
- Planned and implemented a comprehensive demonstration and validation of each Federal Agency's critical communications assets during the 2009 continuity of operations exercise, Exercise EAGLE HORIZON-09. The demonstration promoted operator awareness of the communications procedures and the equipment that is mandated for use by NCS Directive 3-10.
- Participated in regional emergency management workshops to plan and coordinate Emergency Support Function (ESF) #2 actions in response to an earthquake in the New Madrid Seismic Zone; a natural disaster in the Southeast US; and the health and societal limitations resulting from an influenza pandemic. The workshops highlighted the resources and capabilities that are available within the federal and state governments, and revealed the expectations for fulfilling shortfalls.
- Sponsored the 2009 ESF #2 Winter Training Conference, which provided a forum for the members of the interagency ESF #2 Emergency Communications Team to discuss lessons learned and best practices from the 2008 hurricane season, as well as, receive training on procedures that support ESF #2 operations.
- Conducted nine distance learning teleconferences and 'webinars' for the members of the ESF #2 Emergency Communications Team. The training sessions enabled discussion of the new team Job Aids, and provided instruction on special-interest subjects that apply to ESF #2 operations.
- Led communications readiness efforts and outreach to Government and Industry partners in preparation for the communications infrastructure due to the mass gathering of transient users attending the 56th Inauguration activities in the mid-Atlantic region.
- Planned, coordinated and directed Office of the Manager, NCS participation in headquarters-level exercises, e.g., Exercise EAGLE HORIZON-09 (EH-09) and the National Level Exercise-09 (NLE-09). The exercises provided an opportunity to assess the agency's operating plans and procedures; reinforced operator familiarity with the installed communications equipment; and emphasized the importance of procedures that facilitate government-industry coordination and information sharing.
- Compiled and coordinated the NCS Multi-Year Training and Exercise Plan, which provides a 5-year outlook of activities that will require manpower and financial

resources from the Office of the Manager, NCS and the ESF #2 partner agencies.

The Plan also identifies goals and objectives for ESF #2 participation in the events.

- Ensured operational readiness and validated information flow through participation in exercises such as Cyber Storm, Top Officials, Pinnacle, Forward Challenge, National Response Framework Exercises, and other continuity readiness events.
- Provided annual review of existing internal National Coordinating Center plans to support national security and emergency preparedness activities; development of new internal plans based on identified requirements; and support external organizations in updating plans, such as the National Response Framework and National Incident Management System.
- Expanded the National Coordinating Center and Communications Information Sharing and Analysis Center membership to keep pace with developing technologies and new entrants into communications sector.
- Fostered sharing of threats and intelligence through maintenance of National Communications System Homeland Infrastructure Threat and Risk Analysis Center position and increasing the number of industry members with Top Secret/SCI clearances.
- Ensured operational readiness through weekly net checks; planning and coordination of one annual nationwide SHARED RESOURCES exercise; Support ad-hoc exercises as appropriate.
- Expanded Radio-over-Internet Protocol network participation with Information Technology certification and deployment of Radio Over Internet Protocol to additional SHARED RESOURCES Control Station sites.
- Provided monthly Title Globe continuity communications testing, conducted quarterly multi-agency Continuity of Operations Communications Managers Group meetings, and developed an initial NCS Directive 3-10 compliance assessment report for OSTP.
- Provided Secretariat Support for the Government and National Security Telecommunications Advisory Committee's Network Security Information Exchanges, including 6 bimonthly joint meetings, working groups, conference calls, and ad hoc meetings.

FY 2010 Critical Infrastructure Protection Planned Accomplishments

- Develop annual update of the National Communications System Continuity of Operations Plan.
- Develop annual update of the Multi-Year Strategy and Management Plan for Continuity of Operations.
- Engage Emergency Support Function #2 participation in national security and emergency preparedness exercises in preparation for the 2010 Winter Olympics (January-February 2010).
- Provide Emergency Support Function #2 representatives to participate in the planning, coordination and conduct of the National Level Exercise 2010 (May 2010), which will feature the federal and state response to the detonation of a low-yield improvised nuclear device.
- Continue distance learning, teleconference training sessions for the interagency Emergency Support Function #2 team members by presenting instruction on topics

recommended or requested by the Emergency Communications Team members. The distance learning format provides a flexible, economical means to providing training to team members who are disbursed nationwide.

- Plan and conduct the FY2010 Emergency Support Function #2 Winter Workshop (December 2009) as a distance learning teleconference / webinar.
- Ensure operational readiness through participation in national exercises such as the Cyber Storm III, Top Officials, TOPOFF-5, and other national exercises that require communications resources to support the operational objectives.
- Provide annual review of existing internal National Coordinating Center plans to support national security and emergency preparedness activities, development of new internal plans based on identified requirements, and support external organizations in updating plans such as the National Response Framework and National Incident Management System.
- Expand the National Coordinating Center and Communications Information Sharing and Analysis Center membership to keep pace with developing technologies and new entrants into communications sector.
- Improve information sharing and coordination between Government and Information Sharing and Analysis Center members by increasing members' participation in national security and emergency preparedness communications activities such as the annual National Coordinating Center Industry Partner Conference.
- Foster sharing of threats and intelligence through maintenance of the National Communications System Homeland Infrastructure Threat and Risk Analysis Center position and increasing the number of industry members with Top Secret/SCI clearances.
- Ensure operational readiness through weekly net checks; planning and coordination of one annual nationwide SHARED RESOURCES exercise.
- Expand Radio-over-Internet Protocol network participation with IT certification and deployment of Radio-over-Internet Protocol to additional SHARED RESOURCES Control Station sites.

FY 2011 Critical Infrastructure Protection Planned Accomplishments

- Create new standard operating procedures, continuity of operations plans, and response plans for the Joint Watch mission that has been created due to the operational integration of the NCC 24x7 Watch and the US CERT.
- Broaden the mission of the NCC to work with government and industry partners in responding to cyber threats/attacks.
- Target the information technology industry for inclusion in the National Coordinating Center and Communications Information Sharing and Analysis Center membership to keep pace with developing cyber technologies that can provide support to the national security and emergency preparedness community.
- Increase the number of Communications Information Sharing and Analysis Center members with Top Secret/SCI clearances in order to share with them threat and intelligence information that is crucial in responding to threats/attacks to national security emergency preparedness telecommunications.

- Ensure operational readiness through participation in exercises such as Cyber Storm, Eagle Horizon, National Level Exercises, National Response Framework Exercises, and other Continuity of Operations and Continuity of Government readiness events.
- Ensure operational readiness through weekly network checks; planning and coordination of one annual nationwide SHARED Resources (SHARES) high frequency radio exercise.
- Restore radio-over-Internet Protocol network deployment test-bed for SHARES Control Station sites.
- Add remote transmitter and antenna capabilities at another Arlington, VA site to accommodate the redundancy of SHARES operations.
- Provide monthly Title Globe continuity communications testing, conduct quarterly multi-agency Continuity of Operations Communications Managers Group meetings, and develop quarterly and annual NCS Directive 3-10 compliance assessment report for Office of Science and Technology Policy.
- Conduct in-depth telecommunications assessment baselines of high risk areas throughout the United States and in support of special events in order to support disaster response operations, planning, and exercises related to critical communications infrastructures.
- Produce scenario/mission-based assessments of critical communications infrastructures in support of National Level Exercise 2011 and for ongoing continuity communications planning and architecture development.
- Provide an updated and expanded set of Regional Characterizations of the Telecommunications Infrastructure to the Joint Telecommunications Resources Board and for the ESF#2 community.
- Provide the Joint Field Office and the NCC Manager reports on the projected telecommunications impacts and restoration status for FY2011 hurricanes and any other significant disasters.
- Provide Secretariat Support for the Government and National Security Telecommunications Advisory Committee's Network Security Information Exchanges, including six bimonthly joint meetings, working groups, conference calls, and ad hoc meetings.
- Produce the 2011 Network Security Information Exchange "Assessment of the Risk to the Cyber Security of the Public Network" addressing the threats to and vulnerabilities of the telecommunications infrastructure.
- Develop annual update of the National Communications System Continuity of Operations Plan and the Multi-Year Strategy and Management Plan for Continuity of Operations to reflect After Action/Lessons Learned reports from previous National Level Exercises.
- Attain certification and accreditation from the DHS CIO to allow the Telecommunications Service Priority database to be web accessible. It is currently a closed system. This direct access allows more efficient processing of user and vendor data.
- Manage the Telecommunications Service Priority requirements that ensure the relevance and accuracy of the restoration priorities that are on the Nation's national security and emergency preparedness circuits. These requirements are the

revalidation of current assignments, telecommunications vendor confirmation of new assignments, and reconciliation of data with telecommunications vendors.

- Provide technical and logistical support to the Telecommunications Service Priority Oversight Committee that serves as an information sharing forum between private industry, the State and Federal Government organizations and the National Communications System so that the Committee can identify and review any problems developing in the Telecommunications Service Priority System and recommend actions to correct them or prevent recurrence.
- Finalize the planning, coordination and execution of Emergency Support Function #2 participation in the National Level Exercise (2011), which will feature an integrated federal and state response to a catastrophic earthquake within the New Madrid Seismic Zone.
- Plan, coordinate and conduct an ESF #2 full-field exercise in conjunction with Exercise NLE-2011 and as the culminating event for the ESF #2 Spring Training Exercise.
- Schedule and conduct 10 – 12 distance learning seminars to deliver periodic training to the interagency members of the ESF #2 Emergency Communications Team.
- Recruit and select Army Reserve field grade officers to fill vacancies within the NCS Individual Mobilization Augmentee Unit, as a result of personnel retirements and Active Duty mobilizations.
- Participate in the ‘new employee orientation’ by scheduling and conducting (every 4 months) a continuity of operations (COOP) awareness briefing for persons hired within the intervals.
- Review the results of the prior year’s Federal Emergency Communications Coordinators training curriculum to identify topics for addition, expansion, and to reinforce the training objectives.
- Review and update the Multi-Year Training and Exercise Plan to forecast the planning requirements to FY-2016.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
National Command & Coordination Capability
Program Performance Justification**
(Dollars in Thousands)

PPA: National Command & Coordination Capability

	Perm. Pos	FTE	Amount
2009 Actuals	16	-	2,417
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	-

In FY 2010, the Department discontinued this program.

CURRENT SERVICES DESCRIPTION

The scope of the National Command and Coordination Capability’s mission encompassed a secure and non-secure, networked communications capability to support civil responses for domestic incidents requiring a coordinated Federal response.

This program is being discontinued. The Federal government, under National Communications System 3-10, is already purchasing secure and non-secure communications capabilities for continuity purposes in support of incident response and performance of primary mission essential functions. Additionally, there are considerable Federal communications capabilities in the field that can be leveraged during an event, and these existing, routinely used systems can be leveraged, as they are today, during a major incident.

IV. Program Justification Changes

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Identification & Analysis
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease: Identification & Analysis
 PPA: Identification & Analysis
 Program Decrease: Positions 4.0, FTE -3.0, Dollars \$-8002.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							130	130	90,839
Program Decrease							4	(3)	(8,002)
Total Request	83	75	79,232	130	130	90,610	134	127	82,837

Salaries and Benefits Decreases: (\$0.700 million)

Description of Item

Reductions were taken from Identification and Analysis salaries and benefits based on a historical trend analysis of filled / vacant positions.

Justification

The reductions are based on the application of the historical IP fill rate of 90%. The breakdown of the reduction is applied across Identification and Analysis projects as follows:

Project	Reduction of FTE	Reduction to Salaries & Benefits
Vulnerability Assessments	(1)	(\$107)
Infrastructure Sector Analysis	(1)	(\$182)
Infrastructure Data Management	(1)	(\$98)
Infrastructure Visualization	(1)	(\$140)
Infrastructure Information Collection Project	(1)	(\$173)
Total Identification and Analysis Reductions	(5)	(\$700)

Impact on Performance

There should be minimal impact to performance, as the 90% fill rate is based on historical actuals. Infrastructure Protection will always have vacant positions, and the Federal hiring process is time consuming to backfill staff lost to attrition. While there is a reduction to funding, there is no reduction proposed to the number of positions for Infrastructure Protection.

Vulnerability Assessments Program Decrease: (\$3.697 million)

Description of Item

The Vulnerability Assessment project provides IP with the capability to effectively assess vulnerabilities and consequences to the Nation's CIKR, and provide protective measures to Federal, State, and local stakeholders in all 18 CIKR Sectors. Current efforts cover the spectrum of field vulnerability assessment teams conducting single Site Assistance Visits, and Buffer Zone Plans to larger-scale assessments of systems, clusters and regions via the Regional Resiliency Assessment Program. The Computer Based Assessment Tool complements these assessments by integrating assessment data with geospherical video and geospatial and hypermedia data and providing first responders and planners with a computer-based, cross-platform tool that enables informed decisions and quicker incident response. The decrement in funding for the Vulnerability Assessment Project will result in a decrease in the number of national level vulnerability assessments from the FY 2010 target goal of 450 assessments by approximately 175 assessments with the requested FY 2011 funding.

Justification

A program reduction of \$1.200 million is proposed for Linking Encrypted Network System (LENS) / Infrastructure Relating Information System (IRIS). LENS/IRIS is a data warehouse and suite of data collection tools and applications integrating all vulnerability assessment information into an operational system accessed by all of IP. The data is readily accessible for steady-state operations, is used to support forward deployed IP employees during incident response, and provides detailed vulnerability information for physical security, security force, security management, interdependencies, protective measures, and risk mitigation.

The discontinued funding to provide Linking Encrypted Network System / Infrastructure Relating Information System is predicated on the creation of the Joint Technology Laboratory to manage and store the information currently contained in the Linking Encrypted Network System. This efficiency will eliminate duplicate systems for housing the information, tools and data collection applications. Savings is contingent upon the transition and full operational capability of the Joint Technology Lab, scheduled for March 2010.

A program reduction of \$2.497 million will result in a decrease in the number of national level vulnerability assessments completed in FY 2011, including:

- Site Assistance Visits - Identifies CIKR dependencies, interdependencies, resiliency characteristics, and regional capability gaps. The cost for a SAV is approximately \$50 thousand;
- The Buffer Zone Protection Program - A \$50 million, DHS-administered grant program focused on identifying and mitigating vulnerabilities at the highest-risk CIKR sites. It provides grant funding directly and only to first responders and local law enforcement to increase capabilities and preparedness. The cost for an average Buffer Zone Plan is approximately \$15 thousand;
- The Regional Resiliency Assessment Program - Cooperative DHS led interagency assessment of specific CIKR and regional analysis of the surrounding infrastructure to identify CIKR dependencies, interdependencies, cascading effects, resiliency characteristics, and gaps, and examine the vulnerabilities, threats, and potential consequences from an all-hazards perspective. The average cost to conduct a Regional Resiliency Assessment Program is approximately \$0.485 million. BZPP grant funding is also provided to the States selected for the Regional Resiliency Assessment Program. In FY10, \$1.5 million in BZPP grant funding was allocated to the States where a Regional Resiliency Assessment Program will be conducted.

Through the Vulnerability Assessment project, IP provides security consultations for areas where new nuclear reactors will be located. As part of the application process for new nuclear reactor licenses, required under the Energy Policy Act of 2005, Section 657, IP provides a report to the Nuclear Regulatory Commission (NRC) describing assessment results within reviewed areas and identifying potential vulnerabilities and threats to proposed new reactors sites.

Impact on Performance

The new funding level will result in an annual decrease of approximately 175 lower priority vulnerability assessments: a decrease in the number of Site Assistance Visits, Regional Resiliency Assessment Programs, and Computer Based Assessment Tool assessments. While these are critical to IP's ability to accurately identify and analyze vulnerabilities, consequences and the complex and direct interdependencies of the Nation's high-risk CIKR to identify protective measures, efforts are scalable each fiscal year and IP will prioritize the assessments to ensure the most critical are completed within the requested funding level.

Infrastructure Sector Analysis Program Decrease: (\$4.163 million)

Description of Item

A decrease of \$4.163 million is proposed in FY 2011 from the FY 2010 enacted for Infrastructure Sector Analysis. This decrease will reduce the funding for National Infrastructure Simulation and Analysis Center modeling. National Infrastructure Simulation and Analysis Center was established to provide a comprehensive capability to assess the national system of interdependent infrastructures through advanced simulation and modeling. National Infrastructure Simulation and Analysis Center conducts analyses of technical, economic, and national security implications of critical infrastructure and

key resources protection, mitigation, response, and recovery options. To do this, National Infrastructure Simulation and Analysis Center conducts gap analysis using modeling and simulation to predict the performance of infrastructure under abnormal conditions (e.g., natural and manmade incidents), the effects of interdependencies, and the dynamics of their interconnections.

Justification

This programmatic decrease reflects a reduction of \$4.163 million for the National Infrastructure Simulation and Analysis Center efforts.

Impact on Performance (Relationship of decrease to Strategic Goals)

The reduction will delay the development of new tools and capabilities to analyze the Critical Manufacturing Sector by one year.

Infrastructure Visualization Program Decrease: (\$1.013 million)

Description of Item

A decrease of \$1.013 million is proposed in FY 2011 from the FY 2010 enacted for Infrastructure Visualization. This decrement impacts the planned deployment of the iCAV SECRET system and the HIFLD to the Regions implementation.

Justification

iCAV SECRET system implementation, operations and maintenance will be deferred. IP will continue to operate the iCAV Sensitive but Unclassified (SBU) suite of tools and software development, operations and maintenance within the requested funding level.

One of the primary data sources for the iCAV system is updated by the Homeland Infrastructure Foundation Level Data (HIFLD) to the Regions effort. HIFLD to the Regions currently deploys sixteen Information Exchange Brokers (IEBs) and nine Geospatial Analysts (GAs) to the PSA regions to build partnerships with the state and local community for data sharing in the Homeland Security Infrastructure Program (HSIP). The GAs work with the Supervisory PSAs and provide geospatial products and data for planning, response, and recovery for major events including, but not limited to, National Security Special Events (NSSEs) such as the Presidential Inauguration, and natural and man-made events including earthquakes, hurricanes, and terrorist attacks. The IEBs coordinate with the data collection and management activities in the Infrastructure Information Collection Division (IICD) to get authoritative, high-quality infrastructure data at a reduced cost, ultimately to be included in the HSIP datasets.

Impact on Performance

There is no specified requirement within IP to build, host, or manage a classified version of the iCAV system. While the absence of a classified geographic information system (GIS) such as iCAV does limit the ability of IP to display the Level 1 and 2 infrastructure sites in a dynamic Web-based display, the only specified requirement for geospatially enabling the Level 1 and 2 data is via hard and soft copy geospatial products. IP currently has a capability to create SECRET hard and soft copy geospatial products

outside of a classified GIS system such as iCAV SECRET so the operational impact on IP of not funding an iCAV SECRET system is negligible at worst.

Given all other DHS priorities, funding for the HIFLD to the Region effort was reduced which will require prioritization for requests for GIS and will stagnate the ability to build new partnerships in FY11.

Infrastructure Data Management Program Decrease: (\$0.017 million)

Description of Item

A decrease of \$0.017 million is proposed in FY 2011 from the FY 2010 Enacted budget for Infrastructure Data Management training efforts.

Justification:

IP is focusing on the promotion of web-based training.

Impact on Performance

The reduction will reduce the number of off-site instructor-led training while continuing to promote webinar and web-based training.

Infrastructure Information Collection Project Increase: \$1.588 million

Description of Item

The Homeland Security Act of 2002, Public Law 110-53, and Homeland Security Presidential Directive-7 define a strategy for establishing an integrated, prioritized national asset database to “identify protective priorities and support protection measures.” Infrastructure Protection maintains numerous tools, systems, portals, and applications, such as Constellation/Automated Critical Asset Management System, Integrated Common Analytical Viewer, and Linked Encrypted Network System to support the infrastructure protection community at all levels of government to include State and Local Fusion Centers and the private sector. Many of these technologies were established prior to the publishing of the initial NIPP in 2006. With the publishing of the 2nd edition of the NIPP in 2009 Infrastructure Protection has reached a level of maturity and understanding of the various requirements and critical needs to support and enable a unified national approach to infrastructure protection and resiliency. The Infrastructure Information Collection Project IT Enterprise Modernization will enhance Infrastructure Protection’s Information Technology systems and improve functionality across the infrastructure protection community (Federal, State and Local and Private Industry) through an integrated IT architecture to provide technical services, data and tools that could be leveraged across the IP community. Current funding levels support the development and implementation of the Infrastructure Information Collection System. This proposed initiative will:

- Increase and enhance mission effectiveness across the entire infrastructure protection community by making tools, applications, and systems easier to

- manage, access, and leverage in direct support of infrastructure protection planning, response, and restoration activities;
- Strengthen State and local government knowledge and understanding of infrastructure and provide a user-defined operating picture with enriched infrastructure data and analytical applications;
 - Enable greater support to first responders and State and Local Fusion Centers by integrating, harmonizing, and serving infrastructure data used to prioritize infrastructure protection, incident response, and reconstitution in response to all hazards incident management; and
 - Strengthen Federal government knowledge of the nations Critical Infrastructure Key Resources (Level 1 and Level 2 facilities); but also manage and make available vast information on thousands of additional facilities of high interest to all levels of government and private sector owners and operators.

Justification

Current funding levels support the development and implementation of the Infrastructure Information Collection System. Additional funding will allow Infrastructure Protection to not only integrate disparate systems but also evolve current tools and applications and leverage new technologies to keep pace with an expanding State and local and private sector infrastructure protection and resiliency mission. Specifically, this funding will:

- Expand the Infrastructure Information Collection System concept into an Infrastructure Protection-centric initiative;
- Begin the effort by integrating 19 geospatial and database systems;
- Support the design or procurement of advanced analytical software and technologies;
- Achieve systems integration and eliminate duplication of effort within Infrastructure Protection by building an enterprise for all Infrastructure Protection technology development, innovation, and deployment;
- Implement an integrated Infrastructure Protection-wide process to collect infrastructure information on vetted and prioritized requirements from State and Local Fusion Center and other Federal, State, local, territorial, and tribal stakeholders, as well as private sector entities; and
- Provide centralized, integrated help desk support to Infrastructure Protection's Information Technology systems.

The following justification describes the stakeholder benefits, cost savings, and resources needed to support each initiative cited above.

The integration of data into a single sign-on enterprise for access to infrastructure data will provide a direct enhancement to the mission effectiveness of first responders, State and Local Fusion Center analysts, emergency managers across all levels of government, and decision and policy makers who must understand the infrastructure landscape.

The key requirement of Information Technology systems integration is focused on the stakeholder need for easy access (through a single sign-on) to accurate, actionable data.

This data will be obtained through consolidated data sets and operational systems, databases, tools and applications. This effort establishes and increases data interoperability and access by combining existing hardware and software supporting Infrastructure Protection's databases, systems, tools, and applications. Through the Infrastructure Information Collection System, the Department will provide improved Information Technology systems and infrastructure data management support and technical tools that enable the collection and integration of various infrastructure information data sets to assist various homeland security partners across all levels of government and the private sector. Cost savings are anticipated with the consolidation of disparate systems, as well as system administration and security monitoring synergies.

Referencing the current capital investment plans, maintenance costs for the following programs are approximately:

- Constellation/Automated Critical Asset Management System – \$3.0 Million
- Integrated Common Analytical Viewer – \$5.2 Million
- InSight – \$3.0 Million
- Linked Encrypted Network System –\$1.0 Million
- Technical Resource for Incident Prevention –\$1.7 Million

Infrastructure Protection Information Technology enterprise modernization efforts will provide long-term cost savings for system maintenance and equipment upgrades as compared to maintaining and upgrading disparate systems. Additionally, long-term cost savings will be realized through reduced requirements for high-tech personnel such as database engineers, technical writers, and Information System Security Officers.

Development, innovation, deployment, and consolidation to enhance current tools and systems and leverage new technologies are critical components to building a viable enterprise. This will ensure Infrastructure Protection Information Technology enterprises evolves to maintain efficiency and effectiveness in supporting the infrastructure projection mission through the out years.

Infrastructure Protection's Information Technology enterprise modernization effort will provide sustained cost and operational efficiencies within Infrastructure Protection unavailable in today's environment where systems are geographically dispersed. Sharing hardware costs and exchanging data between systems will create economies of scales that will:

- Provide cost savings in hardware (server virtualization and data storage) and software licensing;
- Reduce redundant expenditures for most Chief Information Officer security requirements by leveraging one set of physical and cyber security controls;
- Increase service efficiencies through rapid prototyping and faster technology insertion; and
- Increase timely services and enhance customer responsiveness by providing an integrated workflow management system across the Office of Infrastructure Protection.

Implementing the Infrastructure Protection Information Technology enterprise modernization effort will conservatively reduce development costs between 15 percent and 20 percent per year. By expanding the development and testing time to coordinate systems development in a more collaborative and timely manner, increased staffing will benefit Infrastructure Protection.

Impact on Performance

By enhancing and integrating tools available to the infrastructure protection community, the Information Technology enterprise modernization effort will provide enhanced capability for geospatial visualization and data collection that will be re-integrated into the Infrastructure Information Collection System and the Geospatial Information Infrastructure data warehouses. The modernization will allow increased development of geospatial products in support of State and Local Fusion Center efforts, the development of data standards based on suspicious activity reporting, and the integration of existing State and Local Fusion Center tools and data with the Integrated Common Analytical Viewer suite of tools.

With this funded effort, the enterprise modernization will provide:

- Increased risk-related infrastructure information,
- Data standards for common and consistent information,
- Streamlined infrastructure information collection and management processes,
- Increased critical infrastructure and key resources information processing capability for users.
- hardware and software licensing,
- Chief Information Officer requirements, such as systems security certification and accreditation,
- system and user administration,
- Help Desk support.

Funding this effort will provide the State and Local Fusion Centers and other infrastructure protection partners with critical asset-, system-, and network-specific information to make risk-based decisions about real-time events and protection planning. Ultimately, State and Local Fusion Centers and other Federal, State, local, tribal, and territorial governments will be able to manage risks and allocate resources using timely, accurate, reliable, and valid data from numerous independent data sources.

The IP Information Technology Enterprise Modernization initiative promotes operational and information technology service efficiencies by standardizing data collection requirements and methodologies to support and contribute to the State and Local Fusion Center common operational picture and as a means for DHS to share operational data downward with State and local partners. When combined with State and local operational or infrastructure data, the integrated infrastructure visualization tools and Critical Infrastructure and Key Resources database information will help national homeland security move closer to a true “common” operational picture. The initiative

will provide a common and consistent means for sharing asset, system, and network vulnerability, risk, and protective measures data with infrastructure protection partners. The effort will consolidate and centralize disparate operations and systems with similar, overlapping areas of focus into a single, unified effort.

FY2011 Milestones

- Complete integration, implementation, and deployment of Automated Critical Asset Management System and Integrated Common Analytical Viewer into the Office of Infrastructure Protection Information Technology Enterprise.
- Achieve Initial Operational Capability for handheld field data collection tools.
- Complete efforts to build risk and vulnerability assessment tools development for all six critical infrastructure and key resources sectors managed by the Department to support the execution of the National Comparative Risk Assessment.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Coordination & Information Sharing
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease: Coordination & Information Sharing
PPA: Coordination & Information Sharing
Program Decrease: Positions 0.0, FTE -3.0, Dollars \$-7275.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							89	89	59,790
Program Decrease							-	(3)	(7,275)
Total Request	83	83	57,862	89	89	50,582	89	86	52,515

Salaries and Benefits Decreases: (\$0.419 million)

Description of Item

Reductions were taken from Coordination and Information Sharing salaries and benefits based on a historical trend analysis of filled / vacant positions.

Justification

The reductions are based on the application of the historical IP fill rate of 90%. The breakdown of the reduction is applied across Coordination and Information Sharing projects as follows:

Project	Reduction of FTE	Reduction to Salaries & Benefits
NIPP Management	(1)	(\$137)
CIKR Partnerships	(1)	(\$143)
Management, Planning, and Administration	(1)	(\$139)
Total Coordination & Information Sharing Reductions	(3)	(\$419)

Impact on Performance

There should be minimal impact to performance, as the 90% fill rate is based on historical actuals. Infrastructure Protection will always have vacant positions, and the Federal hiring process is time consuming to backfill attrited staff. While there is a

reduction to funding, there is no reduction proposed to the number of positions for Infrastructure Protection.

NIPP Management Program Decrease: (\$4.088 million)

Description of Item:

A decrease of \$4.088 million is proposed in FY 2011 from the FY 2010 enacted for NIPP Management. Homeland Security Act of 2002 Title II, Section 201 and Homeland Security Presidential Directive 7 require the development of the comprehensive national plan for securing the critical infrastructure and key resources of the United States. The NIPP was originally published in June 2006, and then reviewed, revised, and reissued in 2009 after extensive coordination and collaboration among the public and private sector partners. The NIPP and the 18 supporting Sector-Specific Plans (currently being revised and rewritten) serve as the foundation of the Nation's long-term critical infrastructure and key resources risk management program and the basis for virtually all of IP's activities. Successful execution of the NIPP is enabled by strong activities focused on: coordinating and supporting the efforts of all the Sector-Specific Agencies and other partners; increasing voluntary participation through a robust awareness and engagement program; providing comprehensive analysis and measurement based on a formal metrics program; reporting on critical infrastructure protection and resilience progress to Congress, the President, DHS, and other partners; and developing and offering a broad set of education, training, and outreach programs.

The NIPP has evolved considerably since the plan was first developed in 2006. The 2009 NIPP expands partnership at the National and local levels, and the number of engaged partners (both public and private) increases every year. The project's focus has matured to include all hazards, a broadened appreciation of resilience as a risk management strategy, and a shift from activity-based to outcome-based metrics to measure effectiveness; it has also strengthened sector linkages critical to incident management for operational effect during and after an incident.

The project is largely organized in the same fashion as it was since the plan was created, but must continue to adapt to support the needs of the expanding partnership in order to achieve the goals and objectives of the NIPP.

Justification:

This decrease assumes the maturation of the sector partnership and of National Infrastructure Protection Plan related programs to meet the project's mission, goals, and objectives with compensating actions required by Sector-Specific Agencies, coordinating councils, and private sector owners and operators.

Impact on Performance (Relationship of Decrease to Strategic Goals):

As the sectors have matured; they have moved from developing plans and providing qualitative reports on their progress to implementing and executing their Sector-Specific Plans, increased engagement with and training of sector partners, and more quantitative outcome measures that require considerable input from partners. This increased

complexity is overlaid on expansions in the scope of their efforts to cover all hazards. As a result, the NIPP Management Project provides ongoing guidance and assistance in the refinement and revision of the NIPP and its 18 Sector-Specific Plans, and additional support and resources for the Sector Specific Agencies as they move forward to enhance critical infrastructure protection and resilience. As the additional support will not be provided, the expected impacts are:

- NIPP Management Project will no longer provide liaisons and subject matter experts (SMEs) to the Sector-Specific Agencies which are funded by other federal agencies' budgets. These liaisons and SMEs have assisted the Sector-Specific Agencies in carrying out their annual reporting requirements, the development and execution of the Sector-Specific Plans, and other National Infrastructure Protection Plan related tasks. These federal agencies will need to use internal resources, for which they should be funded, to fulfill the roles and responsibilities set out for them in the National Infrastructure Protection Plan. This decrease in support to the sectors that are covered by other federal agencies will allow the NIPP Management Project to continue its comprehensive support to the remaining sectors for which DHS is directly responsible.
- There will be limited capability to provide targeted outreach and awareness support to the Sector Specific Agencies in response to individual sector needs. This includes threat-based products such as the Commercial Facilities Retail Awareness video, as well as other multi-media messaging to include webinars, printed materials, and training courses.
- Reductions in the analytical capabilities of the measurement and reporting activity, due to fewer resources to work with the individual sectors to ensure the proper (and necessary) data for outcome measures is available. Annual reporting will be more qualitative rather than quantitative. The ability to conduct detailed cross-sector analysis of sector and DHS programs will be reduced.
- Reduced rate of expansion of education and training programs, and a reliance on online offerings of existing programs.
- Reduction in the rate of expansion for States and regional consortia that can be actively engaged in awareness, outreach, education, and training programs.

CIKR Partnerships and Information Sharing Program Decrease: (\$10.021 million)

Description of Item

The Critical Infrastructure and Key Resources Partnerships and Information Sharing Project builds, sustains, and ensures the effective coordination and operations of the comprehensive network of structures, mechanisms, and processes that engage all critical infrastructure and key resources stakeholders across the Nation. It enables systematic and sustainable communication, coordination, and information exchange among those partners. The resourcing of the partnerships structures and their operations is organized through sector partnership activities and Critical Infrastructure and Key Resources Information Sharing Environment activities.

Collaboration, coordination, and trusted relationships are interdependent with an effective and efficient Critical Infrastructure and Key Resources Information Sharing Environment. Information sharing enables effective coordination and communication within the partnerships, and is a critical enabler for risk management activities that strengthen the security and resilience of the Nation's critical infrastructure and key resources. Implementation and unification of these necessary elements creates an effective and efficient Information Sharing Environment for the critical infrastructure and key resources stakeholders.

Justification

An overall decrease in budget of \$10.021 million dollars is proposed for the Partnerships and Information Sharing Project. These partnerships have developed, expanded, and matured over the past four years. IP will continue to leverage existing partnership and information sharing activities to maintain core levels of activity, particularly the private sector components of the sector partnership.

Impact on Performance

The Department will sustain current operations of the sector partnership and information sharing processes. Given the importance of the public-private partnership to all DHS and interagency critical infrastructure protection activities, high priority will be given to maintaining, to the greatest degree possible, continued and enhanced engagement and information sharing with private sector partners.

The Office of Infrastructure Protection will continue to support the majority of its partnerships; however, it will reduce support for sector partnership and cross-sector council meeting activities. Alternative, more cost effective, methods for engagement with these partners will be utilized and are being explored. IP will rely on existing relationships to sustain current partnerships, along with limited expansion of partnerships largely through the voluntary efforts under the National Infrastructure Protection Plan framework.

More specifically, support for travel, meetings, and workshops, as well as Secretariat support for State, local, tribal and territorial government, and regional consortium representatives is being reduced, with priority placed on the joint regional consortium meetings between the public and private sector, which will be reduced from eight meetings throughout the year to two meetings. Teleconference meetings will be utilized to the maximum extent possible to continue the hold meetings and workshops.

The Homeland Security Information Network – Critical Sectors (HSIN-CS) system will be maintained at the current level of 12,000 – 15,000 registered users. Deployment of targeted baseline critical infrastructure and key resources information-sharing capabilities to State and major urban area fusion centers will continue to be deployed to another 15 sites, the same level as planned for FY2010.

Operations for The Office of Infrastructure Protection-sponsored Critical Infrastructure Warning Information Network will be terminated. This network is designed to provide

connectivity between key critical infrastructure owners and operators and other critical stakeholders in unlikely event of a major disruption of the Internet and the public switched network, such as a hacking attack, to coordinate and communicate to quickly restore the Internet to support restoration of other critical infrastructures. This network includes leases of dedicated telecommunication circuits off the public switch network, operations, and maintenance of network servers and 150-180 terminals, the data center, and operations and maintenance services. This capability, if determined to be still required, should be integrated into the Department's overall future communication enterprise and strategy.

Management, Planning, and Administration Program Increase: \$7.253 million

Data Center Migration Increase: \$7.300 million

Description

FY 2011 data center development funding, to be managed through the DHS Working Capital Fund (WCF), will support the management of the system and application migration for Infrastructure Protection systems to the two DHS Enterprise Data Centers. The following IP systems will be supported by the data center migration:

- Infrastructure Information Collection Project: \$4.000 million
- Chemical Security Assessment Tool (CSAT): \$2.300 million
- Bombing Prevention/TripWire: \$1.000 million

These activities will include:

- Discovery, migration planning, and scheduling activities specifically related to systems/applications that will transition to the DHS Data Centers in FY 2010
- Purchase of new equipment for placement in the DHS Data Centers as part of migration/transition efforts
- Installation of equipment racks at the DHS Data Centers
- Migration-related build-out of DHS Data Center infrastructure
- Transition of disaster recovery/backup/COOP (Continuity of Operations) capability to DHS Data Centers
- Installation of infrastructure support as part of system migrations at the DHS Data Centers

Justification

In FY 2011, IP will migrate IICP, CSAT, and TripWire into the two DHS Data Centers. The Data Center consolidation efforts will standardize IT resource acquisitions across DHS Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency.

Impact on Performance

Data Center consolidation efforts will enhance DHS and NPPD IT security posture, improve information sharing with stakeholders, reduce costs, and increase operational efficiencies over time.

Program Efficiencies Decrease: (\$0.047 million)

Description of Item

A decrease of \$0.047 million is proposed in FY 2011 from the FY 2010 enacted for IP Management, Planning and Administration. The decrease will reduce contract support for administrative activities.

Justification

The FY 2011 decrement will be offset through the hiring that has taken place in FY2009 and planned for FY 2010.

Impact on Performance

If the FY 2010 planned hiring is realized, there should not be any significant impacts to performance from this reduction.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Mitigation Programs
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease: Mitigation Programs
PPA: Mitigation Programs
Program Decrease: Positions 5.0, FTE -19.0, Dollars \$-2546.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							506	506	200,972
Program Decrease							5	(19)	(2,546)
Total Request	274	194	147,583	506	469	197,111	511	487	198,426

Salaries and Benefits Decreases: (\$2.998 million)

Description of Item

Reductions were taken from Mitigation Programs salaries and benefits based on a historical trend analysis of filled/vacant positions.

Justification

The reductions are based on the application of the historical IP fill rate of 90%. The breakdown of the reduction is applied across Mitigation Programs projects as follows:

Project	Reduction of FTE	Reduction to Salaries & Benefits (thousands)
Infrastructure Coordination & Incident Management	(2)	(\$228)
Infrastructure Security Compliance	(11)	(\$1,479)
Protective Security Advisors	(5)	(\$729)
SSA Management	(4)	(\$437)
Bombing Prevention	(1)	(\$125)
Total Mitigation Program Reductions	(23)	(\$2,998)

Impact on Performance

There should be minimal impact to performance, as the 90% fill rate is based on historical actuals. Infrastructure Protection will always have vacant positions, and the Federal hiring process is time consuming to backfill attrited staff. While there is a

reduction to funding, there is no reduction proposed to the number of positions for Infrastructure Protection.

Infrastructure Coordination & Incident Management Program Decrease: (\$0.099 million)

Description of Item:

A decrease of \$0.099 million is proposed in FY 2011 from the FY 2010 Enacted budget for Infrastructure Coordination and Incident Management. This decrease will reduce one table top exercise.

Justification:

Table top exercises are essential to validating incident management plans, train personnel for incident management responsibilities, and evaluate new incident management structures, policies and procedures. Infrastructure Protection plans six exercises every year, three sector-specific agency exercises and three internal IP exercises. The reduction would eliminate one internal IP exercise.

Impact on Performance:

The elimination of the table-top exercise will impact staff knowledge on incident management responsibilities, potentially delaying IP's response times during actual incidents.

Infrastructure Security Compliance Program Decrease: (\$0.285 million)

Description of Item:

A decrease of \$0.285 million is proposed in FY 2011 from the FY 2010 Enacted budget for Infrastructure Security Compliance. This decrease to program funding is necessary to maintain the inspector cadre and headquarters staff necessary to carry out the CFATS and Ammonium Nitrate regulatory programs.

Justification:

The funding reduction will be taken out of the planned case management system development funding. The case management system is necessary to catalog, maintain and report chemical facilities compliance with CFATS.

Impact on Performance:

The reduction will delay development of the system requirements definition by one year.

Protective Security Advisors Program Decrease: (\$0.052 million)

Description of Item:

A decrease of \$0.052 million is proposed in FY 2011 from the FY 2010 Enacted budget level for Protective Security Advisors. The decrease will reduce contract support that assist the PSAs with administrative activities.

Justification:

The FY 2011 decrement will be offset through the hiring that has taken place in FY2009 and planned for FY 2010.

Impact on Performance:

If the FY 2010 planned hiring is realized, there should not be any significant impacts to performance from this reduction.

Bombing Prevention Program Decrease: (\$0.047 million)

Description of Item:

A decrease of \$0.047 million is proposed in FY 2011 from the FY 2010 Enacted budget for Bombing Prevention. This decrease will reduce the number of State and local, and private sector awareness workshops from 40 to 37.

Justification:

State and local, and private sector awareness workshops on Bombing Prevention, IED Awareness / Bomb Threat Management, and IED Search Courses better equip first responders with the tools to necessary to recognize and deal with bombing situations.

Impact on Performance:

The reduction will eliminate 3 workshops. The targeted areas for the workshops will be impacted, and workshops for the areas impacted will become the highest priority in FY 2012.

SSA Management Increase: \$1.935 million

Description of Item:

In March 2008, the Secretary of the Department of Homeland Security designated Critical Manufacturing as the 18th critical infrastructure and key resources sector. Notice of the Secretary's designation and information about the development of the Critical Manufacturing Sector was published in the Federal Register, April 30, 2008, Volume 73, Number 84, pages 23475-23476. This capability will enable the Department of Homeland Security to effectively execute Sector-Specific Agency responsibilities for the Critical Manufacturing Sector.

Homeland Security Presidential Directive-7 (Sections 15 and 35) and the National Infrastructure Protection Plan establish and define the role of Sector-Specific Agencies, which is to lead and coordinate the unified public-private sector effort to manage and mitigate all-hazards risk to critical infrastructure or key resource sectors. The National Infrastructure Protection Plan and National Response Framework (Critical Infrastructure and Key Resources Support Annex [page 27 and throughout]) levy roughly 140 requirements on Sector-Specific Agencies. The Sector-Specific Agencies play a substantial role across the risk management continuum, including response and incident management.

In addition, the Homeland Security Act of 2002 defines the protection of critical infrastructure and key resources as one of the primary missions of the Department of Homeland Security. The requested capability also supports the “Implementing Recommendations of the 9/11 Commission Act of 2007 (9/11 Act)”, Title X, Section 210E, which requires the Department of Homeland Security, “... to establish and maintain a single classified prioritized list of systems and assets [that would], if destroyed or disrupted, cause national or regional catastrophic effects.” In addition, this requirement supports 9/11 Act Title X, Section 1002: Risk Assessments and Report.

Justification:

This capability will enable the Department to carry out its broad responsibilities as the Sector-Specific Agency for the Critical Manufacturing Sector. As described in the National Infrastructure Protection Plan, the core mission of each Sector-Specific Agency is to lead the unified public-private sector effort to enhance the security of the Nation’s critical infrastructure and key resources.

Sector-Specific Agency responsibilities are extraordinarily broad, and resources are required to support ongoing public-private partnership, multidirectional information sharing, and comprehensive risk management efforts for the Critical Manufacturing Sector. Critical infrastructure protection is a stated Department of Homeland Security priority, and the Sector-Specific Agency is fundamental to supporting meaningful security initiatives that improve infrastructure preparedness, prevention, protection, response and recovery. Currently, there is no dedicated funding to support this capability. This capability will provide \$0.551 million and 4FTE/5 Positions to support the initiatives and programs required to effectively execute the mission of the Critical Manufacturing SSA. This capability will also provide \$1.383 million in program funding. Specifically, the Critical Manufacturing Sector-Specific Agency must, at a minimum, coordinate sector-wide efforts to achieve the following risk management outcomes:

- Set Goals and Objectives:
 - The Sector-Specific Agency collaborates with security partners (Sector Coordinating Councils, Government Coordinating Councils, subject matter experts, etc.) to identify sector-specific security goals that collectively guide the Critical Infrastructure Protection efforts across all levels of government and the private sector.
 - Sector-specific goals align with the National Risk Profile and consider physical, human and cyber infrastructure elements.
 - Each sector presents its mission, security goals, and objectives in its Sector-Specific Plan, which is reviewed yearly, and revised and reissued every three years.
- Identify Assets, Systems and Networks:
 - The Sector-Specific Agency works with sector partners to establish a comprehensive taxonomy of assets, systems, and networks to define the sector “universe.”

- The Sector-Specific Agency focuses on facilitating the collection of data for critical infrastructure vital to the Nation’s security or economy, with significant dependencies, interdependencies, or critical functionality.
- Assess Risk:
 - Risk assessment and analysis enables the identification of critical elements (i.e. assets, systems, networks, etc.), and allows owners and operators to determine risk and consequence levels within their facilities.
 - The Sector-Specific Agency works with sector partners to develop sector-specific risk assessment methodologies and tools.
 - Assessment results help to capture the sector risk landscape, and identify key security gaps, vulnerabilities, dependencies, and interdependencies.
- Prioritize:
 - The 9/11 Commission Act requires the Office of Infrastructure Protection to create annual lists that identify infrastructure capable of generating “national or regional catastrophic effects.”
 - Based on risk assessment and analysis, each Sector-Specific Agency works to determine the assets, systems, and networks that face the highest risk.
- Implement Programs:
 - For prioritization efforts at the National, sector-specific and asset level, sectors identify areas of greatest need, and assess cost and efficacy of options to reduce risk and build resiliency. Where applicable, sectors also consider options to address international issues.
 - Coordinate, facilitate, develop, and/or implement CIKR initiatives to enhance preparedness, prevention, protection, response, and recovery of CIKR.
 - Assess research and development/technology needs, and work to address those needs.
- Measure Effectiveness:
 - Sector members and the Sector-Specific Agencies work together to monitor the progress of initiatives, document performance, and improve protection efforts.
 - Sector Annual Reports contain a list of key Risk Mitigation Activities; those activities that have the greatest potential risk mitigation impact for the sector, as well as associated progress indicators.

Impact on Performance:

The Critical Manufacturing SSA is responsible for coordinating and unifying a wide range of public and private sector interests to further homeland security goals. Participation from the broad range of public and private sector stakeholders expected to join and support the Department in its efforts is purely voluntary, and will not be forthcoming if the Department opts to forgo the minimum resource allocation required to effectively achieve its own stated goals.

The security of the Critical Manufacturing Sector is crucial to the economic prosperity and continuity of the United States. U.S. manufacturers design, produce and distribute products that provide more than one of every eight dollars of the U.S. gross domestic product and employ more than 10 percent of the Nation’s workforce. Because the

Critical Manufacturing Sector was established only recently (2008), security programs and policies are in their nascent stages and the sector is vulnerable. As the other 17 critical infrastructure and key resource sectors continue to move forward with their programs to mitigate risk and bolster resilience, the Critical Manufacturing Sector's ability to get up-to-speed with the other 17 sectors will be severely constrained without designated and increased funding.

With funding, this sector will rapidly ascend to a security posture on par with that of other sectors by utilizing methods and programs in use in other sectors that will have benefit with modification to this sector. This sector will then be able to meet the unique security challenges of critical manufacturing by designing programs tailored to Critical Manufacturing. The Critical Manufacturing Sector is at least four years behind the other 17 sectors in the development and implementation of needed assessment tools and mitigation initiatives; this capability will allow the sector to close that gap.

FY2011 Critical Manufacturing SSA Milestones

- Acquire full-time personnel and work with sector partners to set security goals, identify critical assets, systems, networks, and functions; assess sector risk against all hazards; prioritize security requirements; and begin to implement security programs.
- Produce a Critical Manufacturing Sector publication series (including pamphlets, brochures, articles, and newsletters) to educate, promote information sharing, and foster collaborative communications processes among Critical Manufacturing Sector partners.
- Revise and update the Critical Manufacturing Sector-Specific Plan to ensure continued alignment with the sector risk landscape and priorities.
- Identify and mitigate two previously identified security gaps in Detroit through facilitated exercises that test the efficacy of identified plans, protocols, and procedures, and reduce recovery time for Critical Manufacturing Sector functions following an incident.
- Attend a minimum of ten outreach events — including meetings with associations, attending conferences and training events — to increase awareness of the Critical Manufacturing Sector-Specific Agency's and to broaden the membership of the SCC.

Philadelphia Infrastructure Monitoring Program Decrease: (\$1.000 million)

Description of Item

The Philadelphia Infrastructure Monitoring project funding was to purchase cameras for the city of Philadelphia. The cameras are to be placed around critical infrastructure and key resources to enhance the monitoring and protection of these sites.

Justification:

DHS is not requesting any funding for this activity in FY 2011.

Impact on Performance:

The cameras purchased with the FY 2008, FY 2009, and FY 2010 funding will continue to be operational into FY 2011.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
US-CERT
Justification of Program Changes
(Dollars in Thousands)**

Program Increase: US-CERT
PPA: United States Computer Emergency Readiness Team
Program Increase: Positions 37.0, FTE 19.0, Dollars \$984.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							251	244	314,005
Program Increase							37	19	984
Total Request	-	-	-	207	144	323,629	288	263	314,989

Incident Handling Decrease: (\$0.075 million)

Description of Item:

Program efficiencies have been gained under the US-CERT programs as a result of newly instituted FY 2009 Cybersecurity and Communications (CS&C) quarterly review efforts. As an outcome of these efforts, the US-CERT program has streamlined projected FY 2011 activities which will increase their overall operational efficiency.

Justification:

The US-CERT quarterly reviews are collaboratively managed by the CS&C Office of the Assistant Secretary and intended to instill fiscal accountability and track cost, schedule and performance activities.

Impact on Performance:

There is no impact to performance.

Analysis Decrease: (\$0.012 million)

Description of Item:

Program efficiencies have been gained under the US-CERT programs as a result of newly instituted FY 2009 Cybersecurity and Communications (CS&C) quarterly review efforts. As an outcome of these efforts, the US-CERT program has streamlined projected FY 2011 activities which will increase their overall operational efficiency.

Justification:

The US-CERT quarterly reviews are collaboratively managed by the CS&C Office of the Assistant Secretary and intended to instill fiscal accountability and track cost, schedule and performance activities.

Impact on Performance:

There is no impact to performance.

Strategic Operations Decrease: (\$0.216 million)

Description of Item:

Program efficiencies have been gained under the US-CERT programs as a result of newly instituted FY 2009 Cybersecurity and Communications (CS&C) quarterly review efforts. As an outcome of these efforts, the US-CERT program has streamlined projected FY 2011 activities which will increase their overall operational efficiency.

Justification:

The US-CERT quarterly reviews are collaboratively managed by the CS&C Office of the Assistant Secretary and intended to instill fiscal accountability and track cost, schedule and performance activities.

Impact on Performance:

There is no impact to performance.

Situational Awareness Decrease: (\$13.282 million)

Description of Item and Justification:

US-CERT leads the development and performance operation of cybersecurity technologies to counter on-going, real-world national cyber threats and apply effective risk mitigation strategies to detect and deter these threats in support of National Security Presidential Directive-54/Homeland Security Presidential Directive-23.

US-CERT is responsible for the design, development, acquisition, deployment, operations, and maintenance support required for the Department's segment of role in the Comprehensive National Cyber Security Initiative. It executes this responsibility through the National Cybersecurity Protection System, or EINSTEIN, which is an integrated intrusion detection system that encompasses the hardware, software, and other components being procured specifically to support this mission.

The National Cybersecurity Protection Systems helps protect Federal civilian government information technology enterprises through the analysis of network flow and intrusion detection information from Federal partners. It provides a high-level perspective from which analysts can observe potential malicious activity in Federal partners' computer network traffic by providing capabilities that support automated processes to collect, correlate, analyze, and share cybersecurity information across Federal government

computer networks. In turn, this will provide the United States Computer Emergency Readiness Team with increased situational awareness.

US-CERT is responsible for the EINSTEIN platforms through development, acquisition, deployment, operation, and maintenance of the EINSTEIN intrusion detection system, which currently includes: flow collection and intrusion detection at agency sites; centralized data storage; aggregation, correlation, and visualization of intrusion detection flow information; contextual data feeds; information sharing with departments/agencies and other partners; Continuity of Operations for United States Computer Emergency Readiness Team analysts; and a prototype environment for testing and validating signatures and analytics prior to deployment across the .gov domain.

US-CERT operates, maintains, and updates the EINSTEIN intrusion detection system, and with appropriate resources, will upgrade future versions of EINSTEIN to provide intrusion prevention capabilities.

Impact on Performance:

The funding decrement will slow down the EINSTEIN deployment originally scheduled for FY 2011. Given the software, hardware, and schedule uncertainties of planned deployments, DHS will work to finalize and better understand its cost requirements. However, DHS will continue to deploy EINSTEIN 3 in 2011 at a reduced rate.

Situational Awareness Increase: \$9.528 million

Description of Item and Justification:

The Assessment, Testing, and Analysis Capability function will allow US-CERT to fulfill their mission to objectively measure the effectiveness of Federal cybersecurity programs, systems and infrastructure and establish and maintain a holistic view of the Federal government's current security state. This function provides comprehensive risk analysis, vulnerability and threat assessment and penetration testing capabilities. The output will also be used to develop and evolve future required cybersecurity capabilities and practices and will be vital for the situational awareness of both the National Cyber Security Division and other stakeholders, such as the Office of Management and Budget.

Beginning in FY 2011, US-CERT will conduct Assessment, Testing, and Analysis Capability assessments of .gov departments' and agencies'² operational³ networks and systems.

Assessment teams will operate both independently (red teaming), and collaboratively (blue teaming), to conduct assessments of the target department/agency. The assessors will test multiple levels of the target department's/agency's networks and systems to measure compliance and assess the effectiveness of its security controls.

² Refer to Appendix C of OMB Circular A-11 for a listing of Federal departments and agencies. Please note the Department of Defense and the Judicial and Legislative branches of government will be excluded.

³ Research and development networks, pre-production systems, etc. will be considered "out of scope."

Assessments will be divided into two categories:

- Advanced Assessments will utilize vulnerability assessments and threat assessments coupled with penetration testing to produce a comprehensive risk analysis report.
- Basic Assessments will be less intense than advanced assessments that will incorporate vulnerability assessments and penetration testing.

In order to ensure the most comprehensive results, the latest commercial-off-the-shelf, government-off-the-shelf, and open source software tools will be used to conduct assessments.

At the completion of an evaluation, a detailed Assessment, Testing, and Analysis Capability Report describing the context and boundaries of the assessment, intended outcomes, findings and recommendations will be prepared. It will be made available to the assessed department/agency, as well as to those parties required by law, regulation, or policy, e.g. Office of Management and Budget. The assessed department/agency will also receive an in-person debriefing to discuss the findings and recommendations.

US-CERT will utilize aggregate Assessment, Testing, and Analysis Capability Reports and accompanying data to appraise the overall compliance state of the Federal civilian government in order to identify potential implementation issues, impediments, and capability gaps with regard to cybersecurity policy directives and mandates.

Specific FY 2011 mission improvements include: 11 positions / 6 FTE and associated salaries and benefits, contractor service and support teams, travel, and software and equipment and 27 assessments conducted.

Impact on Performance:

At current funding levels, US-CERT will be constrained in their ability to produce a more effective Assessment, Testing, and Analysis Capability function. Insight into the overall security posture of the Federal civilian government is needed by multiple stakeholders both within and outside of the Department of Homeland Security. Without this function, there will be a detrimental impact to the situational awareness of policy- and decision-makers across the .gov domain.

US-CERT mitigates and resolves strategic threats and vulnerabilities associated with the Federal government's cyber infrastructure, including that of the Federal government. These threats and vulnerabilities range from simple hacker activities and actions to those of other agents that are well-funded, knowledgeable, and capable of threatening the Nation's security. Moreover, technology has improved so that threats occur at velocities that outpace existing security investments.

US-CERT is however, on schedule in the effort of evaluating outsourced vulnerability assessment options to include proven programs within the Carnegie Mellon University Software Engineering Institute that can be leveraged through modifications to existing

contracts. The function would be managed by US-CERT staff and each assessment team would have a Federal team lead on-site.

Production Increase: \$0.041 million

Description of Item and Justification:

This minor program increase is the result of projected contract rate increases in this program.

Impact on Performance:

This has no significant impact on performance. The minor increase sustains activities at FY 2010 levels.

Cybersecurity Coordination Increase: \$5.000 million

Description of Item:

The additional funding requested will partially fund 26 positions in the following areas: NCSC oversight and management (2); situational awareness/integrated incident management (7); mission integration (8); analysis and reporting (5); collaboration and strategic partnerships (2); and technology/knowledge management (2).

Justification:

With the additional funding the NCSC plans the following accomplishments:

- Deploy the knowledge management system on the Joint Worldwide Intelligence Communications System (JWICS) Intelpedia (TS/SCI) and Homeland Security Information Network (HSIN) unclassified network. Complete all credentialing. Complete MOA with JWICs PMO (Project Management Office) to host DHS knowledge management system on JWICs. Implement the process for one-way transfer of data from unclassified to secret to TS/SCI until a cross domain solution is built. Continue to train users, and manage content.
- Deploy mission integration officers to each center to ensure delivery of information and intelligence needs/gaps identified under the partnership agreements.
- Staff a NCSC watch desk 24/7/365. Produce an initial integrated incident daily report and identify cyber incidents for national level reporting.
- Initiate a cross center collaborative Integrated Project Team (IPT) with representatives from all the centers and Office of the Director of National Intelligence (ODNI) to build an integrated incident management system. Integrated incident management system will identify as-is and to-be process structures to enable IT investment activities for situational awareness. Deliverables will include alignment of processes, creation of thresholds, common data standards, and a framework for a national incident database. Once the work of the IPT is complete, translate the team efforts into a process design and requirements definition for the integrated incident management system.

- Design and implement a program for cyber analysis process; defined as monitoring, measuring, analyzing and reporting on national cyber incidents of concern. Process design will include flow charts, process templates and detailed instructions to facilitate robust analytical functions. The process analysis will benchmark other federal investigative processes utilizing a model of assembling a team of experts, determining investigation scope (public/private, federal/private sector) conducting the investigation, and producing a final statement with recommendations/countermeasures for improvement.
- Assume responsibility of the day to day operation and maintenance of the information technology (IT) architecture used for collaboration amongst the participating centers.

Impact to Performance:

With the requisite increase requested, the NCSC will be able to deliver on the following key mission areas –

- *Oversight and Management* oversees all contracts, and provide acquisition planning advice, and ensure all contracts are closed out without any unobligated balances. Provides front office staff member to be communications/task management officer to ensure all actions are tracked and completed on time. These two positions improve the effectiveness and efficiency of the office.
- *Situational Awareness* provides the NCSC and the federal government with an integrated incident watch function, provides the team who will produce the daily integrated report and provides the nation with the capability to respond to a national cyber incident. This additional funding will provide a fully staffed 24/7/365 watch function, and provide the Secretary the Principal Federal Official for Cyber for a national level incident.
- *Mission Integration* fully funds the mission integration officers who are charged with ensuring the centers receive the information and intelligence identified in the partnership agreements. Additional funding will provide the team and the personnel to work on the business process changes to support common processes, standards, and lexicon. These additional resources will ensure that the 6 centers work in a coordinated, integrated effort, eliminate duplication and improve overall cyber incident response.
- *Analysis and Reporting* provides improved incident analytical functions on a national strategic level, provides the strong analytical team who will build and execute the processes for trend analysis, pattern identification, forecasting, and predictive analysis. The strong analytical team will also be charged with driving the knowledge management system so that event correlation can occur among disparate cyber incidents at the state, local and national level and to correlate incident activity against physical incidents and national level operations. This team will be responsible for producing the weekly and annual report and also to conduct deep dive investigative analysis on system wide incidents using the model described in item F below.
- *Collaboration and Strategic Partnerships* funding will ensure that the collaboration and strategic partnership agreements are completed in FY 2011.

These additional resources will provide the personnel who will track the metrics associated with the partnership agreements, manage the NCSC coordination council monthly meetings and off-sites, and will manage the contract to provide facilitated collaboration sessions.

- *Technology/Knowledge Management* resources will provide the program manager and Contracting Officer Technical Representative (COTR) for the integrated incident management system and the national cyber incident database. With the dedicated COTR, this staff member will drive the execution and implementation of this critical national level system for situational awareness. With the resources to hire a knowledge management training and operations manager, the system will have a dedicated person who manages the user interface. The user interface on each page of the system will have a content comment query, so that users, who don't find the information useful, can't find information they need, or need more information, can comment and expect a response. This staff member will also be charged with analyzing and determining how user feedback will be incorporated into improving the system, and managing on-line training aids. This is a critical staff function so that the system meets user needs.

With the increase in program dollars, the NCSC will be able to accomplish deployment of the knowledge management system on TS/SCI and Unclassified networks to include certification and accreditation and purchase of hardware. Development and analysis of the as-is and to-be process modeling and business analysis to support an integrated incident management system and a national cyber incident database.

Moreover, with the funds for both personnel and program dollars, the NCSC will be able to deliver the following outcomes:

- Deploy the knowledge management system on JWICs Intelpedia and HSIN. Complete all credentialing. Complete MOA with JWICs Project Management Officer (PMO) to host DHS knowledge management system on JWICs. Implement the process for one-way transfer of data from unclassified to secret to TS/SCI until a cross domain solution is built. Continue to train users, and manage content.
Outcome: Cybersecurity information will be shared more broadly, beyond the secret level. More users will have access to cybersecurity information across all 6 centers and customer sets at all three classification levels. Users will have immediate access to information concerning threats, vulnerabilities, incidents, alerts, notification and analysis.
- Lead efforts to host a national cyber incident database on the knowledge management system. Deploy the national cyber incident database.
Outcome: Will provide the nation with a national level cyber incident database with a compendium of incident data across all spectrums, - federal, state, local, private sector. Analysts will have easy access to a compendium of incident data to correlate trends, conduct forecasting and

do predictive analysis – where today no system exists with incident data across a broad spectrum.

- Staff a 24/7/365 integrated situational awareness capability. Produce a daily incident report.
Outcome: An integrated incident watch capability for the nation will be sustained, integrating incident data, infrastructure data and operational data. The watch desk will track and monitor incident data and determine when alerts need to be issued and when an incident reaches a critical level for national level response. The center will have the ability to produce a daily integrated report which will form the basis for trend analysis and national level reporting.
- Complete the process design, and requirements definition for the integrated incident management system.
Outcome: This analysis will support the future development of a business case for a national level situational awareness capability and provide the requirements definition to design an IT solution that supports detection, analysis, alert and notification, response/remediation for multi-organizational incidents.
- Design and implement a program plan for cyber analysis process; defined as monitoring, measuring, analyzing and reporting on cyber incidents of concern. Process design will include flow charts, process templates and detailed instructions to facilitate robust analytical functions. The process analysis will benchmark other federal investigative processes utilizing a model of assembling a team of experts, determining investigation scope (public/private, federal/private sector) conducting the investigation, and producing a final statement with recommendations/countermeasures for improvement.
Outcome: NCSC will be able to provide a robust analytical function that will include the staffing, process and methodology for high-end analytics. The process methodology will identify key data elements (reports) needed to conduct correlation, forecasting, predictive, and trending analysis. Moreover this analysis will describe the key NCSC reports – their purpose, periodicity and intended audience. Critical to this function is the ability to ingest unstructured reports and data (demonstrated through the NIEM and IODEF pilot), and the establishment of the national cyber incident database.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Strategic Initiatives
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease: Strategic Initiatives
 PPA: Strategic Initiatives
 Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-7492.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							38	29	64,372
Program Decrease							-	-	(7,492)
Total Request	-	-	-	37	28	64,179	38	29	56,880

Critical Infrastructure Protection-Cyber Security Decrease: (\$3.735 million)

Description of Item:

Program efficiencies have been gained under the Strategic Initiatives programs as a result of newly instituted FY 2009 Cybersecurity and Communications (CS&C) quarterly review efforts. As an outcome of these efforts, the Critical Infrastructure Protection program has streamlined projected FY 2011 activities which will increase their overall operational efficiency.

Additionally, the FY 2010 Research Triangle Institute project (\$3.500) million is discontinued in order to fund mission critical requirements.

Justification:

The US-CERT quarterly reviews are collaboratively managed by the CS&C Office of the Assistant Secretary and intended to instill fiscal accountability and track cost, schedule and performance activities.

Impact on Performance:

This has no significant impact on performance.

Training and Education Decrease: (\$4.482 million)

Description of Item:

Program efficiencies have been gained under the Strategic Initiatives programs as a result of newly instituted FY 2009 Cybersecurity and Communications (CS&C) quarterly review efforts. As an outcome of these efforts, the Training and Education program has

streamlined projected FY 2011 activities which will increase their overall operational efficiency.

Additionally, the FY 2010 Upstate New York Cyber Initiative earmark (\$0.100 million), the FY 2010 Virginia's Operational Integration Cyber Center of Excellence earmark (\$0.500 million), and the FY 2010 University of Texas-San Antonio earmark (\$3.500 million) will be discontinued in order to fund mission critical requirements.

Justification:

The Strategic Initiatives quarterly reviews are collaboratively managed by the CS&C Office of the Assistant Secretary and intended to instill fiscal accountability and track cost, schedule and performance activities.

Impact on Performance:

This has no significant impact on performance.

Software Assurance Decrease: (\$0.126 million)

Description of Item:

Program efficiencies have been gained under the Strategic Initiatives programs as a result of newly instituted FY 2009 Cybersecurity and Communications (CS&C) quarterly review efforts. As an outcome of these efforts, the Software Assurance program has streamlined projected FY 2011 activities which will increase their overall operational efficiency.

Justification:

The Strategic Initiatives quarterly reviews are collaboratively managed by the CS&C Office of the Assistant Secretary and intended to instill fiscal accountability and track cost, schedule and performance activities.

Impact on Performance:

This has no significant impact on performance.

Cyber Exercises Increase: \$3.283 million

Description of Item:

This increase is funded from the redistribution of NCSD FY 2010 base funds to increase cyber exercises.

Justification:

Cyber Exercises activities promote information-sharing and coordination across the Federal Government, State, local and private sector. The increased testing and validation of cyber-related plans and procedures will both detect infrastructure vulnerabilities and ensure that the public health and safety, and national economic viability are protected.

Impact on Performance:

This will enable the program to enhance the number of cyber exercises supported and conducted with Cybersecurity stakeholders and the technical assistance and training sessions conducted.

Standards and Best Practices Decrease: (\$3.132 million)

Description of Item:

Program efficiencies have been gained under the Strategic Initiatives programs as a result of newly instituted FY 2009 Cybersecurity and Communications (CS&C) quarterly review efforts. As an outcome of these efforts, Standards and Best Practices program has streamlined projected FY 2011 activities which will increase their overall operational efficiency.

Additionally, the FY 2010 Multi-State Information Sharing and Analysis Center (\$3.000 million) earmark will be discontinued in order to fund other NCSA mission critical requirements.

Justification:

The Strategic Initiatives quarterly reviews are collaboratively managed by the CS&C Office of the Assistant Secretary and intended to instill fiscal accountability and track cost, schedule and performance activities.

Impact of Performance:

This has no significant impact on performance.

Control Systems Increase: \$0.700 million

Description of Item and Justification:

This increase of \$0.700 million is to fund the continuation of high priority Control Systems activities at the same levels achieved FY 2010.

Additionally, the FY 2010 Idaho National Laboratory earmark (\$3.000 million) funding will be applied to fund Control Systems mission critical requirements.

Impact on Performance:

This will enable the program to meet mission critical activities including support for site assistance visits to identify vulnerabilities and mitigation strategies.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Outreach and Programs
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease: Outreach & Programs
 PPA: Outreach and Programs
 Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-2500.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							16	14	9,375
Program Decrease							-	-	(2,500)
Total Request	-	-	-	16	14	9,346	16	14	6,875

Stakeholder Outreach, Communications, and Coordination Decrease: (\$0.252 million)

Description of Item:

Program efficiencies have been gained under Outreach and Programs as a result of newly instituted FY 2009 Cybersecurity and Communications (CS&C) quarterly review efforts. As an outcome of these efforts, Stakeholder Outreach, Communications, and Coordination has streamlined projected FY 2011 activities which will increase their overall operational efficiency.

Justification:

The Outreach and Programs quarterly reviews are collaboratively managed by the CS&C Office of the Assistant Secretary and intended to instill fiscal accountability and track cost, schedule and performance activities.

Impact on Performance:

This has no significant impact on performance.

International Affairs and Public Policy Increase: \$0.003 million

Description of Item and Justification:

This minor program increase is the result of projected contract rate increases in this program.

Impact on Performance:

This has no significant impact on performance. The minor increase sustains activities at FY 2010 levels.

Planning and Program Decreases: (\$0.001 million)

Description of Item:

Program efficiencies have been gained under Outreach and Programs as a result of newly instituted FY 2009 Cybersecurity and Communications (CS&C) quarterly review efforts. As an outcome of these efforts, Planning and Programs has streamlined projected FY 2011 activities which will increase their overall operational efficiency.

Justification:

The Outreach and Programs quarterly reviews are collaboratively managed by the CS&C Office of the Assistant Secretary and intended to instill fiscal accountability and track cost, schedule and performance activities.

Impact on Performance:

This has no significant impact on performance.

Information Sharing and Collaboration Decrease: (\$2.250 million)

Description of Item and Justification:

The Information Sharing and Collaboration project will not be funded in FY 2011 and going forward due to other, higher priority National Cyber Security Division responsibilities.

Impact on Performance:

This will not jeopardize the program mission or objectives, and the Information Sharing and Collaboration project will meet the agreed upon goals with the funding provided to date.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Office of Emergency Communications
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease: Office of Emergency Communications
PPA: Office of Emergency Communications
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-686.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							58	58	45,210
Program Decrease							-	-	(686)
Total Request	47	27	35,487	52	52	45,060	58	58	44,524

SEARCH Decrease: (\$1.000 million)

Description of Item:

Through a grant to SEARCH of Sacramento, California, interoperable communications, training, certification, technical assistance, and outreach programs to State, regional, and local first responder communications coordinators was provided.

Justification:

The SEARCH grant was a one-time, non-recurring grant funding initiative managed by the Office of Emergency Communications' Multi-Jurisdictional Communications Services Division.

Impact on Performance:

The results of this initiative will be integrated into ongoing OEC programs.

Policy, Planning, and Analysis Decrease: (\$0.120 million)

Description of Item:

OEC hosts a national conference on Emergency Communications, which serves as a mechanism to bring together over 400 Federal, State, local, and tribal practitioners to discuss the current state of Emergency Communications, identify challenges, and collaborate on solutions.

Justification:

OEC will not host a national conference on Emergency Communications in FY 2011. While this will delay the opportunity for a large-scale assembly of national Emergency

Communications practitioners to collaborate, eliminating the FY 2011 conference will enable OEC to preserve other key means of promoting national Emergency Communications interoperability, as well as practitioner collaboration at the Federal, State, local, and tribal levels through targeted workshops, trainings, and direct technical assistance.

Impact on Performance:

The Office of Emergency Communications is evaluating the frequency upon which to conduct this conference in the future. OEC will continue to provide technical assistance and training workshops.

Multi-Jurisdictional Communications Services Decrease: (\$0.566 million)

Description of Item:

OEC publishes guidance documents on best practices, lessons learned, and how-to guides in order to provide support to emergency responders, localities, States, and tribal nations as they build communication capabilities. By producing these guidance documents, OEC is able to further expand its reach in assisting State, local, and tribal emergency responders in improving their Emergency Communications capabilities. OEC provides financial assistance to organizations that further activities central to the Department's strategic objectives, such as national interoperable communications and public safety.

Justification:

The elimination of this funding for FY 2011 will not jeopardize OEC's mission or objectives and will allow for continued funding for higher priority Emergency Communications initiatives.

Impact on Performance:

The number of guidance documents OEC can produce will be reduced and OEC will provide limited financial assistance during FY 2011 to organizations that support national interoperable communications and public safety initiatives. Deferring funding for these two efforts will preserve other mission-critical OEC programs that directly support high-profile OEC activities, including implementing the National Emergency Communications Plan (NECP) and assisting States and territories in implementing Statewide Communication Interoperability Plans (SCIPs) in alignment with the National Emergency Communications Plan.

Federal Communications Services Public Safety Broadband Interoperability Increase: \$1.000 million

Description of Item:

The Office of Emergency Communications will use the funds to support the development of public safety broadband and the Emergency Response Interoperability Center (ERIC). Specifically, the Office of Emergency Communications will conduct key analysis and coordination activities crucial to the effective management, deployment, and long-term operations of public broadband services and ERIC.

Justification:

The advent and rapid adoption of wireless broadband technologies will play an important role in improving public safety communications interoperability and mission effectiveness. Broadband-enabled applications can facilitate greater situational awareness, faster decision making, and more rapid emergency response coordination. Therefore, the advancement of a public safety broadband services will improve the ability of emergency responders to establish seamless interoperable communications. To this end, ERIC will establish a public safety interoperability communications profile including interoperability standards, authentication, encryption, roaming, priority access, application uses and interconnectivity which will be used to set baseline requirements for public safety users.

The Office of Emergency Communications is working closely with the FCC on this initiative. In order to successfully operate and maintain these initiatives, significant analysis and coordination must be done prior to deployment. The Office of Emergency Communications has determined that the following activities should be completed in FY11:

- Requirements analysis to ensure the network meets user technical and operational needs.
- ERIC roles and responsibilities analysis.
- Key policy issue analysis (e.g., non-discriminatory access, security, standards)

Impact on Performance:

The funding for the Public Safety Broadband Interoperability Program increases DHS' ability to strengthen response and recovery by effectively leveraging advanced communications technology to significantly enhance the ability of emergency responders to communicate. Further, the Office of Emergency Communications would provide critical planning, analysis, and coordination, thereby ensuring the successful deployment of public safety broadband services and ERIC. This important initiative will help to remedy historic barriers to public safety communications interoperability by establishing standards before the widespread adoption of new technologies, and is a key element of next-generation public safety communications capabilities.

Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Priority Telecommunications Services
Justification of Program Changes
(Dollars in Thousands)

Program Decrease: Priority Telecommunications Service
PPA: Priority Telecommunications Services
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-640.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							41	41	56,923
Program Decrease							-	-	(640)
Total Request	40	40	57,634	41	41	56,773	41	41	56,283

Description of Item:

Program efficiencies have been gained under the Priority Telecommunications Services (PTS) programs as a result of newly instituted FY 2009 Cybersecurity and Communications (CS&C) quarterly review efforts. As an outcome of these efforts, the PTS program has streamlined projected FY 2011 activities which will increase their overall operational efficiency of the Wireless Priority Services (WPS), Government Emergency Telecommunication (GETS) and Special Routing Arrangement Service (SRAS) programs. Savings to the PTS programs are estimated to be \$0.640 million.

Justification:

The NCS/NGN quarterly reviews are collaboratively managed by the CS&C Office of the Assistant Secretary and intended to instill fiscal accountability and track cost, schedule and performance activities.

Impact on Performance:

Not applicable.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Next Generation Networks
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease: Next Generation Networks
PPA: Next Generation Networks
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-3905.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	25,000
Program Decrease							-	-	(3,905)
Total Request	-	-	43,200	-	-	25,000	-	-	21,095

National Coordinating Center 24x7 Watch and Title Globe Decrease: (\$3.576 million)

Description of Item:

This program decrease of \$3.576 million supports higher priorities with the National Communications System

Justification:

The reduction in the Next Generation Networks Priority Services program is justified by greater funding needs in high priority programs elsewhere in the National Communications System. This requested program change reprioritizes base funds from Next Generation Network to Critical Infrastructure Protection within the National Communications System, to expand the National Coordinating Center operating capacity to allow for 365x24x7 operations, and allow for Title Globe to conduct monthly continuity testing of Departments and Agencies networks.

Impact on Performance:

The FY 2011 reduction to the Next Generation Network Priority Services program will require milestone adjustments to the program schedule, allowing for greater input from the communications vendors.

Program Efficiencies Decrease: (\$0.329 million)

Description of Item:

Program efficiencies have been gained under the Next Generation Network (NGN) program as a result of newly instituted FY 2009 Cybersecurity and Communications (CS&C) quarterly review efforts. As a result of these efforts, the NGN program has

streamlined projected FY 2011 activities which will increase their overall efficiency. Savings to the NGN program are therefore estimated to be \$0.329 million.

Justification:

The NCS/NGN quarterly reviews are collaboratively managed by the CS&C Office of the Assistant Secretary and intended to instill fiscal accountability and track cost, schedule and performance activities.

Impact on Performance:

Not applicable.

Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Programs to Study & Enhance Telecommunications
Justification of Program Changes
(Dollars in Thousands)

Program Decrease: Programs to Study & Enhance Telecommunications
PPA: Programs to Study & Enhance Telecommunications
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-172.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							28	28	16,829
Program Decrease							-	-	(172)
Total Request	25	18	11,877	28	28	16,774	28	28	16,657

Description of Item:

Program efficiencies have been gained under the Programs to Study and Enhance Telecommunications (PSET) programs as a result of newly instituted FY 2009 Cybersecurity and Communications (CS&C) quarterly review efforts. As an outcome of these efforts, the PTS program has streamlined projected FY 2011 activities which will increase their overall operational efficiency of the Modeling, Analysis and Technology Assessment, National Security/Emergency Preparedness Standards Team and Advance Technology programs. Savings to the PSET programs are estimated to be \$0.172 million.

Justification:

The NCS/NGN quarterly reviews are collaboratively managed by the CS&C Office of the Assistant Secretary and intended to instill fiscal accountability and track cost, schedule and performance activities.

Impact on Performance:

Not applicable.

Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Critical Infrastructure Protection
Justification of Program Changes
(Dollars in Thousands)

Program Increase: Critical Infrastructure Protection
PPA: Critical Infrastructure Protection
Program Increase: Positions 0.0, FTE 0.0, Dollars \$3475.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							29	29	11,409
Program Increase							-	-	3,475
Total Request	29	23	8,116	29	29	11,352	29	29	14,884

National Coordinating Center 24x7 Watch Increase: \$2.231 million

Description of Item:

National Coordinating Center Watch personnel stand watch for the National Protection and Programs Directorate (NPPD) and the communications sector, serving as the first line of defense in enhancing the Federal government’s ability to rapidly identify, monitor and respond to emerging telecommunications events. As the operational arm of NPPD’s National Communications System, the NCC Watch provides 365x24x7 staffed operations to maintain situational awareness on the health of the Nation’s telecommunications infrastructure. In this role, the NCC Watch provides time sensitive alerts, warnings, and in-depth analyses on national security/emergency preparedness issues impacting United States Government departments and agencies as well as their industry partners. Moreover, the NCC Watch is the integration point for other Information Sharing and Analysis Centers (ISACs) and government coordination centers. As such, the NCC Watch requires both experienced and operationally trained staff to handle no-notice as well as notice events around the clock.

Justification:

The realignment of FY 2010 enacted base funds to National Coordinating Center 24x7 Watch programs from Next Generation Networks supports CS&C priorities.

Impact on Performance:

Without these critical funds, the NCC Watch will not be able to staff or support 365x24x7 mission operations. The NCC Watch mission fulfills the National Continuity Policy mandates under Homeland Security Presidential Directive (HSPD)–20.

CIP Operations, Planning and Policy/Title Globe Increase: \$1.345 million

Description of Item:

Title Globe is a classified program that provides for monthly continuity testing of United States Government telecommunication networks as specified by the Office of Science and Technology Policy in support of Homeland Security Presidential Directive – 20.

Justification:

The transfer of program funds to Title Globe programs from Next Generation Networks supports CS&C priorities.

Impact on Performance:

The Title Globe mission fulfills the National Continuity Policy mandates under Homeland Security Presidential Directive (HSPD)–20.

Program Efficiencies Decrease: (\$0.101 million)

Description of Item:

Program efficiencies have been gained under Critical Infrastructure Protection (CIP) programs as a result of newly instituted FY 2009 Cybersecurity and Communications (CS&C) quarterly review efforts.

As a result of these efforts, CIP programs including NCC Operations, Operations Plans and Policy, Training and Exercises have streamlined their projected FY 2011 activities and plans for increased efficiencies, resulting in a savings of 0.101 million.

Justification:

The NCS/CIP quarterly reviews are collaboratively managed by the CS&C Office of the Assistant Secretary and intended to instill fiscal accountability and track cost, schedule and performance activities.

Impact on Performance:

Not applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
National Protection and Programs Directorate
Justification of Proposed Changes in
Infrastructure Protection and Information Security
Appropriation Language**

For necessary expenses for infrastructure protection and information security programs and activities, as authorized by title II of Homeland Security Act of 2002 (6 U.S.C. 121 et seq.), [\$899,416,000] **\$865,965,000**, of which [\$760,155,000] **\$706,426,000** shall remain available until September 30, [2011] **2012**. (Department of Homeland Security Appropriations Act, 2010)

Explanation of Changes:

None requested.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	725	539	693,743
FY 2010 Enacted	1,135	1,024	899,416
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Increases	-	-	-
2011 Pay Increase	-	-	1,462
Annualization of 2010 Pay Raise	-	-	426
Annualization of Prior Year Funding	-	38	5,233
DHS Balanced Workforce Strategy	51	106	-
GSA Rent	-	-	187
Total Increases	51	144	7,308
Decreases	-	-	-
One Time Data Center Migration Cost	-	-	(8,000)
Transfer National Computer Forensics Institute to FLETC	-	-	(4,000)
Total Decreases	-	-	(12,000)
Total, Adjustments-to-Base	51	144	(4,692)
FY 2011 Current Services	1,186	1,168	894,724
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Coordination & Information Sharing *	-	(3)	(7,275)
Critical Infrastructure Protection	-	-	3,475
Identification & Analysis	4	(3)	(8,002)
Mitigation Programs	5	(19)	(2,546)
Next Generation Networks	-	-	(3,905)
Office of Emergency Communications	-	-	(686)
Outreach & Programs	-	-	(2,500)
Priority Telecommunications Service	-	-	(640)
Programs to Study & Enhance Telecommunications	-	-	(172)
Strategic Initiatives	-	-	(7,492)
US-CERT	37	19	984
Total, Program Changes	46	(6)	(28,759)
FY 2011 Request	1,232	1,162	865,965
FY 2010 to FY 2011 Total Change	97	138	(33,451)

* The Coordination and Information Sharing program change includes \$7.3M for one time data center migration costs for IP Projects.

C. Summary of Requirements

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security**
Summary of Requirements
(Dollars in Thousands)

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	725	539	693,743
FY 2010 Enacted	1,135	1,024	899,416
Transfers	-	-	-
Total, Transfers	-	-	(4,000)
Adjustments-to-Base	-	-	-
Increases	51	144	7,308
Decreases	-	-	(8,000)
Total, Adjustments-to-Base	51	144	(692)
FY 2011 Current Services	1,186	1,168	894,724
Program Changes	-	-	-
Total, Program Changes	46	(6)	(28,759)
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	1,232	1,162	865,965
Total Change 2010 to 2011	97	138	(33,451)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Identification & Analysis	130	130	90,610	134	127	82,837	4	(3)	(7,773)	4	(3)	(8,002)	-	-	229
Coordination & Information Sharing	89	89	59,582	89	86	52,515	-	(3)	(7,067)	-	(3)	(7,275)	-	-	208
Mitigation Programs	506	469	197,111	511	487	198,426	5	18	1,315	5	(19)	(2,546)	-	37	3,861
US-CERT	207	144	323,629	288	263	314,989	81	119	(8,640)	37	19	984	44	100	(9,624)
Strategic Initiatives	37	28	64,179	38	29	56,880	1	1	(7,299)	-	-	(7,492)	1	1	193
Outreach and Programs	16	14	9,346	16	14	6,875	-	-	(2,471)	-	-	(2,500)	-	-	29
Office of Emergency Communications	52	52	45,060	58	58	44,524	6	6	(536)	-	-	(686)	6	6	150
Priority Telecommunications Services	41	41	56,773	41	41	56,283	-	-	(490)	-	-	(640)	-	-	150
Next Generation Networks	-	-	25,000	-	-	21,095	-	-	(3,905)	-	-	(3,905)	-	-	-
Programs to Study & Enhance Telecommunications	28	28	16,774	28	28	16,657	-	-	(117)	-	-	(172)	-	-	55
Critical Infrastructure Protection	29	29	11,352	29	29	14,884	-	-	3,532	-	-	3,475	-	-	57
Subtotal, Estimates Program Project Activity	1,135	1,024	899,416	1,232	1,162	865,965	97	138	(33,451)	46	(6)	(28,759)	51	144	(4,692)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	1,135	1,024	899,416	1,232	1,162	865,965	97	138	(33,451)	46	(6)	(28,759)	51	144	(4,692)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	60,813	105,337	120,681	15,344
11.5 Other personnel compensation	1,216	2,108	2,415	307
12.1 Benefits	18,366	31,814	36,444	4,630
21.0 Travel	6,088	12,346	12,799	453
23.1 GSA rent	-	12,944	13,256	312
23.3 Communications, utilities, and misc. charges	369	-	59	59
24.0 Printing	300	271	273	2
25.1 Advisory and assistance services	321,952	317,645	308,104	(9,541)
25.2 Other services	9,378	64,347	49,968	(14,379)
25.3 Purchases from Gov't accts.	256,774	233,021	222,565	(10,456)
25.4 O&M of facilities	-	5,749	6,799	1,050
25.7 Operation and maintenance of equipment	8,904	24,678	19,787	(4,891)
26.0 Supplies and materials	1,404	1,950	2,041	91
31.0 Equipment	2,429	78,314	69,632	(8,682)
41.0 Grants/Subsidies/Contributions	5,750	8,607	857	(7,750)
42.0 Insurance Claims and Indemnity	-	285	285	-
Total, Object Class	693,743	899,416	865,965	(33,451)
Unobligated Balance, start of year	105,502	141,678	-	(141,678)
Unobligated Balance, end of year	(141,678)	-	-	-
Recission of prior year funds	-	(8,000)	-	8,000
Total, Adjustments	(36,176)	133,678	-	(133,678)
Total, Direct Obligations	657,567	1,033,094	865,965	(167,129)

F. Permanent Positions by Grade

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	15	15	19	4
GS-15	158	180	191	11
GS-14	244	328	355	27
GS-13	110	316	335	19
GS-12	61	184	203	19
GS-11	112	51	59	8
GS-10	-	1	1	-
GS-9	11	52	60	8
GS-8	2	3	3	-
GS-7	8	3	4	1
GS-5	3	-	-	-
Total, SL	1	2	2	-
Total Permanent Positions	725	1,135	1,232	97
Unfilled Positions EOY	40	23	25	2
Total Permanent Employment EOY	685	1,112	1,207	95
Full Time Equivalents	539	1,024	1,162	138
Headquarters	590	829	846	17
U.S. Field	135	306	386	80
Foreign Field	-	-	-	-
Total, Location	725	1,135	1,232	97
Average ES Salary	170,299	174,046	177,875	3,829
Average GS Salary	96,883	99,014	101,193	2,179
Average Grade	14	14	14	-

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Identification & Analysis
Funding Schedule
(Dollars in Thousands)**

PPA: Identification & Analysis	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	8,348	12,483	12,446	(37)
11.5 Other personnel compensation	167	250	249	(1)
12.1 Benefits	2,521	3,770	3,758	(12)
21.0 Travel	420	832	832	-
24.0 Printing	-	8	8	-
25.1 Advisory and assistance services	18,727	16,712	12,989	(3,723)
25.2 Other services	5,288	19,416	19,416	-
25.3 Purchases from Gov't accts.	40,773	36,784	32,784	(4,000)
25.7 Operation and maintenance of equipment	2,939	-	-	-
26.0 Supplies and materials	49	355	355	-
Total, Object Class	79,232	90,610	82,837	(7,773)
Total, Identification & Analysis	79,232	90,610	82,837	(7,773)
Full Time Equivalents	75	130	127	(3)

PPA Mission Statement

The Information and Analysis mission area includes projects and activities that support identification of the Nation's critical infrastructure and key resources, assessment of critical infrastructure and key resource vulnerabilities, consequences and risks.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	8,348	12,483	12,446	(37)

The FY 2011 Request includes \$16,453,000 for salaries and benefits for 127 FTE, which represents a decrease of \$50,000 from FY 2010. The change includes an increase of \$229,000 for pay inflation, a program decrease of 5 FTE totaling \$700,000 based on historical fill rates, and a program enhancement of 4 FTP/2 FTE for \$421,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	167	250	249	(1)

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	2,521	3,770	3,758	(12)

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	420	832	832	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	-	8	8	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	18,727	16,712	12,989	(3,723)

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. The FY 2011 Request includes a program decrease of \$3,723,000 from FY 2010. This change includes a decrease of \$3,697,000 to Vulnerability Assessments, a decrease of \$163,000 to Infrastructure Sector Analysis, a decrease of \$1,013,000 to Infrastructure Visualization, a decrease of \$17,000 to Infrastructure Data Management, and an increase of \$1,167,000 to the Infrastructure Information Collection Program for IT Enterprise Modernization.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	5,288	19,416	19,416	-

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	40,773	36,784	32,784	(4,000)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request includes a program decrease of \$4,000,000 from FY 2010 for the National Infrastructure Simulation and Analysis Center project.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	2,939	-	-	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	49	355	355	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request represents no change from FY 2010.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Coordination & Information Sharing
Funding Schedule
(Dollars in Thousands)**

PPA: Coordination & Information Sharing	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	7,740	7,634	7,431	(203)
11.5 Other personnel compensation	155	153	149	(4)
12.1 Benefits	2,337	2,306	2,245	(61)
21.0 Travel	772	825	825	-
23.1 GSA rent	-	5,706	5,763	57
24.0 Printing	-	95	95	-
25.1 Advisory and assistance services	27,070	5,313	5,313	-
25.2 Other services	3,123	30,235	16,079	(14,156)
25.3 Purchases from Gov't accts.	16,281	6,867	14,167	7,300
25.7 Operation and maintenance of equipment	-	238	238	-
26.0 Supplies and materials	384	210	210	-
Total, Object Class	57,862	59,582	52,515	(7,067)
Total, Coordination & Information Sharing	57,862	59,582	52,515	(7,067)
Full Time Equivalents	83	89	86	(3)

PPA Mission Statement

The Coordination and Information Sharing mission area includes projects and activities that maximize the ability of government and private sector security partners at all levels to assess risks, coordinate programs and processes, and execute risk-mitigation programs and activities.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	7,740	7,634	7,431	(203)

The FY 2011 Request includes \$9,825,000 for salaries and benefits for 86 FTE, which represents a decrease of \$268,000 from FY 2010. This change includes an increase of \$151,000 for pay inflation and a program decrease of 3 FTE totaling \$419,000 based on historical fill rates.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	155	153	149	(4)

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	2,337	2,306	2,245	(61)

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	772	825	825	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	-	5,706	5,763	57

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent-related services. The FY 2011 Request represents an increase of \$57,000 from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	-	95	95	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request represents a no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	27,070	5,313	5,313	-

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	3,123	30,235	16,079	(14,156)

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request represents a decrease of \$14,156,000 from FY 2010. This change includes decreases of \$10,021,000 to CIKR Partnerships and Information Sharing, \$4,088,000 to NIPP Management, and \$47,000 to Management, Planning, and Administration.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	16,281	6,867	14,167	7,300

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request represents an increase of \$7,300,000 from FY 2010 for data center migration.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	-	238	238	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	384	210	210	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request represents no change from FY 2010.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Mitigation Programs
Funding Schedule
(Dollars in Thousands)**

PPA: Mitigation Programs	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	24,628	48,796	51,409	2,613
11.5 Other personnel compensation	493	976	1,028	52
12.1 Benefits	7,438	14,737	15,526	789
21.0 Travel	3,375	7,584	7,584	-
24.0 Printing	-	153	153	-
25.1 Advisory and assistance services	50,914	59,112	57,972	(1,140)
25.2 Other services	955	1,191	1,191	-
25.3 Purchases from Gov't acct.	57,014	59,492	59,493	1
25.4 O&M of facilities	-	-	1,200	1,200
25.7 Operation and maintenance of equipment	734	1,200	-	(1,200)
26.0 Supplies and materials	445	984	984	-
31.0 Equipment	1,587	1,886	1,886	-
41.0 Grants/Subsidies/Contributions	-	1,000	-	(1,000)
Total, Object Class	147,583	197,111	198,426	1,315
Total, Mitigation Programs	147,583	197,111	198,426	1,315
Full Time Equivalents	194	469	487	18

PPA Mission Statement

The Mitigation Programs mission area includes voluntary and regulatory projects and activities, which enable security partners to identify and mitigate vulnerabilities, implement protective measures, and increase preparedness for facilities, systems, and surrounding communities.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	24,628	48,796	51,409	2,613

The FY 2011 Request includes \$67,963,000 for salaries and benefits for 487 FTE, which represents an increase of \$3,454,000 from FY 2010. This includes an increase of \$3,029,000 for annualization of 22 positions requested but not funded in FY 2010, an increase of \$832,000 for pay inflation, an increase of \$2,040,000 for federal staffing realignment of 15 FTE, a program decrease of 23 FTE totaling \$2,998,000 based on historical fill rates, and a program enhancement of 5 FTP/4 FTE totaling \$551,000 to establish the Critical Manufacturing SSA Management capability.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	493	976	1,028	52

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	7,438	14,737	15,526	789

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	3,375	7,584	7,584	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	-	153	153	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	50,914	59,112	57,972	(1,140)

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. The FY 2011 Request represents a decrease of \$1,140,000 from FY 2010. This change includes a decrease of \$2,040,000 for federal staffing realignment, a decrease of \$285,000 for Infrastructure Security Compliance, a decrease of \$99,000 to Infrastructure Coordination and Incident Management, a decrease of \$52,000 to Protective Security Advisors, a decrease of \$47,000 to the Office of Bombing Prevention, and an increase of \$1,384,000 to establish the Critical Manufacturing SSA Management capability.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	955	1,191	1,191	-

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	57,014	59,492	59,493	1

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request represents an increase of \$1,000 from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	-	-	1,200	1,200

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request represents an increase of \$1,200,000 from FY 2010 reflecting a realignment of funds from object class 25.7, Operation and Maintenance of Equipment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	734	1,200	-	(1,200)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request represents a decrease of \$1,200,000 from FY 2010 reflecting a realignment of funds to object class 25.4, Operation and Maintenance of Facilities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	445	984	984	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one

year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	1,587	1,886	1,886	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	1,000	-	(1,000)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 Request represents a decrease of \$1,000,000 from FY 2010 for the Philadelphia Infrastructure project.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
National Cyber Security Division
Funding Schedule
(Dollars in Thousands)**

PPA: National Cyber Security Division	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	8,116	-	-	-
11.5 Other personnel compensation	162	-	-	-
12.1 Benefits	2,451	-	-	-
21.0 Travel	434	-	-	-
23.3 Communications, utilities, and misc. charges	301	-	-	-
25.1 Advisory and assistance services	108,592	-	-	-
25.2 Other services	3	-	-	-
25.3 Purchases from Gov't accts.	121,008	-	-	-
25.7 Operation and maintenance of equipment	5,127	-	-	-
26.0 Supplies and materials	196	-	-	-
41.0 Grants/Subsidies/Contributions	5,750	-	-	-
Total, Object Class	252,140	-	-	-
Total, National Cyber Security Division	252,140	-	-	-
Full Time Equivalents	79	-	-	-

PPA Mission Statement

The National Cyber Security Division has a partnership with private sector, government, military, and intelligence stakeholders in risk assessment and mitigation of vulnerabilities and threats to critical IT assets and activities that affect the operation of the critical infrastructure of the United States. In addition, NCSD provides cyber threat and vulnerability analysis, early warning, and incident response assistance for public and private sector constituents.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	8,116	-	-	-

There is no funding requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	162	-	-	-

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	2,451	-	-	-

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	434	-	-	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. There is no funding requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	301	-	-	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. There is no funding requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	108,592	-	-	-

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. There is no funding requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	3	-	-	-

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no funding requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	121,008	-	-	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. There is no funding requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	5,127	-	-	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. There is no funding requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	196	-	-	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is no funding requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	5,750	-	-	-

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. There is no funding requested in FY 2011.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
US-CERT
Funding Schedule
(Dollars in Thousands)**

PPA: United States Computer Emergency Readiness Team	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	15,388	28,012	12,624
11.5 Other personnel compensation	-	308	561	253
12.1 Benefits	-	4,647	8,460	3,813
21.0 Travel	-	614	994	380
23.1 GSA rent	-	2,770	2,941	171
23.3 Communications, utilities, and misc. charges	-	-	59	59
24.0 Printing	-	-	2	2
25.1 Advisory and assistance services	-	106,096	104,366	(1,730)
25.2 Other services	-	7,108	6,877	(231)
25.3 Purchases from Gov't accts.	-	82,339	70,810	(11,529)
25.4 O&M of facilities	-	5,749	5,599	(150)
25.7 Operation and maintenance of equipment	-	23,240	19,549	(3,691)
26.0 Supplies and materials	-	150	221	71
31.0 Equipment	-	75,220	66,538	(8,682)
Total, Object Class	-	323,629	314,989	(8,640)
Total, United States Computer Emergency Readiness Team	-	323,629	314,989	(8,640)
Full Time Equivalents	-	144	263	119

PPA Mission Statement

The United States Computer Emergency Readiness Team coordinates and facilitates information sharing with Federal civilian agencies, defense and intelligence agencies, State and local governments, private sector partners, infrastructure owners and operators, international partners, and the public to collect and disseminate cybersecurity threat and attack information. US-CERT is a component of the National Cyber Security Division.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	15,388	28,012	12,624

The FY 2011 Requests include 37,033,000 for salaries and benefits for 263 FTE, which represents a 16,690,000 increase from FY 2010. This change includes increases of \$2,066,000 for annualization of 15 positions requested in FY 2010 but not funded, \$264,000 for pay inflation, \$11,932,000 for federal staffing realignment of 85 FTE and 44 FTP. Program increases include \$512,000 for Situational Awareness and \$1,916,000 for Cybersecurity Coordination.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	-	308	561	253

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	-	4,647	8,460	3,813

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	-	614	994	380

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request represents an increase of \$380,000 from FY 2010. The change includes an increase of \$53,000 due to realignments within adjustments-to-base, \$280,000 from an enhancement to Situational Awareness, and \$47,000 from an enhancement to Cybersecurity Coordination.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	-	2,770	2,941	171

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request represents an increase of \$171,000 from FY 2010. The change includes an adjustment to base increase of \$46,000 and an increase of \$125,000 from an enhancement for Cybersecurity Coordination.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	-	-	59	59

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request represents an increase of \$59,000 from FY 2010 from an enhancement for Cybersecurity Coordination.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	-	-	2	2

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY2011 request represents an increase of \$2,000 over FY 2010 resulting from realignments within adjustments-to-base.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	106,096	104,366	(1,730)

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. The FY 2011 Request represents a decrease of \$1,730,000 from FY 2010. This change includes an adjustment-to-base reduction of \$11,932,000 for federal staffing realignment of 85 FTE and 44 FTP, a program decrease of \$75,000 to Incident Handling, a program decrease of \$12,000 to Analysis, a program decrease of \$216,000 to Strategic Operations, an increase of \$12,000 for realignments within adjustments-to-base, a program increase of \$7,707,000 to Situational Awareness, an increase of \$2,745,000 due to the enhancement to the National Cyber Security Center, and a program increase of \$41,000 to Production.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	7,108	6,877	(231)

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request represents a decrease of \$231,000 from FY 2010. This change includes a decrease of \$205,000 from realignments within adjustments-to-base and a decrease of \$26,000 from an enhancement for Cybersecurity Coordination.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	-	82,339	70,810	(11,529)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request represents a decrease of \$11,529,000 from FY 2010. This change includes a decrease of \$8,000,000 for one time data center migration costs, a decrease of \$4,000,000 to transfer the NCFI to FLETC, a decrease in \$202,000 in realignments within adjustments-to-base, an increase of \$594,000 resulting from the enhancement to Situational Awareness, and an increase of \$79,000 from an enhancement for Cybersecurity Coordination.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	-	5,749	5,599	(150)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 Request represents a decrease of \$150,000 from FY 2010. This change results from an increase of \$321,000 from realignments within adjustments-to-base and a program decrease of \$471,000 to Situational Awareness.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	-	23,240	19,549	(3,691)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 Request represents a decrease of \$3,691,000 from FY 2010. This change includes an increase of \$10,000 from realignments within adjustments-to-base, a program decrease of \$3,713,000 to Situational Awareness and a program increase of \$12,000 from an enhancement for Cybersecurity Coordination.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	-	150	221	71

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request represents an increase of \$71,000 from FY 2010. This change includes increases of \$2,000 from realignments within adjustments-to-base and a program increase \$69,000 from an enhancement for Cybersecurity Coordination.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	-	75,220	66,538	(8,682)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request represents a decrease of \$8,682,000 from FY 2010. This change includes an increase of \$7,000 from realignments within Adjustments-to-Base, a program decrease of \$8,663,000 to Situational Awareness, and a program decrease of \$26,000 to Cybersecurity Coordination.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Strategic Initiatives
Funding Schedule
(Dollars in Thousands)**

PPA: Strategic Initiatives	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	2,982	3,044	62
11.5 Other personnel compensation	-	60	61	1
12.1 Benefits	-	901	919	18
21.0 Travel	-	664	664	-
23.1 GSA rent	-	453	453	-
25.1 Advisory and assistance services	-	13,650	12,070	(1,580)
25.2 Other services	-	5,984	5,984	-
25.3 Purchases from Gov't accts.	-	35,710	33,410	(2,300)
31.0 Equipment	-	275	275	-
41.0 Grants/Subsidies/Contributions	-	3,500	-	(3,500)
Total, Object Class	-	64,179	56,880	(7,299)
Total, Strategic Initiatives	-	64,179	56,880	(7,299)
Full Time Equivalents	-	28	29	1

PPA Mission Statement

The Strategic Initiatives program establishes mechanisms for Federal partners to deploy standardized tools and services to secure information technology assets, promulgates sound practices for software developers, information technology security professionals, and other critical infrastructure and key resources stakeholders, and collaborates with the public and private sectors to assess and mitigate risk to the Nation's cyber critical infrastructure and key resources.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	2,982	3,044	62

The FY 2011 Requests include \$4,024,000 for salaries and benefits for 29 FTE, which represents an increase of \$81,000 from FY 2010. This change includes an increase of \$138,000 for the annualization of 1 position requested but not funded in FY 2010, an increase of \$56,000 for pay inflation, a decrease of \$112,000 for federal staffing realignment of 1 FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	-	60	61	1

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	-	901	919	18

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	-	664	664	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	-	453	453	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent-related services. FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	13,650	12,070	(1,580)

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. The FY 2011 Request represents a decrease of \$1,580,000 from FY 2010. This change includes an increase of \$112,000 for federal staffing realignment of 1 FTE, a program enhancement of \$3,283,000 to Cyber Exercises, program decreases of \$235,000 to Critical Infrastructure Protection, \$382,000 to Training and Education, \$126,000 to Software Assurance, \$132,000 to Standards and Best Practices, and program decreases of \$500,000 for the VOICCE project, \$100,000 for the Upstate New York Cyber Initiative, and \$3,500,000 for the Research Triangle Initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	5,984	5,984	-

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	-	35,710	33,410	(2,300)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request represents a \$2,300,000 decrease from FY 2010. This change includes a program enhancement of \$3,700,000 to Control Systems, and program decreases of \$3,000,000 for MS-ISAC and \$3,000,000 for Idaho National Labs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	-	275	275	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	3,500	-	(3,500)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 Request represents a \$3,500,000 decrease from FY 2010. This change includes a program decrease of \$3,500,000 for the University of Texas San Antonio Maturity Model project.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Outreach and Programs
Funding Schedule
(Dollars in Thousands)**

PPA: Outreach and Programs	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	1,464	1,500	36
11.5 Other personnel compensation	-	29	30	1
12.1 Benefits	-	442	451	9
21.0 Travel	-	349	300	(49)
23.1 GSA rent	-	50	50	-
25.1 Advisory and assistance services	-	2,077	1,859	(218)
25.2 Other services	-	114	114	-
25.3 Purchases from Gov't accts.	-	1,714	1,714	-
41.0 Grants/Subsidies/Contributions	-	3,107	857	(2,250)
Total, Object Class	-	9,346	6,875	(2,471)
Total, Outreach and Programs	-	9,346	6,875	(2,471)
Full Time Equivalents	-	14	14	-

PPA Mission Statement

Outreach and Programs promotes cybersecurity awareness among and within the general public and key communities, maintains relationships with governmental cybersecurity professionals to share information about cybersecurity initiatives, develops partnerships among public and private industry to promote collaboration on cybersecurity issues, and supports integration of cybersecurity strategy in management, human capital, facilities, performance management, and policy development.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	1,464	1,500	36

The FY 2011 Requests include \$1,979,000 for salaries and benefits for 14 FTE, which represents an increase of \$46,000 from FY 2010. This change includes an increase of \$29,000 for pay inflation and an increase of \$17,000 for federal staffing realignment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	-	29	30	1

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	-	442	451	9

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	-	349	300	(49)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request represents a program decrease of \$49,000 from FY 2010 to Stakeholder Outreach, Communications, and Coordination.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	-	50	50	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent-related services. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	2,077	1,859	(218)

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. The FY 2011 Request represents a decrease of \$218,000 from FY 2010. This change includes a decrease of \$17,000 for federal staffing realignment; a program decrease of \$203,000 for Stakeholder Outreach, Communication, and Coordination, a program decrease of \$1,000 for Planning and Programs, and a program enhancement of \$3,000 for International Affairs and Public Policy.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	114	114	-

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	-	1,714	1,714	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	3,107	857	(2,250)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 Request includes a program decrease of \$2,250,000 for Information Sharing and Collaboration.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Office of Emergency Communications
Funding Schedule
(Dollars in Thousands)**

PPA: Office of Emergency Communications	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	3,008	6,978	7,081	103
11.5 Other personnel compensation	60	140	142	2
12.1 Benefits	909	2,108	2,138	30
21.0 Travel	634	944	964	20
23.1 GSA rent	-	1,060	1,075	15
24.0 Printing	-	15	15	-
25.1 Advisory and assistance services	17,194	28,341	28,635	294
25.2 Other services	-	156	156	-
25.3 Purchases from Gov't accts.	11,286	3,025	3,025	-
25.7 Operation and maintenance of equipment	104	-	-	-
26.0 Supplies and materials	109	75	75	-
31.0 Equipment	834	933	933	-
41.0 Grants/Subsidies/Contributions	-	1,000	-	(1,000)
42.0 Insurance Claims and Indemnity	-	285	285	-
Total, Object Class	34,138	45,060	44,524	(536)
Total, Office of Emergency Communications	34,138	45,060	44,524	(536)
Full Time Equivalents	27	52	58	6

PPA Mission Statement

OEC supports and promotes the ability of emergency response providers and Federal officials to continue to communicate in the event of natural disasters, acts of terrorism, or other man-made disasters, and to ensure, accelerate, and attain interoperable emergency communications nation-wide.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	3,008	6,978	7,081	103

The FY 2011 Requests include \$9,361,000 for salaries and benefits for 58 FTE, which represents a \$135,000 increase from FY 2010 for pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
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11.5 Other personnel compensation	60	140	142	2
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See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	909	2,108	2,138	30

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	634	944	964	20

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request represents a \$20,000 change from FY 2010 for the FCS Emergency Response Interoperability Center, including setting the broad policy framework for public safety broadband networks, providing technical assistance and coordinating Federal broadband interoperability efforts.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	-	1,060	1,075	15

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent-related services. The FY 2011 Request represents an increase of \$15,000 from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	-	15	15	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	17,194	28,341	28,635	294

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. The FY 2011 Request represents an increase of \$294,000 from FY 2010. The change includes a decrease of \$120,000 to Policy, Planning, and Analysis, a decrease of \$566,000 to Multi-Jurisdictional Communications Services and an increase of \$980,000 for the FCS Emergency Response. Interoperability Center, including setting the broad policy framework for public safety broadband networks, providing technical assistance and coordinating Federal broadband interoperability efforts.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	156	156	-

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	11,286	3,025	3,025	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	104	-	-	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	109	75	75	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	834	933	933	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	1,000	-	(1,000)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 Request represents a decrease of \$1,000,000 from FY 2010 due to the elimination of the SEARCH project.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	-	285	285	-

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2011 Request represents no change from FY 2010.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Priority Telecommunications Services
Funding Schedule
(Dollars in Thousands)**

PPA: Priority Telecommunications Services	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	4,608	3,996	4,057	61
11.5 Other personnel compensation	92	80	81	1
12.1 Benefits	1,392	1,207	1,226	19
21.0 Travel	27	32	32	-
23.1 GSA rent	-	2,905	2,974	69
23.3 Communications, utilities, and misc. charges	15	-	-	-
25.1 Advisory and assistance services	44,960	43,978	43,398	(580)
25.2 Other services	4	92	91	(1)
25.3 Purchases from Gov't accts.	5,908	4,429	4,371	(58)
26.0 Supplies and materials	172	54	53	(1)
Total, Object Class	57,178	56,773	56,283	(490)
Total, Priority Telecommunications Services	57,178	56,773	56,283	(490)
Full Time Equivalents	40	41	41	-

PPA Mission Statement

Priority Telecommunications Service is specially designed telecommunications services to support the national security and emergency preparedness user community during natural or man-made disasters when conventional communications services are ineffective. In addition to enhancing critical infrastructure protection, these telecommunication services are used to coordinate response and recovery efforts and, in severe conditions, to assist with continuity activities.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	4,608	3,996	4,057	61

The FY 2011 Requests include \$5,364,000 for salaries and benefits for 41 FTE, which represents a \$81,000 increase from FY 2010 for pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	92	80	81	1

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	1,392	1,207	1,226	19

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	27	32	32	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	-	2,905	2,974	69

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent-related services. The FY 2011 Request represents a change of \$69,000 from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	15	-	-	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. There is no funding requested in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	44,960	43,978	43,398	(580)

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. The FY 2011 Request represents a decrease of \$580,000 from FY 2010. This change includes program decreases of \$297,000 to WPS, \$230,000 to GETS, \$30,000 to SRAS, and \$23,000 to IGIP.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	4	92	91	(1)

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request represents a decrease of \$1,000 from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	5,908	4,429	4,371	(58)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request represents a decrease of \$58,000 from FY 2010. This change includes decreases of \$29,000 to GETS and \$29,000 to WPS.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	172	54	53	(1)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request represents a decrease of \$1,000 from FY 2010.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Next Generation Networks
Funding Schedule
(Dollars in Thousands)**

PPA: Next Generation Networks	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	3	3	3	-
23.3 Communications, utilities, and misc. charges	53	-	-	-
24.0 Printing	300	-	-	-
25.1 Advisory and assistance services	39,308	23,889	20,157	(3,732)
25.2 Other services	5	8	7	(1)
25.3 Purchases from Gov't accts.	3,477	1,080	911	(169)
26.0 Supplies and materials	46	20	17	(3)
31.0 Equipment	8	-	-	-
Total, Object Class	43,200	25,000	21,095	(3,905)
Total, Next Generation Networks	43,200	25,000	21,095	(3,905)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Next Generation Networks Priority Service is a technology initiative to maintain and migrate legacy priority voice telecommunications services (Government Emergency Telecommunications Service and Wireless Priority Service) to the Next Generation Networks as the public switched network evolves from the circuit-based to Internet Protocol packet-based Next Generation Networks.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	-	-	-

The FY 2011 Request includes no funding for Salaries and Benefits, no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	3	3	3	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	53	-	-	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	300	-	-	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	39,308	23,889	20,157	(3,732)

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. The FY 2011 Request represents a program decrease of \$3,732,000 from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	5	8	7	(1)

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request represents a program decrease of \$1,000 from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	3,477	1,080	911	(169)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request represents a program decrease of \$169,000 from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	46	20	17	(3)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request represents a program decrease of \$3,000 from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	8	-	-	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request represents no change from FY 2010.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Programs to Study & Enhance Telecommunications
Funding Schedule
(Dollars in Thousands)**

PPA: Programs to Study & Enhance Telecommunications	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,842	2,820	2,862	42
11.5 Other personnel compensation	37	56	57	1
12.1 Benefits	556	851	863	12
21.0 Travel	200	266	262	(4)
25.1 Advisory and assistance services	8,837	11,813	11,657	(156)
25.2 Other services	-	21	21	-
25.3 Purchases from Gov't accts.	405	897	885	(12)
26.0 Supplies and materials	-	50	50	-
Total, Object Class	11,877	16,774	16,657	(117)
Total, Programs to Study & Enhance Telecommunications	11,877	16,774	16,657	(117)
Full Time Equivalents	18	28	28	-

PPA Mission Statement

The Programs to Study and Enhance Telecommunications develops models and conducts technical analyses of public communications infrastructures and equipment, and identifies vulnerabilities in new communications technologies due to the Telecommunication Electromagnetic Disruptive Effects. It also works with the international communications industry standards organizations to ensure that evolving commercial standards address the technical requirements of national security and emergency communications.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,842	2,820	2,862	42

The FY 2011 Requests include \$3,782,000 for salaries and benefits for 28 FTE, which represents a \$55,000 increase from FY 2010 for pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	37	56	57	1

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	556	851	863	12

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	200	266	262	(4)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request represents a program decrease of \$4,000 from FY 2010 to NS/EP Standards.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	8,837	11,813	11,657	(156)

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. The FY 2011 Request represents a decrease of \$156,000 from FY 2010. This change includes program decreases of \$85,000 to Modeling, Analysis, and Technology, \$24,000 from NS/EP Standards, \$28,000 from CNS/Advanced Technology, and \$19,000 from the Blackmoon classified project.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	21	21	-

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request of \$21,000 represents no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	405	897	885	(12)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request represents a program decrease of \$12,000 from FY 2010 to Modeling, Analysis, and Technology.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Critical Infrastructure Protection
Funding Schedule
(Dollars in Thousands)**

PPA: Critical Infrastructure Protection	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	2,205	2,796	2,839	43
11.5 Other personnel compensation	44	56	57	1
12.1 Benefits	666	845	858	13
21.0 Travel	202	233	339	106
25.1 Advisory and assistance services	4,702	6,664	9,688	3,024
25.2 Other services	-	22	32	10
25.3 Purchases from Gov't accts.	294	684	995	311
26.0 Supplies and materials	3	52	76	24
Total, Object Class	8,116	11,352	14,884	3,532
Total, Critical Infrastructure Protection	8,116	11,352	14,884	3,532
Full Time Equivalents	23	29	29	-

PPA Mission Statement

The Critical Infrastructure Protection Programs ensure the continued availability of national security and emergency preparedness telecommunications services under all circumstances, including crisis or emergency, attack, recovery, and reconstitution.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	2,205	2,796	2,839	43

The FY 2011 Requests include \$3,754,000 for salaries and benefits for 29 FTE, which represents a \$57,000 increase from FY 2010 for pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	44	56	57	1

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	666	845	858	13

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	202	233	339	106

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request represents a program increase of \$106,000 from FY 2010 for NCC 24x7 Watch.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	4,702	6,664	9,688	3,024

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. The FY 2011 Request represents an increase of \$3,024,000 from FY 2010. This change includes program increases of \$1,779,000 for NCC 24x7 Watch; \$1,345,000 for Title Globe; and program decreases of \$60,000 to NCC Operations; \$18,000 to CIP Operations, Plans and Policy; \$9,000 to Training and Exercises; \$5,000 to NSIE; and \$9,000 to TSP.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	22	32	10

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request represents a program increase of \$10,000 from FY 2010 for NCC 24x7 Watch.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	294	684	995	311

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request of \$995,000 represents a

\$311,000 program increase from FY 2010 for NCC 24x7 Watch.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	3	52	76	24

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request of \$76,000 represents a \$24,000 program increase from FY 2010 for NCC 24x7 Watch.

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
National Command & Coordination Capability
Funding Schedule
(Dollars in Thousands)**

PPA: National Command & Coordination Capability	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	318	-	-	-
11.5 Other personnel compensation	6	-	-	-
12.1 Benefits	96	-	-	-
21.0 Travel	21	-	-	-
25.1 Advisory and assistance services	1,648	-	-	-
25.3 Purchases from Gov't accts.	328	-	-	-
Total, Object Class	2,417	-	-	-
Total, National Command & Coordination Capability	2,417	-	-	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

DHS is no longer requesting funding for NCCC.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	318	-	-	-

There is no funding request in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	21	-	-	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. There is no funding request for FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	1,648	-	-	-

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. There is no funding request in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	328	-	-	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. There is no funding request in FY 2011.

I. Changes in Full Time Equivalent

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	350	539	1,024
INCREASES	-	-	-
Filled Vacant Positions	189	98	-
Annualization of Prior-Year Positions	-	82	38
DHS Balanced Workforce Strategy	-	275	106
Mitigation Programs	-	23	-
US-CERT	-	16	19
Subtotal, Increases	189	494	163
DECREASES	-	-	-
National Command and Coordination Capability	-	(9)	-
Coordination & Information Sharing	-	-	(3)
Identification & Analysis	-	-	(3)
Mitigation Programs	-	-	(19)
Subtotal, Decreases	-	(9)	(25)
Year End Actual / Estimated FTEs:	539	1,024	1,162
Net Change from prior year base to Budget Year Estimate:	189	485	138

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
National Protection & Programs Directorate
Infrastructure Protection and Information Security
FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Coordination and Information Sharing	3,018	10,760	10,975	215
Critical Infrastructure Protection	763	790	806	16
Identification & Analysis	3,933	4,331	4,418	87
Mitigation Programs	7,382	8,128	8,290	162
National Command & Coordination Capability	328	-	-	-
National Cyber Security Division	10,896	-	-	-
Next Generation Networks	1,047	783	799	16
Office of Emergency Communications	1,744	2,599	2,651	52
Priority Telecommunications Service	1,763	4,337	4,424	87
Programs to Study & Enhance Telecommunications	638	625	637	12
Total Working Capital Fund	31,512	32,353	33,000	647

DEPARTMENT OF HOMELAND SECURITY
National Protection and Programs Directorate
Infrastructure Protection and Information Security



Fiscal Year 2011
Congressional Budget Justification
IPIS Budget Addendum

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Section 1: Overview

NPPD is submitting a budget addendum to the FY 2011 IPIS budget request for several budget structural changes for consideration by Congress. Changes to the IPIS budget structure would:

1. Recognize significant mission expansion or mission changes since previous budget structures were established;
2. Align the budget with organizational structures;
3. Increase transparency and accountability for execution and mission performance; and
4. Streamline NPPD financial execution and reporting.

It is important to note that these requested budget structure changes do not in any way cause changes to the FY 2011 Congressional Justification plans and milestones or program changes. Rather, it is a request to more accurately present both the budget request and execution in the future.

The proposed changes to IPIS structure include:

1. Cybersecurity & Communications (CS&C): Establish a PPA for the Assistant Secretary, CS&C. Funding/ staff were previously budgeted and funded out of the multiple CS&C PPAs.
2. CS&C: Realign National Communications System personnel across the NCS PPAs to align with the projects supported.
3. CS&C: Updating the National Cyber Security Division PPA structure to more accurately reflect the mission expansion and execution under HSPD-23.
4. National Cyber Security Center: Break out Cyber Coordination as a separate PPA under the IPIS appropriation.

The tables below reflect the FY 2011 IPIS request in the Congressionally approved PPA structure, as well as the FY 2011 IPIS request with the changes outlined in the budget addendum. The specific drivers and details for the requested changes are outlined in greater detail in the text below.

Infrastructure Protection and Information Security (\$000)	FY 2011 Request in Congressionally Approved PPA Structure		
	FTE	FTP	\$
Identification and Analysis	127	134	82,837
Coordination and Information Sharing	86	89	52,515
Mitigation Programs	487	511	198,426
US-CERT	263	288	314,989
Strategic Initiatives	29	38	56,880
Outreach & Programs	14	16	6,875
Priority Telecommunications Service	41	41	56,283
Programs to Study and Enhance Telecommunications	28	28	16,657
Critical Infrastructure Protection	29	29	14,884
Next Generation Networks	0	0	21,095
Office of Emergency Communications	58	58	44,524
Total IPIS	1,162	1,232	865,965

Infrastructure Protection and Information Security (\$000)	FY 2011 Request in Proposed Alternative Structure		
	FTE	FTP	\$
Identification and Analysis	127	134	82,837
Coordination and Information Sharing	86	89	52,515
Mitigation Programs	487	511	198,426
Cyber Coordination	27	40	10,000
Cybersecurity	257	280	364,000
Priority Telecommunications Service	42	42	57,413
Programs to Study and Enhance Telecommunications	14	14	14,079
Critical Infrastructure Protection	26	26	14,313
Next Generation Networks	12	12	22,364
Office of Emergency Communications	58	58	44,339
Assistant Secretary for CS&C	26	26	5,679
Total IPIS	1,162	1,232	865,965

Section 2: Cybersecurity and Communications

Section 2.1: Office of the Assistant Secretary for Cybersecurity and Communications

PURPOSE:

The purpose of this Budget Addendum is to describe Cybersecurity and Communications (CS&C) restatement of resources to establish a separate Program, Project, Activity for the Assistant Secretary, CS&C.

Cybersecurity & Communications (\$000)	FY 2011 Request			Transfers			FY 2011 Addendum		
	FTE	FTP	\$	FTE	FTP	\$	FTE	FTP	\$
Assistant Secretary				26	26	5,679	26	26	5,679

DESCRIPTION:

The Office of the Assistant Secretary for Cybersecurity and Communications (CS&C) requests a restatement of \$5.679 million and 26 FTP/FTE from the CS&C Divisions / PPAs to reflect the Immediate Office of the Assistant Secretary staff and support funds. Due to expanding mission responsibilities and the need to integrate organizational activities across the CS&C enterprise, CS&C Division staffing resources are budgeted to support the CS&C Office of the Assistant Secretary. The current ad hoc cadre assigned to the CS&C leadership manage the myriad of collaborations that occur across the United States Government on cyber and communications policy initiatives and mission activities. These critical staffing resources serve as a critical link to external stakeholders, OMB and Congress. The requested restatement of salaries and support funds to the Office of the Assistant Secretary CS&C will formalize the current ad hoc allocation of resources and centralize outreach efforts with inter-governmental, international, private sector, and other stakeholders. These resources provide additional staffing and oversight of the following functional areas: Strategic Planning and Policy, Mission Integration, External Affairs, Human Capital, Budget and Finance, Continuity of Government, and Facility Planning.

Immediate Office of the Assistant Secretary: The Immediate Office of the Assistant Secretary provides strategic leadership across the Cybersecurity and Communications enterprise. The Assistant Secretary and Deputy Assistant Secretary collaborate with internal and external stakeholders and provide policy guidance in carrying out operational missions. They oversee the mission to prepare for and respond to incidents that could degrade or overwhelm the operation of the Nation's information technology and communications infrastructure.

External Affairs: The External Affairs Section is responsible for providing leadership, oversight, and operational services to Cybersecurity and Communications and its line components in support of the Public Affairs Annex to Emergency Support Function (ESF) 15 and for the Comprehensive National Cybersecurity Initiative strategic communications efforts. The External Affairs Section also has primary responsibility for managing Congressional affairs activities; coordinating with the Government Accountability Office;

overseeing Cybersecurity and Communications' role in support of the Speaker's Bureau process; integrating component strategic communications and public affairs events; supporting inter-governmental and international affairs as well as private sector engagements.

Human Capital: The Human Capital Section is responsible for identifying, recruiting, and on-boarding highly qualified personnel, as well as assisting program managers at all levels with training, developing, motivating, and retaining skilled staff. This Section also works closely with the NPPD Training Director to provide personnel with effective and efficient employee development and training programs designed to provide the entire CS&C workforce with the knowledge, skills, abilities, and competencies to accomplish the mission of CS&C.

Budget and Finance: The Budget and Finance Section is responsible for coordinating the Department's Planning, Programming, Budgeting, and Execution process across the Cybersecurity and Communications enterprise, as well as supporting key leadership initiatives. The Budget and Finance Section is comprised of three functional areas: Budget Formulation, Budget Execution, and Financial Operations.

Acquisitions and Procurement: The Acquisitions and Procurement Section is responsible for implementing acquisition review board strategies and oversees the CS&C Divisions' acquisition programs to ensure compliance with applicable NPPD, DHS, and government procurement regulations and procedures. Additionally, the Acquisitions and Procurement Section provides oversight for procurement activities, process and program definition, and the timely processing and submission of contracts.

The request is a restatement of \$5.679 million and 26 FTP/FTE positions from respective CS&C Divisions as indicated below:

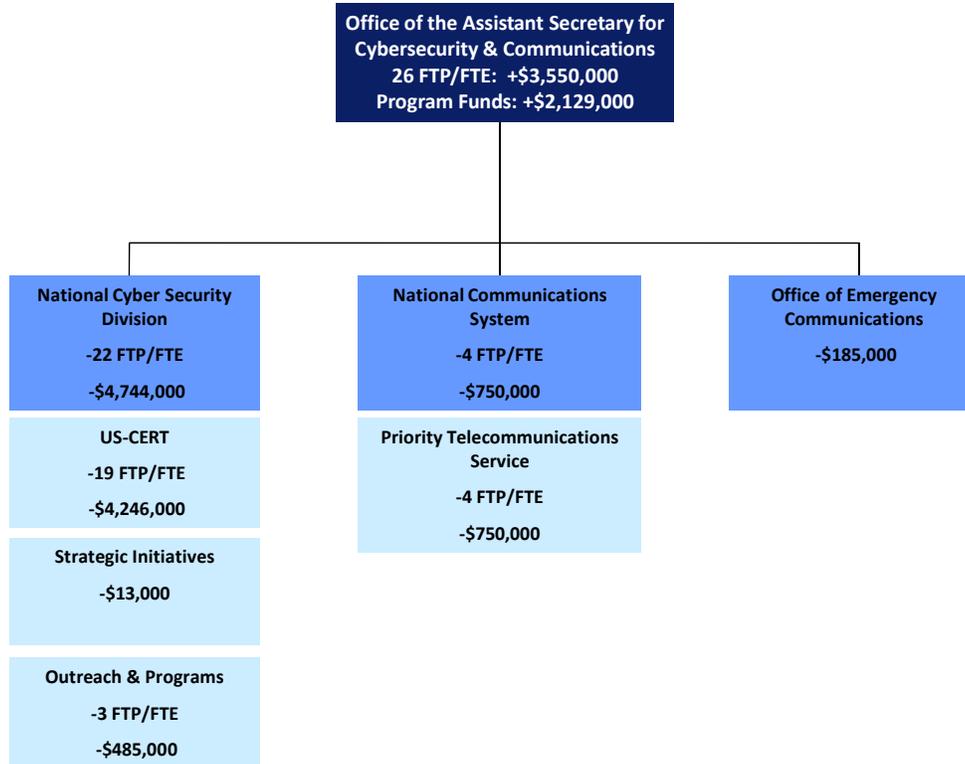
National Cyber Security Division (NCSD): Restatement from NCSD includes program funds totaling \$4.744 million and 22 FTP/22 FTE billets.

National Communications System (NCS): Restatement from NCS includes program funds totaling \$0.750 million and 4 FTP/FTE billets.

Office of Emergency Communications (OEC): Restatement from OEC includes program funds totaling \$0.185 million from the Office of Emergency Communications.

The chart below reflects the disposition of the restatement of resources at the PPA levels to the Office of the Assistant Secretary from the CS&C Divisions.

Restatement of NCSD-NCS-OEC Resources Supporting the Office of the Assistant Secretary for Cybersecurity and Communications



The restatement of \$5.679 million and 26 FTP/FTE to the Assistant Secretary for Cyber Security and Communications is critical to carry out necessary executive and operational leadership over national cyber and communication activities. These dedicated resources allow for the promulgation of CS&C-wide policies and technology solutions; integration of operational missions; realization of economies-of-scale of common financial and administrative activities across CS&C; and the creation of best employment practices. As noted, many of these positions are already filling roles within the Office of the Assistant Secretary and this request restates the funding and personnel in an effort to increase the transparency of the C&SC budget request and execution. This change will not cause deleterious mission impacts.

Section 2.2: National Communications System Realignment

PURPOSE:

The National Communications System (NCS) is requesting a restatement of personnel and support resources from across the National Communications System Programs to more closely reflect how the NCS mission is currently being executed. This requested restatement creates a consolidated Plans and Programs project within Priority Telecommunication Service PPA to coordinate the planning and provisioning of national security and emergency preparedness communications, resources are currently budgeted across all four PPAs. It also restates the NCS positions across the four PPAs to tie the staffing more closely to the projects they support (for example, restating of the 12 NGN Program Office staff to the NGN PPA.)

	FY 2011 Request			NCS Realignment			Assistant Sec. CS&C			Addendum Request		
	FTP	FTE	(\$000)	FTP	FTE	(\$000)	FTP	FTE	(\$000)	FTP	FTE	(\$000)
PTS	41	41	\$ 56,283	5	5	\$ 1,880	(4)	(4)	\$ (750)	42	42	\$ 57,413
PSET	28	28	\$ 16,657	(14)	(14)	\$ (2,578)	-	-	\$ -	14	14	\$ 14,079
CIP	29	29	\$ 14,884	(3)	(3)	\$ (571)	-	-	\$ -	26	26	\$ 14,313
NGN	-	-	\$ 21,095	12	12	\$ 1,269	-	-	\$ -	12	12	\$ 22,364
Total	98	98	\$ 108,919	-	-	\$ -	(4)	(4)	\$ (750)	94	94	\$ 108,169

DESCRIPTION:

This restatement will create a new Plans and Programs project under the PTS PPA, but will not cause any other structural changes to the current projects under PTS or the projects in the other three PPAs.

Changes include:

- Net Increase of \$1.880 million and 5 FTP/FTE to Priority Telecommunications Service (PTS);
- Net Decrease of \$2.578 million and 14 FTP/FTE from Programs to Study & Enhance Telecommunications (PSET);
- Net Decrease of \$0.571 million and 3 FTP/FTE from Critical Infrastructure Protection Programs (CIP);
- Net Increase of \$1.269 million and 12 FTP/FTE to Next Generation Networks (NGN)

The table on the next page provides the restatements at the project level and for the personnel across the NCS PPAs.

The Plans and Programs office provides necessary business and administrative support for the National Communications System and centralizes cross-cutting activities such as budget formulation and execution, contracts management, planning, human capital, performance management oversight, as well as management of travel, training, and supplies across NCS. Benefits derived from the consolidation of resources across the National Communications System into the Plans and Programs office under PTS enables economies of scale to be achieved in budget, HR and contract management activities in an effort to reduce costs and increase operational efficiencies.

The most significant realignment of personnel is to reflect those positions that are in the NGN Program Office. The NGN program office has the responsibility for monitoring changes to telecommunication policies and technology trends; formulate funding projections necessary to support future program activities; support internal and external reporting requirements; and ensure program adherence to effective NGN cost, schedule, and performance goals.

	FY 2011 Request			NCS Staffing and Support Realignment			Assistant Sec. CS&C			Addendum Request		
	FTP	FTE	(\$000)	FTP	FTE	(\$000)	FTP	FTE	(\$000)	FTP	FTE	(\$000)
PTS	41	41	56,283	5	5	1,880	(4)	(4)	(750)	42	42	57,413
PTS S&B	37	37	4,914	5	5	694				42	42	5,608
ASCSC S&B	4	4	450				(4)	(4)	(450)	0	0	0
Wireless Priority Service			22,988			\$ (307)						22,681
GETS			19,148			\$ (1,225)						17,923
SRAS			2,237			\$ (190)						2,047
Plans and Programs			0			\$ 2,908						2,908
Government/Industry Programs and Management			3,272									3,272
Facilities			2,974									2,974
ASCSC			300						(300)			0
PSET	28	28	16,657	(14)	(14)	(2,578)				14	14	14,079
Salaries and Benefits	28	28	3,782	(14)	(14)	(1,940)				14	14	1,842
Modeling, Analysis & Tech.			7,259			(425)						6,834
NS/EP Standards			2,079			(175)						1,904
CNS / Advanced Technology			2,124			0						2,124
Classified Program			1,413			(38)						1,375
CIP	29	29	14,884	(3)	(3)	(571)				26	26	14,313
Salaries and Benefits	29	29	3,754	(3)	(3)	(416)				26	26	3,338
NCC Operations			6,707			0						6,707
CIP Operations, Plans & Policy			2,673			0						2,673
Training & Exercises			682			(60)						622
NSIE			387			(35)						352
TSP			681			(60)						621
NGN	0	0	21,095	12	12	1,269				12	12	22,364
Salaries and Benefits			0	12	12	1,662				12	12	1,662
Program Costs			21,095			(393)						20,702
Total	98	98	108,919	0	0	0	(4)	(4)	(750)	94	94	108,169

Section 2.3 National Cyber Security Division and Cyber Coordination

PURPOSE:

This proposed PPA structure for FY 2011 is requested for the National Cyber Security Division to better align appropriated resources to its expanded responsibilities and enhanced mission outlined under the Comprehensive National Cybersecurity Initiative and other recent mandates.

Under this requested realignment, the current National Cyber Security Division PPAs are proposed to be broken out into two PPAs:

- Cybersecurity Coordination. In the new structure for FY 2011, NPPD requests \$10.000 million for Cybersecurity Coordination, including 40 positions / 27 FTE. This represents an increase of \$5.000 million over the FY 2010 enacted budget of \$5.000 million.
- Cybersecurity. In the new structure for FY 2011, NPPD requests \$364.000 million for Cybersecurity, including 280 positions / 257 FTE. These figures exclude Cyber Coordination and the realignment of staff and resources for the Assistant Secretary, CS&C. These funds support NPPD's role in the Comprehensive National Cybersecurity Initiative and other cybersecurity activities, and is structured to align to the NCSD organizational structure: US-CERT Operations, Federal Network Security, Network Security Deployment, Global Cyber Security Management, Critical Infrastructure Cyber Protection and Awareness, and Business Operations.

The requested PPA structure outlined below provides for future increased visibility and transparency into how the National Cyber Security Division is executing funding and meeting mission requirements. It also pulls out Cyber Coordination as a separate PPA within IPIS.

	FY 2011 Request			FY 2011 Realignment			Transfer for Asst. Sec. CS&C			FY 2011 Request		
	FTP	FTE	(\$000)	FTP	FTE	(\$000)	FTP	FTE	(\$000)	FTP	FTE	(\$000)
US-CERT	288	263	314,989									
Strategic Initiatives	38	29	56,880									
Outreach and Programs	16	14	6,875									
Cybersecurity Coordination PPA				40	27	10,000				40	27	10,000
Cybersecurity PPA				302	279	368,744	-22	-22	(4,744)	280	257	364,000
US-CERT Operations				120	118	81,606			(1,200)	120	118	80,406
Federal Network Security				31	24	29,245				31	24	29,245
Network Security Deployment				40	39	173,356			(431)	40	39	172,925
Global Cybersecurity Management				22	18	17,084				22	18	17,084
Critical Infrastructure Protection and Awareness				34	25	52,946			(13)	34	25	52,933
Business Operations				55	55	14,507	-22	-22	(3,100)	33	33	11,407
Subtotal National Cyber Security Division	342	306	378,744	342	306	378,744	-22	-22	(4,744)	320	284	374,000

A more detailed crosswalk of this restructuring is provided below.

FY10 Congressional Budget Structure (PPA/ Projects)	FY11 Proposed Budget Structure (Projects Crosswalked)	FY2010 ENACTED					FY2011 Request				
		FTE	FTP	Salaries	Program Costs	Total	FTE	FTP	Salaries	Program Costs	Total
US-CERT PPA		144	207	\$20,343	\$303,286	\$323,629	263	288	\$37,032	\$277,957	\$314,989
Incident Handling		43	64	\$5,943	\$15,257	\$21,200	52	52	\$6,823	\$14,213	\$21,036
	US-CERT Operations	24	32	3,418	15,154	18,572	36	36	4,582	14,110	18,692
	Business Operations	19	32	2,525	103	2,628	16	16	2,241	103	2,344
Analysis		26	36	\$3,611	\$27,416	\$31,027	42	44	\$5,602	\$21,748	\$27,350
	US-CERT Operations	26	36	3,611	27,416	31,027	42	44	5,602	21,748	27,350
Strategic Operations		16	18	\$2,283	\$14,701	\$16,984	18	20	\$2,536	\$14,193	\$16,729
	US-CERT Operations	4	4	575	4,776	5,351	6	6	798	4,528	5,326
	Global Cyber Security Management	12	14	1,708	9,925	11,633	12	14	1,738	9,665	11,403
Situational Awareness		56	86	\$8,062	\$232,688	\$240,750	99	107	\$13,090	\$213,897	\$226,987
	US-CERT Operations	14	23	1,971	18,303	20,274	28	28	3,690	16,707	20,397
	Federal Network Security	11	17	1,512	15,157	16,669	21	28	2,616	23,602	26,218
	Network Security Deployment	22	32	3,202	190,466	193,668	39	40	5,226	167,699	172,925
	Business Operations	9	14	1,377	8,762	10,139	11	11	1,558	5,889	7,447
Production		3	3	\$444	\$8,224	\$8,668	6	6	\$805	\$7,836	\$8,641
	US-CERT Operations	3	3	444	8,224	8,668	6	6	805	7,836	8,641
Cybersecurity Coordination					\$5,000	\$5,000	27	40	\$4,181	\$5,819	\$10,000
	Cybersecurity Coordination				5,000	5,000	27	40	4,181	5,819	10,000
AS CS&C							19	19	\$3,995	\$251	\$4,246
	ASCSC PPA						19	19	3,995	251	4,246
STRATEGIC INITIATIVES PPA		28	37	\$3,943	\$60,236	\$64,179	29	38	\$4,024	\$52,856	\$56,880
Critical Infrastructure Protection		6	8	\$1,012	\$12,452	\$13,464	6	8	\$1,030	\$8,713	\$9,743
	Critical Infrastructure Cyber Protection & Awareness	6	8	1,012	12,452	13,464	6	8	1,030	8,713	9,743
Training & Education		1	1	\$135	\$5,847	\$5,982	1	1	\$137	\$1,365	\$1,502
	Global Cyber Security Management	1	1	135	1,447	1,582	1	1	137	1,365	1,502
	Critical Infrastructure Cyber Protection & Awareness				4,400	4,400					
Software Assurance		2	3	\$338	\$2,641	\$2,979	2	3	\$348	\$2,510	\$2,858
	Global Cyber Security Management	2	3	338	1,809	2,147	2	3	348	1,678	2,026
	Critical Infrastructure Cyber Protection & Awareness				832	832				832	832
Cyber Exercises		5	6	\$661	\$3,701	\$4,362	5	7	\$539	\$7,102	\$7,641
	Critical Infrastructure Cyber Protection & Awareness	5	6	661	3,701	4,362	5	7	539	7,102	7,641
Standards & Best Practices		3	4	\$391	\$6,431	\$6,822	3	4	\$401	\$3,295	\$3,696
	Global Cyber Security Management	3	4	391	1,888	2,279	3	4	401	1,752	2,153
	Critical Infrastructure Cyber Protection & Awareness				4,543	4,543				1,543	1,543
ISS Line of Business		3	3	\$421	\$2,600	\$3,021	3	3	\$427	\$2,600	\$3,027
	Federal Network Security	3	3	421	2,600	3,021	3	3	427	2,600	3,027
Control Systems		8	12	\$985	\$26,564	\$27,549	9	12	\$1,142	\$27,258	\$28,400
	Critical Infrastructure Cyber Protection & Awareness	8	12	985	26,564	27,549	9	12	1,142	27,258	28,400
AS CS&C									\$13	\$13	
	ASCSC PPA								13	13	
OUTREACH & PROGRAMS PPA		14	16	\$1,935	\$7,411	\$9,346	14	16	\$1,981	\$4,894	\$6,875
Stakeholder Outreach, Communications & Coordination		3	5	\$474	\$3,592	\$4,066	3	5	\$484	\$3,336	\$3,820
	Critical Infrastructure Cyber Protection & Awareness	3	5	474	3,592	4,066	3	5	484	3,336	3,820
International Affairs & Public Policy		2	2	\$293	\$653	\$946	2	2	\$298	\$656	\$954
	Critical Infrastructure Cyber Protection & Awareness	2	2	293	653	946	2	2	298	656	954
Planning & Programs		9	9	\$1,168	\$916	\$2,084	6	6	\$714	\$902	\$1,616
	Business Operations	9	9	1,168	916	2,084	6	6	714	902	1,616
Information Sharing & Collaboration					\$2,250	\$2,250					
	Global Cyber Security Management				2,250	2,250					
AS CS&C							3	3	\$485	\$485	
	ASCSC PPA						3	3	485	485	
TOTAL		186	260	\$26,221	\$370,933	\$397,154	306	342	\$43,037	\$335,707	\$378,744

11 Proposed Budget Structure

CYBERSECURITY COORDINATION PPA					\$5,000	\$5,000	27	40	\$4,181	\$5,819	\$10,000
	Cybersecurity Coordination				5,000	5,000	27	40	4,181	5,819	10,000
CYBERSECURITY PPA		186	260	\$26,221	\$365,933	\$392,154	257	280	\$34,376	\$329,624	\$364,000
	US-CERT Operations	71	98	10,019	73,873	83,892	118	120	15,477	64,929	80,406
	Federal Network Security	14	20	1,933	17,757	19,690	24	31	3,043	26,202	29,245
	Network Security Deployment	22	32	3,202	190,466	193,668	39	40	5,226	167,699	172,925
	Global Cyber Security Management	18	22	2,572	17,319	19,891	18	22	2,624	14,460	17,084
	Critical Infrastructure Cyber Protection & Awareness	24	33	3,425	56,737	60,162	25	34	3,493	49,440	52,933
	Business Operations	37	55	5,070	9,781	14,851	33	33	4,513	6,894	11,407
SUBTOTAL		186	260	\$26,221	\$370,933	\$397,154	284	320	\$38,557	\$335,443	\$374,000
ASCSC PPA							22	22	4,480	264	4,744
TOTAL							306	342	\$43,037	\$335,707	\$378,744

DESCRIPTION:

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Program Performance Justification**
(Dollars in Thousands)

PPA: Cybersecurity

Cybersecurity			
	\$ in Thousands		
	FTE	FTP	Amount
FY 2009 Actual	79	128	\$252,140
FY 2010 Enacted*	186	260	\$392,154
2011 Adjustments to Base	65	9	-\$14,146
2011 Current Services	251	269	\$378,008
2011 Program Changes	6	11	-\$14,008
FY 2011 Request	257	280	\$364,000
Total Change 2010-2011	71	20	-\$28,154
*Total does not include \$5 million enacted for Cybersecurity Coordination.			

NPPD requests \$364.000 million for Cybersecurity, including 280 positions and 257 FTE. This represents a decrease of \$28.154 million over the FY 2010 enacted budget of \$392.154 million¹. These funds support NPPD’s role in the Comprehensive National Cybersecurity Initiative and other cybersecurity activities, and will be executed under the following: US-CERT Operations, Federal Network Security, Network Security Deployment, Global Cyber Security Management, Critical Infrastructure Cyber Protection and Awareness, and Business Operations.

The FY 2011 request for Cybersecurity includes adjustments-to-base for annualization of \$2.203 million for 16 FTE received in FY 2010; pay inflation of \$0.348 million; GSA Rent escalation of \$0.046 million; and 30 positions / 71 FTE additional Federal positions offset by \$9.571 million in program/contract dollars; a decrease of \$8.000 million for Data Center Migration; and a transfer of \$4.000 million to the Federal Law Enforcement Training Center for the National Computer Forensics Institute. The Adjustments to Base in the table above also reflect the Assistant Secretary for CS&C Realignment of 22 FTE/FTP and \$4.744 million.

Program changes are a net decrease of \$14.007 million and an increase of 11 positions / 6 FTE, and specifically include: an increase of \$0.069 million to US-CERT Operations; an increase of \$9.528 million, including 11 positions / 6 FTE to Federal Network Security to enable the implementation of the Assessment, Testing and Analysis Capability (ATAC) program; a decrease of \$12.903 million to Network Security Deployment; a decrease of \$2.842 million to

¹ The FY 2010 Enacted amount does not include \$5 million appropriated for Cybersecurity Coordination.

Global Cyber Security Management; a decrease of \$7.401 million to Critical Infrastructure Cyber Protection and Awareness; and a decrease of \$0.458 million to Business Operations.

This PPA encompasses activities under: US-CERT Operations, Federal Network Security, Network Security Deployment, Global Cyber Security Management, Critical Infrastructure Cyber Protection and Awareness, and Business Operations. Additional details on each activity follows below:

US-CERT Operations

\$ in Thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	71	98	\$10,019	118	120	\$15,477	47	22	\$5,458
<i>Mission Management</i>			\$22,487			\$21,330			-\$1,157
<i>Business, Performance & Planning</i>			\$6,837			\$2,410			-\$4,427
<i>Analysis</i>			\$21,641			\$19,840			-\$1,801
<i>Detection</i>			\$22,908			\$21,349			-\$1,559
Program Costs			\$73,873			\$64,929			-\$8,944
Total	71	98	\$83,892	118	120	\$80,406	47	22	-\$3,486

To accomplish its mission, US-CERT Operations is comprised of four functional areas:

- *US-CERT Operations Mission Management* encompasses the activities that provide immediate customer support and incident response, including 24x7x365 support of the National Cybersecurity and Communications Integration Center, which has connectivity to all major Federal cyber operations centers, industry and international partners.
- *US-CERT Operations Business, Performance, and Planning* supports the US-CERT mission through integrated planning and sustainable financial, acquisition, and human capital management.
- *US-CERT Operations Analysis* provides several levels of analytical insight into cyber activities. In near-real time, its analysts examine raw and summarized data from a wide variety of information sources to make determinations about potential attacks detected by the National Cybersecurity Protection System's alerting system.
- *US-CERT Operations Detection* supports the implementation of tools and technologies, including monitoring of deployed sensors and creation of threat signatures, countermeasures, and scenarios to provide the ability to rapidly detect and categorize cyber activities that could pose a potential risk to US-CERT stakeholders.

Federal Network Security

\$ in Thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	14	20	\$1,933	24	31	\$3,043	10	11	\$1,110
<i>Requirements & Acquisition Support</i>			\$2,600			\$2,600			\$0
<i>Network & Infrastructure Security (TIC)</i>			\$5,062			\$4,926			-\$136
<i>Compliance & Oversight</i>			\$8,875			\$17,728			\$8,853
<i>Infrastructure Security Management</i>			\$1,220			\$948			-\$272
Program Costs			\$17,757			\$26,202			\$8,445
Total	14	20	\$19,690	24	31	\$29,245	10	11	\$9,555

Federal Network Security utilizes a holistic approach to Federal government network security that enables Federal partners to address cybersecurity challenges in a manner that maximizes value and minimizes risks associated with technology and security investments.

To accomplish its mission, Federal Network Security is comprised of four functional areas:

- *Requirements and Acquisitions Support* supports the long-term strategic prevention of attacks against Federal government networks by addressing common challenges faced by all departments and agencies.
- *Network and Infrastructure Security* leads the Comprehensive National Cybersecurity Initiative Trusted Internet Connections (TIC) Initiative with the Office of Management and Budget. It optimizes network security capabilities into a common solution for the Federal information enterprise and facilitates the reduction, and consolidation of external connections, including Internet points of presence, through approved access points.
- *Compliance and Assurance Program* ensures that implementation efforts across the Federal enterprise are in compliance with information technology security policy directives and statutes.
- *Security Management* supports Federal partners' by promoting cybersecurity directives and statutes, including Office of Management and Budget and National Institute of Standards and Technology guidelines and special publications.

Network Security Deployment

\$ in Thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	22	32	\$3,202	39	40	\$5,226	17	8	\$2,024
<i>System Engineering & Integration</i>			\$18,884			\$17,045			-\$1,839
<i>Deployment, Logistics & Sustainment</i>			\$99,702			\$92,625			-\$7,077
<i>Program Management & Acquisition</i>			\$37,436			\$34,031			-\$3,405
<i>Business, Investment & Budget</i>			\$26,444			\$23,998			-\$2,446
<i>Data Center Migration</i>			\$8,000			\$0			-\$8,000
Program Costs			\$190,466			\$167,699			-\$22,767
Total	22	32	\$193,668	39	40	\$172,925	17	8	-\$20,743

Network Security Deployment is responsible for the development, acquisition, deployment, and support required for the National Cybersecurity Protection System, operationally known as EINSTEIN, which is an integrated intrusion detection/prevention system that encompasses the hardware, software, and other components being procured specifically to support the Department's Comprehensive National Cybersecurity Initiative mission.

To accomplish its mission, Network Security Deployment is comprised of four functional areas: *System Engineering and Integration*; *Program Management and Acquisition*; *Deployment, Logistics and Sustainment*; and *Business, Investment and Budget*.

Global Cyber Security Management

\$ in Thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	18	22	\$2,572	18	22	\$2,624	0	0	\$52
<i>Software Assurance</i>			\$1,809			\$1,678			-\$131
<i>Standards, Best Practices & R&D Coordination</i>			\$4,138			\$1,752			-\$2,386
<i>Cyber Education</i>			\$6,909			\$6,691			-\$218
<i>Supply Chain Risk Management</i>			\$4,463			\$4,339			-\$124
Program Costs			\$17,319			\$14,460			-\$2,859
Total	18	22	\$19,891	18	22	\$17,084	0	0	-\$2,807

Global Cyber Security Management develops and promulgates sound practices for software developers, information technology security professionals and other critical infrastructure and key resources stakeholders. Global Cyber Security Management also addresses the need to build a skilled cyber workforce for today and tomorrow and provides a set of comprehensive resources that can be used to appropriately manage supply chain risk across the lifecycle of networks, systems, and components.

To accomplish its mission, Global Cyber Security Management is comprised of four functional areas:

- *Software Assurance* seeks to improve software development and acquisition processes by way of forums, working groups, and best practices collaborations.
- *Standards, Best Practices, and Research and Development Coordination* standardizes cyber vulnerability nomenclatures, making it possible to respond to vulnerabilities more efficiently as information is correlated across vendor products, and coordinates cybersecurity research and development priorities conducted through the Department's various programs.
- *Cyber Education and Workforce Development* addresses the need to build a skilled cybersecurity workforce for today's and tomorrow's Federal government in accordance with the Comprehensive National Cybersecurity Initiative and other cybersecurity mandates.
- *Supply Chain Risk Management* works collaboratively with the Department of Defense to develop a method to provide the Federal enterprise the ability to manage and mitigate global information and communications technology supply chain risks.

Critical Infrastructure Cyber Protection and Awareness

\$ in Thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	24	33	\$3,425	25	34	\$3,493	1	1	\$68
<i>Outreach & Awareness</i>			\$7,245			\$3,992			-\$3,253
<i>Control Systems Security</i>			\$26,564			\$27,258			\$694
<i>CIP - Cyber Security</i>			\$12,052			\$8,313			-\$3,739
<i>Cyber Exercises</i>			\$10,876			\$9,877			-\$999
Program Costs			\$56,737			\$49,440			-\$7,297
Total	24	33	\$60,162	25	34	\$52,933	1	1	-\$7,229

Critical Infrastructure Cyber Protection and Awareness collaborates with the public and private sectors to assess and mitigate risk to the Nation's cyber critical infrastructure and key resources

and promotes cybersecurity awareness among and within the general public and key communities, maintains relationships with governmental cybersecurity professionals to share information about cybersecurity initiatives, and develops partnerships to promote collaboration on cybersecurity issues.

To accomplish its mission, Critical Infrastructure Cyber Protection and Awareness is comprised of three functional areas:

- *Outreach and Awareness* coordinates domestic and international engagement and outreach on behalf of the National Cyber Security Division and promotes cybersecurity awareness among and within the general public and key communities, maintains relationships with governmental cybersecurity professionals to share information about cybersecurity initiatives, and develops partnerships to promote collaboration on cybersecurity issues.
- *Control Systems Security Program* focuses on reducing the cyber risk to industrial control systems within the Nation’s critical infrastructure and key resources.
- *Critical Infrastructure Protection-Cyber Security* strengthens the Nation’s preparedness through public and private partnerships that work to improve the security of the Information Technology Sector, serving as the designated Sector-Specific Agency.
- *Cyber Exercises Program* plans, coordinates, and conducts cyber-focused exercises that prepare and enhance incident operational capabilities for the Department and its Federal, State, local, regional, international, and private sector partners.

Business Operations

\$ in Thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	37	55	\$5,070	33	33	\$4,513	-4	-22	-\$557
<i>Business Operations</i>			\$3,769			\$1,307			-\$2,462
<i>Facilities</i>			\$6,012			\$5,587			-\$425
Program Costs			\$9,781			\$6,894			-\$2,887
Total	37	55	\$14,851	33	33	\$11,407	-4	-22	-\$3,444

Business Operations is responsible for supporting the National Cyber Security Division leadership in setting direction to overall cybersecurity strategy and planning; in ensuring appropriate resources are available to support the mission; developing strategic implementation plans, including performance measures and milestones, focusing on the division’s priorities, initiatives, and financial processes; and in preparing, justifying, and administering the National Cyber Security Division budget. It integrates resource management, human capital, facilities, performance management, and policy development and implementation into the broad array of issues addressed by National Cyber Security Division leadership.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Program Performance Justification**
(Dollars in Thousands)

PPA: Cyber Coordination

	\$ in Thousands		
	FTE	FTP	Amount
FY 2009 Enacted	0	0	\$0
FY 2010 Enacted	0	0	\$5,000
2011 Adjustments to Base	14	14	\$0
2011 Current Services	14	14	\$5,000
2011 Program Changes	13	26	\$5,000
FY 2011 Request	27	40	\$10,000
Total Change 2010-2011	27	40	\$5,000

NPPD is requesting that Cybersecurity Coordination be established as a PPA within IPIS. Cyber Coordination funds the National Cyber Security Center (NCSC).

\$ thousands	FY 2010			FY 2011			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	0	0	\$0	27	40	\$4,181	27	40	\$4,181
Program Costs			\$5,000			\$5,819			\$819
Total	0	0	\$5,000	27	40	\$10,000	27	40	\$5,000

As stated in National Security Presidential Directive 54 (NSPD 54)/Homeland Security Presidential Directive 23 (HSPD 23), paragraph 29(d) - the NCSC is to ensure that Federal agencies have access to and receive information and intelligence needed to execute their respective cybersecurity missions. All six service areas have been designed to deliver on that mandate, each with its own unique capability that enhances another service area. The integrating capabilities, processes and tools the Center deploys will strengthen each individual center's mission; provide integrated national situational awareness; and integrated cyber incident response.

The NCSC plans to deliver on six key service areas:

- *Mission Integration* facilitates the integration of the six participating centers through common or aligned processes, procedures and techniques. The six participating centers include: the United States Computer Emergency Response Team (US CERT), the NSA Threat Operations Center (NTOC), the Intelligence Community Incident Response Center (IC-IRC), the US STRATCOM Cyber Command (CYBERCMD), the Department

of Defense Cyber Crimes Center (DC3), and the National Cyber Investigative Joint Task Force (NCIJTF.)

- *Collaboration and Coordination* facilitates professional collaboration and managing the partnership agreement process with each center. The partnership agreements and the mission integration officers work to provide the cross organizational information sharing process. As an example, if US CERT needs information from DC3 to fulfill an information gap, and that same information is needed for CYBERCMD, the partnership agreements and mission integration officers will serve as the mechanism(s) for multi-cross organizational information sharing.
- *Situational Awareness and Cyber Incident Response* sustains an integrated national situational awareness capability for operational and strategic means at all three classification levels. Provides support to steady state incident response and lead national cyber incident response efforts. Develops and deploy an integrated incident management system of detection, analysis, alert and notification, and response/remediation. Under the Situational Awareness and Cyber Incident Response team, this unit will support the Secretary as the Principal Federal Official for cyber under the National Infrastructure Protection Plan (NIPP).
- *Analysis and Reporting* reports daily, weekly and annually on the composite state of the U.S. Cyber Networks and Systems. Conducts system wide incident analysis, and integrated incident response planning. Convenes and manages the cyber incident investigative capability, modeled after other successful federal investigative capabilities. Critical to this effort is for the Center to operate at all three classification levels - in order to share information across all classification domains and to build mechanisms to down grade information to a lower classification level to share information more broadly.
- *Knowledge Management* provides a portal with a compendium of cybersecurity information and intelligence for cybersecurity professionals, analysts and center customers. Sustains a national cyber incident database. This knowledge management system will provide the means for on-line collaboration, correlation analysis, discovery, and trend studies.
- *Technology Development and Management* provides enabling IT support for the center and provides enterprise tools and capabilities (process, tool deployment and common procedures) for all six centers.

Department of Homeland Security
National Protection & Programs Directorate
United States Visitor and Immigrant Status Indicator Technology



Fiscal Year 2011
Overview
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

US-VISIT

I. Appropriation Overview

A – Mission Statement for US-VISIT

The mission of the Department of Homeland Security (DHS) United States Visitor and Immigrant Status Indicator Technology (US-VISIT) Program is to provide biometric identification through the collection, maintenance, and sharing of biometric and selected biographic data to authorized DHS, Federal, State, local, and law enforcement agencies in support of the DHS mission. Through its use of biometrics, US-VISIT collects, stores, and shares digital fingerprints and digital photographs for subsequent verification. This biometric information is paired with biographic information used to establish and verify an individual's identity, as well as to vet that identity against criminal and immigration violator watchlist. US-VISIT also analyzes biographic data for the identification of potential overstays.

US-VISIT established four guiding principles to accomplish its mission: (1) enhance the security of our citizens and visitors; (2) facilitate legitimate travel and trade; (3) ensure the integrity of our immigration system; and (4) protect the privacy of our visitors. US-VISIT is a key component of a multi-layered, multi-agency defense that is integral to domestic security. US-VISIT satisfies legislative and DHS mandates, and contributes to DHS immigration and border management goals and provides U.S. citizens and foreign visitors with a safer and more facilitative border security and immigration process.

B – Budget Activities

Systems Operations and Maintenance (O&M) – US-VISIT operates and maintains two major automated identification systems in support of its mission: the Automated Biometric Identification System (IDENT) for biometric data and the Arrival and Departure Information System (ADIS) for biographic data. US-VISIT provides the information technology (IT) support enabling identity verification and screening services through these systems, including the support infrastructure providing the foundation for enhancing and developing new capabilities. O&M includes systems operations and maintenance, development of IT architecture and platforms for user and program interfaces, data center operations support and services, network and data communications integration and support, and technical IT support services.

IDENT processes more than 135,000 transactions per day for DHS and the Department of State (DOS), as well as for other stakeholders. At the end of FY 2009, IDENT stored more than 106 million fingerprint records of individuals and contained biometric data for legitimate travelers to the United States, immigration benefit seekers, and immigration

violators. IDENT contains biometric watchlist and enrolled fingerprints that are compared to identify persons who should be more closely scrutinized prior to entering the United States or prior to being granted visas or immigration benefits. The biometric watchlist contains information on known or suspected terrorists (KSTs), criminals, sexual offenders, domestic and international fugitives, threats to officer safety, military detainees, persons of interest, and immigration violators. Each time DHS encounters an individual, his or her fingerprints are compared against the watchlist and the results returned to the agency fingerprint submitter. At the initial encounter, the individual is enrolled and his or her biometric data is stored in IDENT. The individual's fingerprints are compared against the enrollment to verify identity on each subsequent encounter. Each time fingerprints are taken, the reason for the encounter—such as entry to the United States at an air, sea, or land port of entry (POE), or application for a visa or immigration benefits—is recorded in IDENT. For example, when a foreign traveler provides fingerprints to a U.S. Customs and Border Protection (CBP) officer at a POE, the identity verification and watchlist results are provided back to the officer within 10 seconds. Identity verification or matches against a watchlist assist decisionmakers in determining admissibility or eligibility for immigration benefits. Using an automated system quickly enables the identification of KSTs, criminal aliens, and repeat immigration violators, even by those who resort to the use of fraudulent documents and aliases.

ADIS contains arrivals, departures, and current immigration status about noncitizens. This information is gathered from Traveler Enforcement Compliance System officer-confirmed arrivals, I-94 forms, and other traveler information. ADIS compares departures with arrivals to create a complete record of events for more than 200 million foreign travelers and identifies whether travelers have possibly overstayed their admissibility.

Identity Screening Services – US-VISIT is the DHS focal point for providing identity screening services, handling a large workload providing diverse assistance and timely responses to DHS in supporting immigration and border management as well as to international stakeholders. The IDENT and ADIS systems are supported by fingerprint examiners and analysts in US-VISIT's Identity Services Branch. The fingerprint analyses conducted by examiners in the Biometric Support Center (BSC) provide real-time human biometric verification services, supplementing IDENT automated matching. Data Integrity Group (DIG) analysts work with data from ADIS and other systems to identify and verify overstay violators. Watchlist records are created for overstay violators and persons of interest with known immigration violations or criminal records. Law Enforcement and Intelligence (LE&I) personnel coordinate with law enforcement and intelligence agencies' operational activities to improve US-VISIT data systems accuracy and usefulness, including management of the US-VISIT watchlist. US-VISIT also shares information with, and provides technical assistance to, other nations engaged in developing and supporting their own biometric capabilities for border and immigration management programs. Further, US-VISIT Information Sharing and Technical Assistance (ISTA) branch staff supports DHS efforts to ensure advanced and coordinated research and standards on biometric applications. These services provide identity

management and screening support and reliable information to US-VISIT operational customers and stakeholders.

Program Management Services – US-VISIT funds the Federal and contractor support staff who maintain mission essential IT systems, manage the manual identity verification services and the projects resulting in improved capabilities, and mission support functions such as policy and planning.

Data Center Mirroring and Migration – US-VISIT data center operations represent an integral element within the US-VISIT service delivery framework. Presently, US-VISIT systems are hosted in two Department of Justice (DOJ) data centers. This hosting includes physical areas, rack supports, service support, hardware maintenance, memory and storage capacity, data and backup management, operating systems level support, disaster recovery, and network fiber optics and cabling infrastructures. DHS has mandated the consolidation of all component data centers into two DHS enterprise data centers. US-VISIT must migrate its systems by FY 2012. US-VISIT data center environments are not 100-percent redundant and currently operate at 50-percent redundancy. US-VISIT IDENT and ADIS systems are critical to the Nation’s safety and security. Therefore, a redundancy is required to replicate current data center operations before migration to the two DHS enterprise data centers.

Unique Identity – Full Operational Capability – Full Operational Capability includes integrated workstreams for achieving interoperability between IDENT and Integrated Automated Fingerprint Identification System (IAFIS). The objective of collecting and storing 10-prints is to facilitate travel by reducing the number of travelers sent for secondary processing; provide more matchable data, which reduces the likelihood of misidentifying a traveler as being on a US-VISIT watchlist; and increase opportunities to identify persons of interest, as 10-prints are more likely to be matched to latent fingerprints collected and maintained in criminal and intelligence biometric data stores. Interoperability with both foreign and domestic partners enriches the biometric database used by border management, intelligence, and law enforcement agencies. In conjunction with 10-prints, enhanced data sharing through interoperability increases the probability of identifying persons of interest and enhances law enforcement actions.

Legislative and Administrative Mandates – The budget requests resources necessary for DHS to meet essential legislative mandates and DHS strategic goals:

The Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRIRA), Public Law 104-208, requires the development of an automated entry and exit control system to collect records of departure and to match them with records of arrival.

The Immigration and Naturalization Service Data Management Improvement Act of 2000, Public Law 106-215, amends IIRIRA to require that the entry and exit data system integrate all “authorized or required” alien arrival and departure data; use available data to match an alien’s arrival and departure; assist the Attorney General (now the Secretary of Homeland Security) and the Secretary of State to identify lawfully admitted nonimmigrants who have overstayed their periods of admission; use available data to

produce a report of arriving and departing aliens by nationality, classification as an immigrant or nonimmigrant, and dates of arrival in and departure from the United States; and be implemented at all air and sea POEs by December 31, 2003, at all air and sea ports and the 50 land border ports serving the highest numbers of aliens by December 31, 2004, and at all POEs by December 31, 2005.

The Visa Waiver Permanent Program Act of 2000, Public Law 106-396, requires that the entry and exit data system –

- Contain records of arrival and departure of every alien admitted under the Visa Waiver Program (VWP) who arrives and departs by air or sea
- Contain sufficient data to permit the Attorney General (now the Secretary of Homeland Security), for each fiscal year, to calculate the percentage of each VWP country's nationals who are admitted under the VWP and for whom no departure record exists
- Use available data to produce a detailed annual report to Congress by December 31 of each year containing the numbers of departing aliens with their nationalities, successful arrival/departure matches, and classifications by immigrant or nonimmigrant, VWP, and other immigrants for whom no departure data is available at the end of the alien's authorized period of stay, among other specific information
- Record arrivals and departures of every VWP alien transiting through air and sea ports by October 1, 2001

The Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism (USA PATRIOT) Act, Public Law 107-56, requires that the entry and exit data system be implemented with all deliberate speed and as expeditiously as practicable, particularly focused on using biometrics and tamper-resistant documents, and be able to interface with law enforcement databases for use by Federal law enforcement to identify and detain individuals who are threats to national security.

The Enhanced Border Security and Visa Entry Reform Act of 2002 (EBSVERA), Public Law 107-173, requires that the entry and exit data system –

- Use technology and biometric standards to be developed by the National Institute of Standards and Technology, in consultation with other agencies, for alien identification and other purposes
- Be accessible at POEs and overseas consular posts
- Consist of equipment and software to allow biometric comparison and authentication of all U.S. visas, other travel and entry documents issued to aliens, and the machine-readable, biometric passports required to be issued to nationals of VWP countries at all POEs by October 26, 2005
- Have database(s) containing alien arrival and departure data from machine-readable visas, passports, and other travel and entry documents
- Use technologies that facilitate the lawful and efficient cross-border movement of commerce and persons without compromising the safety and security of the United States

- Be integrated into the new and broader Immigration and Naturalization Data System that fully integrates all the former Immigration and Naturalization Service databases and data systems that process or contain alien information

The Intelligence Reform and Terrorism Prevention Act of 2004 (IRTPA), Public Law 108-458, Section 7208, specifically addresses biometric entry and exit and calls for the Secretary of Homeland Security to accelerate the full implementation of US-VISIT.

The Implementing Recommendations of the 9/11 Commission Act, Public Law 110-53, Section 711, calls for the creation of a biometric exit system at airports to record the departure of VWP travelers. Such an air exit system must match biometrics against watchlists and immigration information and compare biometrics against the departure manifest to confirm the individual alien's departure from the United States.

C – Budget Request Summary

US-VISIT requests 412 full-time positions (FTPs), 399 full-time equivalents (FTEs), and \$334.613 million. The net program decrease is \$39.149 million over the FY 2010 Enacted budget of \$373.762 million.

Adjustments-to-Base:

- *Annualization of 2010 Pay Raise* – (0 FTP, 0 FTEs, \$0.093 million increase). Salaries and benefits for FY 2010.
- *2011 Pay Increase* – (0 FTP, 0 FTEs, \$0.315 million increase). Salaries and benefits for FY 2011.
- *GSA Rent* – (0 FTP, 0 FTEs, \$0.064 million increase). All payments to the General Services Administration for rental of office space and rent-related services.

Program Changes:

- *Systems Operations and Maintenance* – (0 FTP, 0 FTE, \$1.794 million decrease). A \$1.794 million decrease will require US-VISIT to extend a portion of the two-print fingerprint matcher refresh.
- *Identity Screening Services* – (0 FTP, 0 FTE, \$0.65 million decrease). The requested program change will maintain current service levels for existing customers.
- *Program Management Services* – (200 FTP, 200 FTE, \$12.632 million decrease). A \$12.632 decrease in Program Management Services will require US-VISIT to reduce contractor staffing and increase Federal staffing to offset the reduction.
- *Data Center Mirror and Migration* – (0 FTP, 0 FTE, \$1.266 million decrease). The requested program change defers a portion of this effort to occur in FY 2012.¹

¹ The US-VISIT program change for data center migration reflects the net change amount of a \$16.266M decrease from FY 2010 enacted US-VISIT funding for data center migration and a \$15M one-time enhancement from the consolidated DHS CIO data center funding.

- *Unique Identity - Full Operational Capability* – (0 FTP, 0 FTE, \$2.848 million decrease). The requested program change will maintain current service levels for existing US-VISIT operational customers and stakeholders.
- *US-VISIT 1.0* – (0 FTP, 0 FTE, \$1.569 million increase). The requested program change is to provide initial funding for US-VISIT to address system performance limitations and increasing O&M costs through the evaluation of technologies that will leverage a modernized architecture, resulting in an increasing transaction throughput and reducing the US-VISIT hardware footprint at DHS data centers.
- *Comprehensive Biometric Exit* – (0 FTP, 0 FTE, \$22 million decrease). The requested program change will temporarily eliminate funding for Comprehensive Biometric Exit in FY 2011, pending DHS decisions on policy implementation.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT**

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
US-VISIT	131	296,659	199	373,762	399	334,613	200	(39,149)	200	(39,621)	-	472
Subtotal, Enacted Appropriations and Budget Estimates	131	296,659	199	373,762	399	334,613	200	(39,149)	200	(39,621)	-	472
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	131	296,659	199	373,762	399	334,613	200	(39,149)	200	(39,621)	-	472

III. Current Services Program Description by PPA

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT
Program Performance Justification
(Dollars in Thousands)**

PPA: United States Visitor and Immigrant Status Indicator Technology

	Perm. Pos	FTE	Amount
2009 Actuals	150	131	296,659
2010 Enacted	212	199	373,762
2011 Adjustments-to-Base	-	-	472
2011 Current Services	212	199	374,234
2011 Program Change	200	200	(39,621)
2011 Total Request	412	399	334,613
Total Change 2010 to 2011	200	200	(39,149)

US-VISIT requests \$334.613 million in FY 2011 for ongoing operations, including the implementation of initiatives and deployment of capabilities, a decrease of \$39.149 million from the FY 2010 Enacted Budget of \$373.762 million.

CURRENT SERVICES PROGRAM DESCRIPTION:

Systems Operations and Maintenance (O&M)

<i>In thousands</i>	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request
Systems Operations and Maintenance	\$86,200	\$128,126	\$126,332

US-VISIT operates and maintains the IDENT and ADIS systems, providing essential biometric and biographic identity management services to US-VISIT customers in a reliable and timely fashion. US-VISIT maintains these systems to ensure they meet significant annual increases in transactions and gallery sizes (fingerprints stored within IDENT), and maintain established response times through service-level agreements.

IDENT and ADIS O&M is critical to the immigration and border management enterprise. US-VISIT technologies support the missions of CBP, U.S. Immigration and Customs Enforcement (ICE), U.S. Citizenship and Immigration Services (USCIS), U.S. Coast Guard (USCG), Department of Defense (DOD), DOS, DOJ, Transportation Security Administration (TSA), and the intelligence community. A failure to maintain deployed systems and capabilities would adversely impact data search and response times critical to stakeholder mission success.

O&M includes application support for adaptive, preventive, and perfective maintenance, release management, architecture support, interface support, configuration management, security certifications and accreditations, software licenses, and appropriate technology refreshes. The primary applications are IDENT, ADIS, and US-VISIT equipment and internal use systems (corporate systems). US-VISIT IT services are delivered in compliance with the DHS enterprise architecture standards and include platforms for users, program interfaces, data center operations, network communications integration and support, and related technical support services. Data center operations include the physical layout of equipment, hardware maintenance, searchable online (memory), storage capacity, data and recovery (backups) management, operating system services, and disaster recovery. Network support provides DOJ data centers network and circuit maintenance, controlled access to other DHS components, and specific interfaces to DOS and the US-VISIT program office. A centralized help desk provides support to US-VISIT systems and application users, as well as database administration, and local area networks at four metropolitan Washington, D.C., locations.

US-VISIT operations are a large and complex undertaking requiring uninterrupted operations, maintenance, and application support. US-VISIT currently maintains this operational support at two DOJ data centers (Dallas, Texas, and Rockville, Maryland) that provide logistical support for the deployment of identity verification services. IDENT operations currently are composed of approximately 500 servers, more than 100 highly specialized matchers, and 45 terabytes of data storage. US-VISIT is experiencing a growth rate of four terabytes per month in IDENT operations—a rate projected to continue increasing. ADIS operations currently consist of 16 high end-servers across the two data centers and process more than one million transactions a day within a five-terabyte database that is estimated to increase by nearly one terabyte per year.

There are two primary factors driving growth in gallery size and transaction volume associated with the O&M of the IDENT and ADIS systems: the normal growth attributable to servicing existing customers and the growth arising from new capabilities and new customers. ADIS currently is growing at about 300 million records annually. ADIS intends to add crossing data for the Electronic System for Travel Authorization (ESTA) and the Western Hemisphere Travel Initiative (WHTI); estimated to combine for an additional 300 million records per year. These will more than double transactions, volume input and throughput, and database storage requirements. As the database grows and the identity-matching candidate pool grows for travelers with duplicative names, ADIS will require faster hardware processing capability both to process twice as many records daily against an ever increasing candidate identity matching pool, and to sustain

established customer service levels. The customer base is expected to grow with the addition of DOS users in all foreign consulates, as ADIS data is used by DOS to determine visa eligibility and create a robust profile of visa violators and fraudulent activities utilized to obtain visas. These factors will add to the existing field-user base in the US-VISIT DIG, ICE Compliance Enforcement Unit (CEU), and CBP Office of Field Operations.

US-VISIT must invest in leading-edge hardware and software capable of meeting increased performance requirements against a continuously growing database and expanding alien population processed in border crossing operations, while simultaneously sustaining its performance for a widening customer base.

IDENT is experiencing continuing growth in gallery size and transactions driven by increasing service demands from existing customers. The gallery size at the end of the FY 2009 had approximately 106 million fingerprint records with expected growth (without new capabilities) projected at a minimum 18 million records annually.

A 75-year record retention policy for both ADIS and IDENT contributes to US-VISIT data storage and gallery size growth. The following table illustrates the actual and expected growth in gallery size and transaction volumes.

US-VISIT Current Services O&M Projected Growth

	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
Annual Transaction Volumes (in millions of transactions)	56	60	62	65	72	79	87
Gallery Size (in millions of records)	106	132	151	169	187	205	223

The second primary workload driver is IDENT capabilities expansion and improvement. IDENT has never operated in a true steady-state environment since its transfer to US-VISIT. New requirements, such as 10-print capture and IDENT/IAFIS interoperability initiatives continue to require funding to meet customer service levels.

While the US-VISIT biometric storage requirements are growing for both gallery size and transaction volume from FY 2010 to FY 2011, US-VISIT is evaluating server consolidation through virtualization technology to help keep the O&M costs at or below the current requirements. US-VISIT will avoid spending \$1,794,000 in FY 2011 O&M funds, as the virtualization will allow for multiple independent virtual operating systems on a single physical computer, resulting in a reduction of the number of servers, associated hardware, and support maintenance costs.

FY 2009 Accomplishments – O&M

IDENT

In FY 2009, US-VISIT adhered to service-level agreements with its customers while accommodating nearly a 15-percent growth in transaction volume over FY 2008 levels and a five million record increase in gallery size. The growth in gallery size, in particular, challenges the accuracy and timeliness of IDENT responses.

A summary of significant performance indicators includes:

- *POE Average IDENT Biometric Watchlist Search Time* – average number of seconds it takes the IDENT system to return a response about a traveler at any POE is 10 seconds or less. This measure is calculated monthly. The actual time was 8.62 seconds.
- *BioVisa (DOS) IDENT Biometric Watchlist Average Search Time* – average number of minutes it takes the IDENT system, when initially queried, to return a response about a visa applicant at any consular office is 5 minutes or less. This measure is calculated monthly. The actual time was 2.78 minutes.
- *Law Enforcement Average IDENT Biometric Watchlist Search Time* – average number of minutes it takes the IDENT system to complete a search of all of IDENT when CBP and ICE agents make an enforcement request is 2 minutes or less. This measure is calculated monthly. The actual time was 0.9 minutes.
- *Biometric Interoperability Average IDENT Biometric Watchlist Search Time* – average number of minutes it takes the IDENT system to return a response for a Federal/State/local/tribal user is 15 minutes or less. The actual time was 4.64 minutes.
- *IDENT Operational Availability* – ratio of the time that the IDENT system is available to process end-user transactions during the period divided by the total scheduled up-time for that period is 99.7 percent or greater. The actual time was 99.8 percent.
- *Watchlist False Accept Rate* – the probability that a traveler is erroneously identified as being on the watchlist is 0.04 percent or less. The actual probability was 0.037 percent.

ADIS

In FY 2009, US-VISIT experienced a 22-percent user increase as compared to FY 2008 due to new services deployed via ADIS web. It is imperative to ensure that ADIS system availability remains at 97 percent in the face of this continued growth.

A summary of significant accomplishments includes:

- *ADIS Release 3.2* - This release was deployed in July 2009 to a limited user base that included the US-VISIT DIG to evaluate the new JAVA web interface. After this limited user testing and acceptance was completed, the release was deployed to new web servers within the current data centers. The JAVA web interface was designed to match the current features and look-and-feel of the current web applications so that the current user base would have little or no learning curve. Additional programming was completed with regard to the ADIS graphical user

interface to ensure that it remains compliant with Section 508 standards for persons with disabilities. This change in the web application interface will streamline implementation of future enhancements and modifications.

- *ADIS Release 3.3* – This release was successfully deployed to the field users. This release included a change to a JAVA web interface that provided the user with the ability to tailor and save the output of ad-hoc search results; receive and process WHTI Vehicle Primary Client (WHTI VPC) interface messages; provide the user with the ability to have a method of performing drill-downs to observation details within an ad-hoc detail view; create a user interface to support ADIS web user administrator functions; and implement program changes to provide users with additional information and increased data accuracy.

An assessment to identify the challenges facing ADIS was completed in the third quarter of FY 2009. Subsequent reporting will provide an independent technical assessment of production system architecture and system revision recommendations.

Corporate Systems

US-VISIT is currently working with the NPPD Chief Information Officer to refine the migration plan for network services and program office IT help desk support. The plan is incremental and is expected to allow for full migration from ICE support to DHS enterprise network and help desk services. In order to assure continuity of operations, US-VISIT has entered into an FY 2010 support services agreement with ICE for continuation of services in the interim period.

US-VISIT deployed laptops and aircards to all government employees to enable the implementation of teleworking capabilities for US-VISIT Federal staff, which provides work flexibility and prepares the program to respond in the event of a disruptive scenario, such as a flu epidemic.

US-VISIT corporate O&M supports the US-VISIT Alternate Operating Facility (AOF) IT buildout in Baltimore, Maryland.

FY 2010 Planned Accomplishments – O&M

IDENT

In FY 2010, funds are requested to enable IDENT and ADIS to overcome challenges posed by increasing gallery size and transaction volumes and to continue adherence to previously established performance targets. Increased IDENT workload is anticipated as a result of rolling out additional 10-print and IDENT/IAFIS interoperability, including support for the Secure Communities initiative, expansion of mobile capabilities supporting law enforcement interaction with IDENT, expanding State and local support requests, and growth in credentialing transactions supporting DHS agency compliance with Homeland Security Presidential Directive 12.

US-VISIT plans to accomplish the following in FY 2010:

- Complete IDENT hardware refresh including matchers, database, and storage hardware. This refresh is the first year of a 5-year refresh cycle targeting approximately 20 percent of the IDENT matcher subsystem annually.
- Implementation of a modernized data storage and tape backup/recovery solution for production IDENT and ADIS database systems
- Implementation of the IT asset management and IT configuration management pilot processes and IT Service Management (ITSM) software management toolset
- Planning and analysis of the IT service desk pilot processes, ITSM software management toolset, and Phase 1 Operations Roadmap (stabilization objectives)
- Development of an enterprise monitoring strategy for US-VISIT IT Management (ITM) production systems
- Initial deployment and integration of the enterprise monitoring tools and ITSM software management toolset

ADIS

The most notable workload driver for ADIS will be incorporating WHTI, ESTA, and DOS data to provide a complete non-immigrant travel record. US-VISIT plans to accomplish the following in FY 2010:

- Maintain ADIS as required to achieve established performance metrics that include planned release management, hardware and software maintenance renewals, independent verification and validation support, database support, data center and network operations support, and break-and-fix support.
- Deployment of ADIS Release 3.4, which will include an integrated interface to the Secondary Inspection Tool, an updated interface to the FBI's Foreign Terrorist Tracking Task Force, and additional functionality to allow users to reconcile an individual's travel history. This release will also provide the user with additional capability to receive and process I-94 arrivals and departures, update messages from the I-94 automated air/sea records, and provide more accurate information.
- ADIS Release 3.5 will include the migration of ADIS to an Oracle 11g environment. This change in environments will allow the partitioning of database tables to improve performance on the new IBM 595 platform.
- ADIS Release 3.6 will include an automated interface with DOS. Also within this release will be enhanced system change requests to provide more accurate information.
- ADIS Technical Assessment and the Lawrence Livermore National Laboratory Assessment will provide a review, analysis, prioritization, and an estimated schedule of recommendations to be implemented based on the assessment findings.

Corporate Systems

In FY 2010, US-VISIT Corporate Systems includes funding for email and web-enabled telephones (hardware and service), laptops, aircards, and assorted peripherals required to support the growing US-VISIT Federal workforce. Corporate Systems includes all annual software licenses and advisory services including those for Microsoft, Oracle,

Gartner and the Corporate Executive Board, ICE network connectivity, and IT support services and help desk support.

US-VISIT Corporate Systems planned accomplishments include:

- The final phases of the AOF in Baltimore, Maryland, will be completed, allowing back-up and recovery between the primary US-VISIT office and the AOF.
- US-VISIT corporate O&M will support the next iteration of the General Support Systems upgrades enabling the fulfillment of newly developed requirements by Business users.
- The US-VISIT Program Office IT infrastructure will be migrated from ICE support to DHS Onenet infrastructure.

FY 2011 Projected Accomplishments – O&M

US-VISIT is projecting to accomplish the following:

IDENT

- Consolidate servers through virtualization, allowing the scaling down of servers and improved efficiencies by creating multiple operating environments, thereby reducing hardware and support maintenance costs. Virtualization is a method of running multiple independent virtual operating systems on a single physical computer to maximize physical resources while reducing hardware costs.
- Obtain skilled resources to identify servers to be consolidated, purchase virtualization software licenses, and identify machines to virtualize.
- Research and implement an Instant Recovery Strategy with the purpose of supporting the US-VISIT mission by maintaining a 24/7/365 environment that provides constant uptime to all domestic and international partners.
- Develop a Synthetic Transaction Strategy to monitor end-to-end system process flows for US-VISIT applications, allowing US-VISIT to mimic user transactions and identify service impacts from the user community, such as POEs.
- Implement the Operations Roadmap Phase 2 and provide an efficient operating environment to meet target operational goals.
- Develop IT Infrastructure Library Processes for DHS Stennis Data Center.
- Initiate operations at the DHS Clarksville Data Center.

ADIS

- Maintain ADIS as required to the established performance measures that include planned release management, hardware and software maintenance and renewal agreements, independent verification and validation support, database support, data center and network operations support, and break-fix maintenance.
- Implement the applicable recommendations from the FY 2010 ADIS Technical Assessment and Lawrence Livermore National Laboratory technology assessments.

Corporate Systems

- Conduct a planned campus infrastructure refresh to include email and web-enabled telephones, workstations, laptops, printers, scanners, and software tools. The last refresh was completed in FY 2008 and the 3-year cycle is recognized as an IT industry standard. The refresh applies only to those items purchased in FY 2008 or earlier.

Identity Screening Services

<i>In thousands</i>	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request
Identity Screening Services	\$20,000	\$31,000	\$30,350

US-VISIT is the DHS central point for providing identity management and screening support. US-VISIT biometric and biographic matching functions improve the capabilities to manage and screen against watchlist records that include KSTs, persons of interest, and immigration violators. These capabilities strengthen national security; international, Federal, State, local and tribal government collaboration; and meet other user needs.

Identity Screening Services provides IDENT and ADIS systems business management and oversight, real-time human biometric verification services, overstay analysis, and updates and maintains the US-VISIT watchlist and lookout records. US-VISIT meets its mission requirements through efforts in four areas: (1) positively confirming biometric identity by operating IDENT, supplemented with fingerprint analyses conducted by examiners in the BSC; (2) operating ADIS and analysis by the DIG enhancing biometric identification through biographic, overstay, and data integrity analysis; (3) coordinating LE&I operational activities to improve US-VISIT data systems accuracy and usefulness to the community through the LE&I branch; and (4) providing information sharing and technical assistance to other nations engaged in developing biometric capabilities supporting their border and immigration management programs, and supporting DHS efforts ensuring advanced and coordinated research and standards on biometric applications.

Collectively, these services uniquely identify individuals by providing person-centric, actionable information to US-VISIT operational customers.

FY 2009 Accomplishments – Identity Screening Services

Biometric Support Center

In FY 2009, the BSC supported existing end users at the FY 2008 service levels. Key performance results against targets for average performance, through the end of FY 2009:

- provide fingerprint verification decisions on urgent requests in 10 minutes or less; actual was 4.2 minutes

- provide fingerprint verification decisions on non-urgent requests within 24 hours; actual was 3.3 hours
- provide enrollment and verification of terrorism related prints in two hours or less; actual was 51.8 minutes

Of particular note was the continued increase in latent work being accomplished by the BSC. Due to enhanced data sharing efforts within DHS, as well as between US-VISIT and both DOD and DOJ, the BSC processed and enrolled 18,066 latent prints into its unsolved latent database for screening against the more than 100 million subject prints in IDENT in FY 2009. In FY 2009, this workload led to more than 4.6 million fingerprint comparisons, an 88-percent increase over FY 2008. These efforts resulted in 348 identifications, some of which have aided significantly in terrorism and criminal investigations. For example, on March 14, 2009, the BSC matched a latent print against a print in the US-VISIT database. The agency that submitted the print, California Department of Justice, was immediately contacted and provided with details regarding the individual who had 10 DHS apprehension encounters recorded in the US-VISIT database. The latent was from a cold case homicide in Turlock, California. Other latent matches over the course of the year included cases involving national security threats and resulted in individuals being watch-listed.

In FY 2009, manual fingerprint verifications (both urgent and non-urgent requests) as well as field-submitted lookout enrollments remained roughly level with FY 2008 levels. These efforts are critical to ensuring that DHS officers are quickly notified of watchlist hits, that legitimate travel is not adversely impacted, that officers are notified of DHS encounters, and that the integrity of biometric identity is maintained.

FY 2009 identifications of unknown individuals (typically deceased) have continued the upward trend from FY 2008, which is mainly attributable to increased awareness among the law enforcement community of the benefit of US-VISIT data. These efforts have led to the closure of cold cases, including a 19-year old unsolved homicide as well as the identification of a top ten wanted subject from a southern border state.

Data Integrity Group

FY 2009 marked continued advances in efforts to identify potential overstays and the DIG has nearly doubled all production trend measures from FY 2008 totals. This increase continues the emphasis on establishing lookouts to identify persons seeking re-entry or obtaining new visas who have previously overstayed their prior term of admission. This ability led to a significant increase in adverse actions at POEs and overseas consular offices. The following table shows the number of cases in which out-of-country lookouts and in-country referrals to ICE have resulted in arrests, denials of visas, or admissibility. Over the past 3 years, the work of the DIG has resulted in more than 3,000 individuals being arrested or denied entry.

DIG Historical Production Trends

Fiscal Year	Referred to ICE	Arrests Based on Referrals	Out-of-Country Lookouts	Port/Visa Refusals Based on Lookouts
2009	16,379	568	16,691	2,502
2008	13,343	715	13,276	1,441
2007	12,372	338	7,357	451
2006	4,155	139	457	5

In addition, the DIG achieved operating efficiencies through FY 2009 as a result of stability, increasing workforce experience, and through implementation of an additional automated vetting process through the Computer-Linked Application Management Information System. The average cost per in-country overstay leads had decreased from \$123 at the end of FY 2008 to \$87 at the end of FY 2009. The average cost per out-of-country overstay leads declined from a low of \$114 in FY 2008 to \$107 for FY 2009. The DIG eliminated the backlog of VWP traveler records in June 2009, 4 months ahead of schedule. The elimination of this backlog allows the DIG to vet all current VWP overstay records and will increase the viability of records being vetted and forwarded for law enforcement action.

Law Enforcement and Intelligence (LE&I)

US-VISIT provides value-added identity management services with a focus on biometrics in support of analytical, investigative, and operational needs.

With initial deployment of 10-print capture, IDENT/IAFIS interoperability, and the expansion of biometric credentialing screening for critical infrastructure, the complexity of information available increased. Optimal use of the data contained within US-VISIT databases required an integrated and coordinated near real-time response to all stakeholders. LE&I was involved in several global projects with foreign partners to detect and deter malafide aliens from entering the United States and applying for immigration benefits. Further deployment of 10-print capture and interoperability with IAFIS, support of DOD initiatives regarding high-threat subjects, and the formalization of process and procedures with DHS components for assorted projects increased the watchlist hits reviewed workload.

In the second quarter of FY 2009, LE&I exchanged biometric data among the United States, Australia, Canada, and the United Kingdom on a test basis to identify cases and trends in immigration fraud.

Key LE&I Workload Statistics

Activity	FY 2007	FY 2008	FY 2009
Watchlist Hits Received	10,447	42,035	121,223
Watchlist Hits Adjudicated	9,404	27,554	22,931*
Watchlist Demotions		24,273	50,960

*Reduction in FY 2009 adjudications was due to limited CBP detailees.

Information Sharing and Technical Assistance (ISTA)

In FY 2009, four new countries launched plans or adopted the fingerprint standard for identity management purposes in their border and immigration operations: Canada, Korea, Dominican Republic, and Mexico. US-VISIT has contributed to technical information in support of efforts by these countries to implement biometric uses compatible with the US-VISIT model of identity management. These countries join the United States, United Kingdom, and Japan in actively using fingerprints at points along the travel continuum. This continuum consists of the issuance of a travel document, the issuance of a visa, the admission to the state, the status of the individual while in the state, and the enforcement of that individual's status including departure from the state.

US-VISIT began collecting requirements to implement the agreements with the Federal Republic of Germany and the Republic of Korea outlined in the VWP agreements on enhancing cooperation in preventing and combating serious crime.

US-VISIT has information sharing agreements with the United Kingdom, Australia, Canada, and New Zealand. US-VISIT created an Integrated Project Team in FY 2009 to manage the implementation of Phase 2 of the Hunter Valley Accord, which sets the conditions governing the automated exchange of biometric data among the five countries.

In FY 2009, a multibiometric technology evaluation was completed to inform comprehensive land exit planning. Evaluation results have been incorporated into the land exit planning document delivered in December 2008. The evaluation incorporates input from independent sources as to the feasibility of potential technical solutions for a land exit capability.

ISTA delivered a report on its face quality improvement study in the second quarter of FY 2009. This study seeks to improve facial image quality while minimizing the processing time for CBP officers.

ISTA delivered a final report on multibiometric testing evaluation in the second quarter of FY 2009, which provided recommendations concerning biometrics capture on exit, drawing on the results from a proof of concept demonstration using iris technology, with a series of evaluations conducted in multiple phases along with input from partner agencies.

ISTA developed and is now implementing an action plan that identifies short- and long-term goals for biometric implementation activities with Mexico as part of DHS efforts to broaden biometric data exchange opportunities.

FY 2010 Accomplishments – Identity Screening Services

With the FY 2010 requested funding level, US-VISIT will ensure that existing service levels are maintained.

Biometric Support Center

In FY 2010, US-VISIT will employ approximately 80 full-time contractors providing expert fingerprint verification, and latent processing and lookout enrollment services in the two centers on the east and west coasts. These centers provide around-the-clock expert fingerprint matching services to the immigration and border management enterprise and enforcement communities. Although IDENT fingerprint matching technology is among the fastest and most accurate in the world, manual fingerprint verifications are necessary to analyze poor-quality prints and to ensure that derogatory data is not erroneously associated with an individual.

The BSC will continue supporting existing end-users at the same service level targets reported for FY 2009. To ensure that legitimate travel is not impeded and officer safety is not negatively impacted, it is critical that the BSC continue to provide fingerprint verification decisions on urgent requests in 10 minutes or less, non-urgent verifications within 24 hours, and enrollment and verification of terrorism-related prints in 2 hours or less. Anticipated organic volume increases and anticipated incremental volumes coming from investments will continue to increase BSC workloads. These increases include future enhanced interoperability with additional DHS components, other agencies, such as DOJ, and other non-U.S. governments, and significant increases in latent print workloads.

Data Integrity Group

US-VISIT plans to hire approximately 38 government positions to support the DIG for two primary functions: (1) overstay identification through analysis of ADIS data, and (2) analysis of data integrity issues to improve record matching algorithms and systemic data.

The DIG will prioritize its workload according to criteria provided by ICE. The DIG workload will increase in FY 2010 as the DIG expands its coverage from solely reviewing traveler records from ICE priority countries of interest to include all non-immigrant visitors to the US. It is likely this additional workload will double the FY 2009 workload. The current plan, based on increased staffing, is to reduce the backlog of all unvetted, in-country overstays by 50 percent in the second quarter with the remainder completed by fourth quarter.

During FY 2010, the DIG will focus attention on improving ADIS records integrity to achieve a goal of 95 percent exit-to-entry match rate and accurate overstay identification of VWP participants; therefore, efforts to identify and deploy new algorithms improving record-matching performance will continue. The DIG will also continue reviewing the age of the travelers on whom records will be maintained (e.g., those under the age of 14 and over the age of 79 are to be excluded) and class of admission.

In FY 2010, the DIG plans to reduce the backlog of all unvetted overstay records by approximately 50 percent, improve the ADIS data integrity for the exit-to-entry match rate by approximately 95 percent or more, and award a new identity services support

contract and ensure a smooth transition within acceptable learning and clearance constraints.

DIG performance targets for FY 2010 include:

- *In-Country Overstay Lead Credibility Rate* – Probability that leads submitted by the DIG to ICE CEU represent travelers who are currently in the United States and have overstayed their authorized periods of admission. This measure of quality is being revised to remove external factors, such as investigative priority changes beyond US-VISIT's control which have adversely affected its managerial usefulness. The updated measurement will measure the internal quality control of the DIG production and have a new credibility target of 98 percent.
- *Out-of-Country Overstay Lead Credibility Rate* – Probability that vetted overstay leads are correctly promoted to the lookout list and actually represent travelers who are overstaying their authorized periods of admission by more than 180 days: 98 percent or greater.
- *Cost per Overstay Lead* - US-VISIT is revising its method for analyzing DIG efficiency to address weaknesses detected in its efficiency measures (cost per in-country overstay lead and cost per out-of-country overstay lead) which failed to capture operational realities, masked important performance trends, and introduced data distortions from outside factors. The new consolidated efficiency measure reflects that analysts work both in-country and out-of-country leads. The average cost per lead target for FY 2010 is \$52.

Law Enforcement and Intelligence

US-VISIT's identity and screening services validate and approve all demotions; select promotions to the biometric watchlist based on entry/exit encounters; and work with internal and external units on possible identity and other fraud issues. US-VISIT anticipates additional workload growth stemming from the increased review of watchlist hits resulting from further 10-print capture and interoperability deployments, support for DOD initiatives, and formalizing processes and procedures with DHS components for assorted projects such as Secure Communities. US-VISIT also anticipates formalizing an agreement to exchange biometric data with Australia, Canada, and the United Kingdom.

Through enacted FY 2010 funding, LE&I will add an additional 20 researchers/analysts to support an initial phase of the implementation of a 24/7 capability along with support of DOD initiatives, and formalization of processes and procedures with DHS components for additional information sharing projects such as Secure Communities. With these additional resources, LE&I anticipates the ability to adjudicate approximately 153,600 records in FY 2010, a fivefold increase over FY 2009 in watchlist encounters researched.

Planned accomplishments for FY 2010 also include the following:

- Formalize a biometric data exchange with Australia, Canada, and the United Kingdom

- Reduce the watchlist encounter backlog by 25 percent as resources are made available
- Remain current on research and coordination of the United Kingdom visa project
- Initiate a pilot exchange of biometric prints with the Federal Republic of Germany

Information Sharing and Technical Assistance

ISTA will continue to foster partnerships with like-minded countries to support their implementation of biometrics in the border and immigration control areas: United Kingdom, Canada, New Zealand, Australia, Japan, Singapore, Hong Kong, South Korea, and Brunei.

ISTA will engage international partners under the Agreements for Preventing and Combating Serious Crime: Germany, Korea, Czech Republic, Latvia, Lithuania, Hungary, Slovakia, Estonia, Malta, Italy, Spain, and Portugal.

ISTA will support information sharing opportunities or capacity building with other countries of strategic interest: Mexico, Dominican Republic, Argentina, Iraq, Saudi Arabia, Yemen, Afghanistan, Ukraine, Thailand, India, Nigeria, Israel, and United Arab Emirates.

The FY 2010 and FY 2011 funds will support the continued and expanded use of temporary onsite technical experts (secondments) overseas. The technical experts posted to the United Kingdom and Australia will:

- Analyze the current and future biometric capabilities throughout both countries' border and immigration infrastructure
- Assist with planning of biometric processes and systems within the government in relation to the ports of entry
- Recommend improvements based on expert biometric business process and technical experience
- Provide expert knowledge and guidance on biometric standards, methods, and products
- Develop and deploy quality assurance measures for biometric implementations
- Identify and mitigate deployment risks, including cultural and business process change implications
- Ensure interoperability of systems adhering to international standards

US-VISIT will continue to provide technical assistance to the Government of Mexico's National Migration Institute to facilitate the incorporation of biometrics into the Integrated System for Migration Operations as envisioned under the Merida Initiative.

US-VISIT will further advance adoption of compatible biometric systems by border and immigration authorities internationally through posting technical experts to the European Agency for the Management of Operational Cooperation at the External Borders of the European Union (Frontex) and the International Criminal Police Organization (INTERPOL). Frontex, based in Warsaw, Poland, is the European Member States in the

field of border security and INTERPOL, based in Lyon, France, is the independent international police organization. The US-VISIT technical expert at Frontex will evaluate operations at the European Union's external borders and identify ways to increase security and facilitate legitimate travel through incorporation of biometric technology into existing FRONTEX operations. The US-VISIT technical expert posted at INTERPOL will directly support biometric initiatives by ensuring international immigration and border security requirements are included in INTERPOL's future priorities.

Overseas postings benefit DHS through successful collaboration and information sharing. The positive results of the information sharing effort have been twofold—1) improving the integrity of the United Kingdom visa application process and 2) providing additional actionable information on persons of interest to ICE, as well as to other law enforcement agencies, through US-VISIT receipt of biometrics from United Kingdom visa applicants based in the United States.

- As a result of this unprecedented collaboration, there have been 68 confirmed biometric matches of United Kingdom Border Agency (UKBA) and US-VISIT watchlist data. For example, two applicants for United Kingdom visas were identified as convicted drug traffickers. As a result, their applications were denied and alerts were posted to inform UKBA authorities to deny attempts to enter the UK.
- In November 2009, the search of a United Kingdom visa applicant's biometrics against US-VISIT's watchlist data revealed a match to a known or suspected terrorist identity in the Terrorist Identities Datamart Environment. As a result, US-VISIT forwarded the information to the Terrorism Screening Center and made associations with previous applications for immigration benefits in the United States.

In FY 2010, ISTA will test and evaluate iris and facial recognition capabilities in an operational environment under the Multi-Biometric Technical Evaluation Project. This work will be coordinated with Science and Technology, the National Institute of Standards and Technology, DOD, CBP, and other DHS components and Federal partners. A final report will be distributed late in FY 2010.

FY 2011 Projected Accomplishments – Identity Screening Services

US-VISIT will continue to provide the same level of service to stakeholders as in FY 2009 and 2010, while operating more efficiently to handle anticipated increases in workload.

Biometric Support Center

In FY 2011, the BSC will continue supporting existing end-users at the same service levels achieved in FY 2009 and FY 2010. To ensure that legitimate travel is not impeded and officer safety is not negatively impacted, it is critical that the BSC continue to provide fingerprint verification decisions on urgent requests in 10 minutes or less, non-

urgent verifications within 24 hours, and enrollment and verification of terrorism-related prints in 2 hours or less.

Data Integrity Group

The estimated number of records to be manually vetted in FY 2011 is 90,000, with approximately one-third being forwarded to ICE/CEU for law enforcement action. The hiring and training of additional contractors in FY 2010 will allow the DIG to manually review these additional records. With the increased staffing and additional vetting, the DIG expects to promote more than 50,000 records to the out-of-country watchlist in FY 2011 and perform Federal reviews on more than 48,000 validated in-country overstay records, resulting in quality investigative referrals to ICE. The DIG will maintain FY 2010 performance targets in FY 2011.

Law Enforcement and Intelligence

In FY 2011, LE&I will continue to provide research and coordination for all international and domestic programs that affect the IDENT watchlist. By the end of the 4th quarter of FY 2011, LE&I will also be able to provide up-to-date and comprehensive watchlist adjudication on all entry matches, and as resources permit, provide biometric intelligence reporting to DHS and the intelligence and law enforcement communities. LE&I will also initiate a robust training program to train and develop BTS officers and their awareness of the DHS border security enterprise.

LE&I will continue to support the Full-time Operational Support Environment at FY 2010 levels. This unit will consist of LE&I analysts capable of researching biometrically verified hits against IDENT data submitted by the FBI, contributing agencies, DHS entities, critical infrastructure facilities, and others to leverage biometric and biographic capabilities within IDENT. Capabilities developed in FY 2010 will continue as growing demand for analytical support of Criminal Master File-driven inquiries increases. This centralized decision center, providing one source of information for operational and tactical support all linked to a biometric, will consolidate and expand resources to compile overstay and watchlist encounter research allowing US-VISIT to provide more effective analysis, including trending, fraud detection, and risk-based decision support.

Information Sharing and Technical Assistance

In FY 2011, ISTA will increase the number of cooperative agreements with foreign partners that provide access to actionable information of appropriately vetted identity, criminal, civil, and immigration-related information. This will enrich the US-VISIT watchlist and provide its users useful information to make risk and eligibility decisions.

Information exchange with foreign governments enriches the US-VISIT watchlist as experience with the United Kingdom, Australia, and Canada demonstrates. More than 1,850 persons of interest were identified during a pilot exchange of 54,000 records, a 3.4-percent hit rate. If a similar result were obtained from the expected volume of foreign watchlist records (each country within the Five Country Conference will be able to match 3,000 against IDENT) US-VISIT plans to receive in FY 2011, this would be more than 2,200 hits that would not otherwise occur.

The Agreement for Preventing and Combating Serious Crime with Germany will provide the model for use with other VWP countries (Japan, Singapore, Korea, Brunei, Czech Republic, Latvia, Lithuania, Hungary, Slovakia, Estonia, Malta, Italy, Spain, and Portugal) as well as countries of interest (Mexico, Dominican Republic, Argentina, Iraq, Saudi Arabia, Yemen, Afghanistan, Ukraine, Thailand, India, Nigeria, Israel, and United Arab Emirates). US-VISIT is working with other U.S. Government components to pursue potential information sharing agreements using biometrics.

In FY 2011, ISTA will evaluate biometric technologies for combating determined, fraudulent efforts to defeat biometric identity verification systems as part of the ongoing Multi Biometric Technology Evaluation. This work will support US-VISIT’s review of multi-modal capabilities and the potential acquisition of next generation technologies. Increasing biometric capabilities through technology innovation and standards development (fingerprint, iris, face, vascular, DNA) will expand potential data sharing opportunities with countries that employ iris and facial recognition as their primary biometrics for identity management.

The portfolio of ISTA work plans adheres to the direction from the 9/11 Commission to expand information sharing efforts for people screening.

Program Management Services

<i>In thousands</i>	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request
Program Management Services	\$102,105	\$118,692	\$106,532

US-VISIT’s program management services provide Federal and contractor staffing to all direct mission activities, such as IDENT and ADIS O&M, projects, and identity screening services support to US-VISIT customers, as well as program support-based activities. The demand for US-VISIT services continues to grow along with the need for the workforce to deliver these services. Historically, US-VISIT has provisioned these services with the assistance of a large contingency of contracted resources. Staffing constitutes a major expenditure and comprises all Federal staff and program-level contractor personnel. Given the long-term prospects of the organization and the nature of many services delivered, US-VISIT proposes to transition a majority of the contract positions to Federal positions, in compliance with the DHS Balanced Workforce Strategy. This structured workforce approach will promote long-term continuity and achieve economic efficiencies. US-VISIT plans to utilize funds to establish an additional 200 government positions during FY 2010 and 2011. US-VISIT’s program management services provide mission-support resources, ensuring that appropriate strategic and operational planning activities, human capital, budget and financial management resources, program office IT technical support, acquisition policies and procedures, and administration and logistics are in place. These resources also provide funding for the program’s support of the DHS working capital fund.

Contributions of the Federal staff and program support contractors are presented in all sections of this justification to include systems O&M, identity screening services, project management, and investments.

FY 2009 Accomplishments – Program Management Services

In FY 2009, US-VISIT built on earlier achievements by:

- Providing privacy policy support for new and ongoing projects to ensure the promotion of privacy best practices and the protection of personally identifiable information so that projects are sufficiently planned and developed to align with existing privacy statutes and regulations in accordance with the US-VISIT Enterprise Life Cycle Methodology and Capability Maturity Model Integration (CMMI) principles.
- Supporting analysis of DHS-wide policy and management initiatives, such as implementation of Homeland Security Presidential Directive 24, the first DHS Quadrennial Review, and the DHS Credentialing Framework Initiative.
- Developing a governance system allowing for effective input from Departmental stakeholders. The initial meeting of this external governance board was held on March 10, 2009, to coordinate with DHS customers to ensure that US-VISIT is meeting their biometric identification and analysis needs over the next 5 years.
- Processing privacy redress requests in an average of 15 days through June 30, 2009, against the target of 22 days.
- Serving as the DHS lead in the development of biometric standards, with primary focus on adoption of international standards to support current and future DHS capabilities.
- Changing the program's monthly contractor performance reviews from a focus on task-oriented data to project-oriented data, enabling closer control of projects' cost, scope, and schedule performance because the earned value management is more accurate and relevant.
- Cross-training the program analysts to perform Contracting Officer's Technical Representative duties. As the analysts become certified (via DHS-approved guidelines), their reviews of contractor reports and deliverables will be more stringent, will reflect their subject matter expertise, and will provide better contract oversight.
- Forming a contracts process action team to review the risks posed to US-VISIT meeting its operational goals by the various contracts, task orders, and interagency agreements. Planned actions will align with Federal acquisition best practices and result in increased competition in systems engineering, operations and maintenance, and program support to increase efficiency.
- Completing such steps as conducting briefings and training to meet the September 30, 2009, completion date for aligning US-VISIT lifecycle processes with newly issued guidance from DHS for the investment review process (Management Directive 102-01) and the standard DHS Systems Engineering Life Cycle.
- Establishing a quality management function responsible for implementing the process improvement plan developed in FY 2008. Quality management will ensure that process improvements are institutionalized across the organization.

- Demonstrating progress in addressing GAO open recommendations through active management of responsive mitigation plans. As of September 30, 2009, US-VISIT has either closed or demonstrated substantive progress in addressing 96 percent of all GAO recommendations.
- Increasing the methodological rigor and level of documentation within the US-VISIT Life Cycle Cost Estimate to better support the program during acquisition governance reviews.
- Incorporating the GAO Cost Assessment Guide into program cost estimating practices and further refined the US-VISIT planning, programming, and budgeting process.
- Improving the methodology underlying three key program performance measures to improve measurement validity, more accurately reflect program contributions, and increase managerial usefulness.
- Completing training governance for Federal partners in support of 10-print capture technology in compliance with training best practices.
- Initiating National Environmental Policy Act compliance analysis and documentation for land exit.
- Establishing the Environmental Management System, which complies with Executive Order 13423 and fulfills a commitment made in the programmatic environmental assessment. Personnel are fully trained and the improvement plan is being implemented.
- Coordinating materials distribution at the World Travel Market; developing and implementing “Welcome to the United States” Webinar providing US-VISIT updates to travel and tourism stakeholders for their distribution to international travelers worldwide.
- Implementing a strategic communications plan that will continue to educate stakeholders as US-VISIT evolves further into a biometric identity management services across Federal, State, local, and tribal agencies, and that works in collaboration with global partners. The program will ensure the ongoing awareness and understanding of US-VISIT’s capabilities and future offerings to key stakeholders—agencies, officials, organizations, media, and others interested in the program and the issues it helps to address.
- Participating in the July 2009 National Level Exercise which tested and refined Continuity of Operations (COOP) response capabilities and the ability of DHS to continue to function in the event of a major incident.

FY 2010 Planned Accomplishments – Program Management Services

In FY 2010, US-VISIT plans to build on prior program management accomplishments by:

- Developing and implementing a plan to continue the DHS Balanced Workforce Strategy to increase Federal staff within current funding levels through organizational design, recruitment, selection, and on-boarding.
- Implementing acquisition strategies for the prime integrator support contract and the program management support contractor. In addition, an overall acquisition strategy will be developed to align with US-VISIT’s biometric support mission.

- Implementing DHS Directive 102-01 to improve implementation and oversight of acquisition practices for significant investments.
- Implementing program-level quality assurance and independent verification and validation functions to assess the implementation of program management processes and recommended improvements.
- Completing the US-VISIT Data Governance Strategic Plan and the supporting Data Governance Implementation Plan.
- Continuing required privacy impact assessments on new projects and programs and updating existing assessments on information systems that are more than 3 years old (i.e., IDENT and ADIS).
- Implementing the DHS and internal US-VISIT policies to reduce the risk of a privacy incident involving personal information.
- Presenting privacy training to ensure employee awareness of responsibilities to protect information against loss, theft, or misuse, as well as unauthorized access, disclosure, copying, use, modification, or deletion.
- Complying with the goal to address privacy redress requests within an average of 20 days or less.
- Developing the policy, process, and governance structure that allows for the efficient intake, assessment, and prioritization of new US-VISIT projects.
- Conducting an annual review of all individual performance plans in the context of the Human Capital Strategic Plan to ensure that employee goals support US-VISIT requirements.
- Implementing a more comprehensive training program to provide US-VISIT with a wider range of skill sets required to support its role as the central biometric identity management service for the Department.
- Establishing a record management capability in accordance with a DHS/Chief Administrative Officer strategic objective. US-VISIT will complete an inventory of records, develop & implement records management policies & procedures, and train US-VISIT staff to achieve full compliance OMB Circular A-130.
- Completing actions required to achieve full compliance with Executive Order 13423 on environmental, energy and transportation management.
- Providing the COOP training and support necessary to maintain existing plans in a readiness state.
- Implementing a global public education program to maintain and expand awareness, understanding, and acceptance of US-VISIT, and the enhanced border and immigration management system among travelers, the news media, and stakeholders, domestically and abroad.
- Providing updated versions of the US-VISIT Life Cycle Cost Model, with increasing detail, depth, and methodological rigor, to support program budget formulation and decision-making.
- Training program staff to comply with the standards and utilize the procedures of the GAO Cost Assessment Guide in the areas of program management and cost estimation.
- Assessing US-VISIT performance measurement practices against Software Engineering Institute (SEI) Capability Maturity Model Integration (CMMI) Level

- 2 Measurement & Analysis criteria and develop an improvement plan to assist the program in attaining SEI CMMI Level 2 Certification.
- Supporting US-VISIT facility planning efforts as US-VISIT continues to hire additional Federal staff and to support continued staffing growth in the near term.
 - Updating the US-VISIT processes and procedures governing schedule management, risk management, and program management.

FY 2011 Projected Accomplishments – Program Management Services

In FY 2011, US-VISIT projects to accomplish the following in the program management services and builds on prior accomplishments by:

- Continuing the DHS Balanced Workforce Strategy efforts to increase Federal staff within current funding levels through organizational design, recruitment, selection, and on-boarding.
- Performing SEI-led appraisal of organizational Level 3 maturity and selected CMMI Level 4 process areas against CMMI Acquisition Model (CMMI-ACQ) and addressing the weaknesses in the assessment findings.
- Continuing with an independent verification and validation review of cost, schedule, and technical baselines regarding leadership priorities, important project initiatives, and progress with identified problem areas.
- Implementing full earned value management on contracts within the US-VISIT program exceeding the dollar threshold.
- Moving all sustainment training courses to e-Learning format and piloting an organizational design.
- Deploying US-VISIT-wide organization design service.
- Conducting quarterly recruiting strategy reviews based on workforce analyses and annual sourcing strategy validation.
- Developing a career laddering communication initiative and enhancing the career development program and the success management process that includes cascading goals and new competencies.
- Assessing long-term human capital and training technology needs and identifying available solutions.
- Updating the acquisition plan as needed.
- Developing pre-award contract documentation through the acquisition lifecycle process such as statements of work, independent government cost estimates, and procurement requests.
- Performing technical evaluations and documenting the source selecting findings on received requests for proposals, request for information, or request for quotations.
- Preparing and executing contract award kickoff meetings and integrated baseline reviews.
- Updating the US-VISIT Program Management Execution Plans (Configuration Management, Schedule Management, Risk Management, and Document Management Plans) to strengthen execution activities across the US-VISIT Program.

- Continuing the staffing efforts for Program Management functions to achieve 85 percent or better on-board-to-vacancy ratio. (For comparison, the ratio as of January 2009 was 20 percent.)
- Preparing for and participating in an Acquisition Review Board with DHS Acquisition and Program Management Division.

Data Center Mirroring and Migration

<i>In thousands</i>	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request²
Data Center Mirroring and Migration	\$25,327	\$45,244	\$43,978

US-VISIT data center operations represent an integral component of the US-VISIT service delivery framework. Presently, US-VISIT systems are hosted in two DOJ data centers. This hosting includes physical area and rack space, service support, hardware maintenance, memory and storage capacity, data and backup management, operating system level support, disaster recovery, and fiber/cabling.

DHS deployed two enterprise data centers to achieve the IT infrastructure consolidation goal. For US-VISIT to assist in the Department’s goal, it must relocate systems and hosting services from the DOJ data centers in Dallas, Texas, and Rockville, Maryland. US-VISIT systems hosted in these data centers are not 100-percent redundant. Therefore, a “mirroring” approach is required before existing operations can be decommissioned. Mirroring requires acquiring and provisioning (i.e., “go-live”) equivalent capabilities presently in the DOJ data centers within one of the two DHS enterprise data centers before a DOJ data center hosting service can be decommissioned.

US-VISIT occupies 2 of the 17 DHS data centers targeted by the Secretary for the first wave of consolidation. US-VISIT must execute one of the highest priority migration efforts and the requested funding enables US-VISIT to meet baseline requirements and further departmental efforts toward achieving this critical IT infrastructure consolidation goal. Data center funds guarantee this critical initiative is met and redundancy requirements are in place as warranted.

FY 2009 Accomplishments – Data Center Mirroring and Migration

During FY 2009, the US-VISIT Data Center Mirroring and Migration (DCMM) initiative proceeded as planned, though complex dependencies as well as minimizing risks related to continuity of operations impacted the schedule in the latter half of the fiscal year.

² The US-VISIT program change for data center migration reflects the net change amount of a \$16.266M decrease from FY 2010 enacted US-VISIT funding for data center migration and a \$15M one-time enhancement from the consolidated DHS CIO data center funding.

US-VISIT completed the core infrastructure installation in the DHS Clarksville Data Center for the two-print matcher subsystem infrastructure, including the hardware and additional capacity to the matcher cluster for connecting the new DHS enterprise platform in the DHS Clarksville Data Center to legacy DOJ production platforms. The DCMM team also established monitoring capabilities for the expanded US-VISIT processing infrastructure regarding connectivity, transactions, and applications.

The matcher addition in the DHS Clarksville Data Center that was slated for the FY 2009 third quarter was delayed due to human resources and remote connectivity issues. This accomplishment is now expected to be completed in the first half of FY 2010.

The IDENT and ADIS database, storage, and backup infrastructure were installed in FY 2009 with final configuration and implementation targeted for early FY 2010. This implementation is dependent on other modernization activities, namely the DOJ Rockville Data Center Technical Refresh and the Oracle 11g migration.

Finally, in addition to the accomplishments noted above, the DCMM team also initiated the planning and engineering process to build the core infrastructure and establish required processes and procedures at the DHS Stennis Data Center to position it for forthcoming production deployment of US-VISIT systems and data in order to achieve performance-balancing objectives.

FY 2010 Planned Accomplishments – Data Center Mirroring and Migration

The FY 2010 funding for US-VISIT for DCMM supports IDENT and ADIS system capacities from the organic growth of data capture, implement system, and processing reliabilities, and will meet critical deficiencies within the current IT infrastructure regarding transition from 2- to 10-print capture as implemented in FY 2009. US-VISIT will execute a high-priority mirroring and migration effort to overcome limited physical data storage growth within the existing data centers and to establish critical IDENT redundancies for workload leveling and disaster recovery during the first phase of mirroring and migration to the DHS enterprise data centers.

Planned accomplishments for the Data Center for FY 2010 include the following:

- Add remaining matchers to DHS Clarksville Data Center.
- Complete the deployment of the US-VISIT matcher cluster to DHS Clarksville Data Center, including the establishment of connectivity between data center and the legacy DOJ Data Center in Rockville, Maryland.
- Complete final configuration and installation of database in the DHS Clarksville Data Center in tandem with DOJ Rockville Data Center Technical Refresh and the Oracle 11g Migration.
- Establish data replication to legacy databases in the DOJ Rockville Data Center, including the establishment of monitoring capabilities for the expanded US-VISIT processing infrastructure regarding connectivity, transactions, and applications.

- Complete the DHS Clarksville Data Center migration and production processing cutover from the DOJ Dallas Data Center in Dallas, Texas. Build and test the Stennis Data Center Core Infrastructure. Decommission the DOJ Dallas Data Center for US-VISIT processing. Equipment at this data center will be redeployed to the DHS Clarksville Data Center to complete the data center activities and US-VISIT data-mirroring requirements.
- Redeploy matchers from the DOJ Dallas Data Center to the DHS Stennis Data Center.

FY 2011 Projected Accomplishments – Data Center Mirroring and Migration

The Data Center Mirroring and Migration Initiative will see a sustained level of effort in FY 2011. The activities are similar in that the process for migration of the first data center, which occurred in the FY 2009 and FY 2010 timeframe, is repeated for the second data center. Specific activities planned for FY 2011 include the following:

- Deploy and test WAN connectivity at DHS Clarksville Data Center
- Redeploy re-usable infrastructure
- Deploy and Test modernized 2-print Matcher Head for DHS Stennis Data Center
- Deploy and test modernized database infrastructure at DHS Stennis Data Center
- Deploy and test IDENT and ADIS production database replication services between DHS Clarksville Data Center and DHS Stennis Data Center
- Deploy, test, and transition to O&M database monitoring and management tools

Unique Identity (UI) – Full Operational Capability

<i>In thousands</i>	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request
Unique Identity (UI) – Full Operating Capability	\$63,027	\$28,700	\$25,852

The UI initiative includes integrated work streams for the national deployment of 10-print capture, conversion of IDENT from a 2-fingerprint matching system to a system that can utilize up to 10 fingerprints for matching and achieving interoperability between IDENT and stakeholder agencies, as well as initial investigations of potential iris and facial recognition capability enhancements. The objective of using 10-prints is to facilitate travel by reducing numbers of travelers sent to secondary inspection and provide more data on which to match, subsequently reducing false positive identifications. Further, there are greater opportunities to identify persons of interest since 10-prints are more likely to match latent fingerprints in criminal and intelligence biometric data stores of fingerprints collected at crime scenes or terrorist locations. Interoperability enlarges the biometric database used by both border management and law enforcement agencies. When used in conjunction with the 10-print initiative, it will enhance the ability to identify high-risk persons through its development of the ability to receive, link, store, and share information associated with an individual identity between DHS, DOJ, and DOD systems, as well as with biometric data from foreign governments.

US-VISIT funding supports continued delivery of 10-print interoperability between the DHS IDENT biometric database and the DOJ IAFIS biometric database. IDENT/IAFIS interoperability is a statutory and Department mandate. Interoperability is being achieved in three phases:

- 2006: interim Data Sharing Model (iDSM) completed
- 2009: Initial Operational Capability (IOC) completed
- 2014: Full Operational Capability (FOC) targeted for completion

Once completed, FOC will provide real-time services and data sharing between IDENT and IAFIS and will include the following functionality:

- *Shared-service component.* This functionality provides the ability to fully search IAFIS and IDENT for all FBI Criminal Justice Information System (CJIS) Division and DHS stakeholders. To enable this functionality, software enhancements are implemented to submit, receive, and process shared services messages from IAFIS and IDENT. Additional network functionality is required and system processing must increase to handle the shared services requests. This may include the addition of system processors, storage, and access management controls, and the enhancement or addition of various service-oriented architectures.
- *Wrap-back functionality.* This functionality notifies authorized agencies of subsequent criminal and/or civil data to an existing biometric record. This allows for:
 - authorized agencies to receive notifications of subsequent criminal activities for individuals after the initial encounter with the individual and to notify the responsible agency regarding criminal activity of the individuals in sensitive positions
 - the automatic transition of files between civil and criminal repositories
 - the ability to search civil records with remote latent fingerprint submissions
 - expanded and new search and response generation capabilities
 - collectively locating civil histories to facilitate the search, addition, consolidation, modification, expunging, response generation, and file maintenance of civil and criminal informationThis work requires designing and implementing new system processes through software enhancements and requires adding IDENT system resources including system processing, storage, and network services.
- *IDENT data response.* Based upon evaluation results from data collected during the IDR pilot, US-VISIT will examine the need to adjust components for the final IDENT data response (IDR) functionality, software enhancements/changes needed to process and send the IDR to IAFIS. US-VISIT will examine whether additional network functionality is required and system processing and storage should be increased to handle the packaging and submission of any increase in data transmitted.

- *Maintaining/improving accuracy and timeliness in the face of rising transaction volumes.* The increasing volume of transactions and the amount of stored biometric data adversely affects the accuracy and timeliness of biometric searches. The accuracy and timeliness of biometric searches are critically important and need to be maintained or improved. New biometric search algorithms, system transaction management techniques, and data access methods must be implemented to support the best possible IDENT accuracy and responsiveness. This work will include enhancements to current software, the transaction management systems within IDENT, and the design and implementation of additional hardware and network systems to support increased data volumes. FOC capabilities include adding improved system service requests, messaging, and compliance with the DHS/DOJ National Information Exchange Model enterprise-wide messaging standard.

FY 2009 Accomplishments - Unique Identity

The 10-Print Full Deployment phase began in June 2008 and successfully completed its objective to deploy capability to collect 10 fingerprints from over 97 percent of in-scope travelers at 2,600 ports of entry by December 31, 2008.

Interoperability IOC was deployed on October 27, 2008. This capability provided a) an initial IDR to positive matches identified by IAFIS submissions to IDENT, and b) near real-time hit notifications and automated updates to the DHS shared data component (Expedited Removals and Category One Visa Refusals) to increase the value of data provided to all users.

Planning, analysis, and deployment of hardware and systems enhancements to support increased capacities resulting from larger Secure Communities Deployment were completed in March 2009. The initial deployment of Secure Communities capabilities to address deployment to the initial 52 locations was included in the IOC deployment in November 2008. It was anticipated that additional capacity would need to be built to address the addition of locations beyond these initial locations. As the result of the efficiencies identified, the initial deployment, in conjunction with modifications as part of other initiatives on the Unique Identity program, provided enough capacity to enable deployment to a significant number of additional locations without further investment.

US-VISIT completed requirements development for the record linking and wrap-back capabilities. CJIS requirements for corresponding capabilities are still under development.

Discussions with CJIS for increased sharing of additional IAFIS data sets resulted in identification of additional datasets whose use is currently under review by the Department of Justice Legal Counsel to assess privacy impacts.

In FY 2009, US-VISIT collaborated with DOD to outline requirements for data sharing and interoperability capabilities. These efforts were centered on two paths. The first is a

shared data element in which KSTs and other persons of interest are provided to US-VISIT for enrollment into IDENT and searched for any matches. Any matches of persons of interest are reported back to DOD and other anti-terrorism agencies for potential action. These transactions are not real-time because the subjects have been previously encountered and are not being held.

The second path is a transaction-based element. In this scenario, prints are collected by an entity encountering an individual and are transmitted to IDENT for search with an expectation of a result within a shorter, finite period to support a particular operation. This transaction is supported through improving the means for communicating between the Automated Biometric Identification System (ABIS), DOD’s biometric database, responsible for supporting the DOD ABIS community, and IDENT, including establishing dedicated transmission paths. Also included in this work are plans to automate system-to-system interactions, alleviating manual approaches when and where possible that will allow for searches of each system.

FY 2010 Planned Accomplishments – Unique Identity

Planned accomplishments for Unique Identity for FY 2010 include the following:

- Deploy multi-modal pilot, including development of an architecture and design of capabilities that can support identity services using multiple biometrics.
- Deploy 10-print matching capability – enhance matching capability from current 2-print standard to the ability to match based on 10 prints. This capability will enhance verification of an individual’s biometrics.
- Complete the deployment of IDENT data response, which provides State and local law enforcement with biometrically matched identity information.

FY 2011 Projected Accomplishments – Unique Identity

The projected accomplishments for Unique Identity in FY 2011 include the following:

- Complete the system to system interaction between IDENT and ABIS.
- Begin record linking design. This functionality allows for the retrieval of information from both IDENT and IAFIS with a single submission, minimizing the number of identification searches. This will allow for more efficient system searches thus improving operational efficiencies and improving response times. US-VISIT planning and analysis will occur in FY 2010, design and initial build activities in FY 2011, and deployment in FY 2012.

US-VISIT 1.0

<i>In thousands</i>	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request
US-VISIT 1.0	-	-	\$1,569

With the US-VISIT 1.0 initiative, the program is taking steps towards addressing system performance limitations and high O&M costs by analyzing multiple approaches to re-

architecting the current system to optimize performance and gain efficiencies. The current biometric identity matching system, IDENT, has grown to a very large scale because each new traveler to the U.S. must provide fingerprints as a condition of entry, while known travelers provide new fingerprints each time they enter the U.S. via air or sea carriers. It is projected that the IDENT fingerprint gallery (i.e., the fingerprint images available to the matchers) will continue to grow beyond the 114 million identities estimated at the end of FY 2009 and will reach a critical point of 250 million identities between 4 and 6 years from now. At 250 million identities, projections indicate that there will not be sufficient time to update fingerprint matcher memory with new fingerprint images (i.e. images that are better than those already in memory) and that IDENT will slow down to the point of becoming an ineffective tool.

As policy evolves to include much larger in-scope populations and new applications of biometric identity screening are identified, the current system will lag behind the need for real-time (i.e., 10 seconds) watchlist checks. Other transactions will be challenged, too; currently IDENT may take up to 2 minutes of service time to verify that an asserted identity matches the supplied fingerprints, but this time is projected to increase in the fact of IDENT growth estimates. This critical point is a fundamental limit of the IDENT architecture. Adding more matchers, more servers, more storage, or any of the other usual upgrades will not change this limit.

US-VISIT has two other legacy systems that face challenges as the number of daily transactions increases: ADIS and the Technical Reconciliation Analysis Classification System. These systems face their own scaling challenges that are significant both in terms of functional growth, ability to meet customer needs, and cost. More fundamentally, however, these systems both use and supply information that is or could be used by the biometric identity verification service provided by IDENT. It makes both functional and economic sense to provide a single flexible system that incorporates the functions of these three currently independent systems.

Current approaches to scaling the IDENT system are monolithic, (i.e., require costly modification to the entire system each time an enhancement is needed), involve costly proprietary components, and incur large and increasing costs for support hardware and O&M that are not sustainable.

O&M costs in FY 2011 for IDENT, ADIS, and corporate systems are projected to be \$128.1 million, compared to \$86.2 million in FY 2009. O&M cost growth is attributable to the current approach to adding system scale requiring the continuous acquisition and maintenance of servers and fingerprint matchers to keep pace with transactional and storage size growth. Each time system scale is added, there is a need for development support to accommodate new requirements and additional data center space to accommodate more IT infrastructure. At the current rate of growth and within current resource levels, US-VISIT will require two-thirds of its total program resources to maintain systems with limited scalability and capacity. This scenario will increasingly prevent further investment in innovation and efficiency, as investment dollars will be

consumed by O&M at an increasing rate each year, especially as the size and speed of these systems are scaled up.

The objective of US-VISIT 1.0 is to improve system performance while reducing O&M costs by at least 30 percent annually; leading to a break-even point for the investment roughly 4 years after full operating capability is achieved, based on O&M savings alone. Expected improvements to systems performance, including reduced response times, may yield additional productivity benefits to system users that will be quantified in an economic analysis planned for FY 2013. The combination of higher performance and lower ownership costs are expected to benefit not only US-VISIT, but customers throughout DHS, and DOS, DOD, DOJ, and international data sharing partners as well, while providing greater flexibility in support of new or changed policies.

FY 2011 Projected Accomplishments – US-VISIT 1.0

The requested resources will enable US-VISIT to develop a complete requirements base regarding fingerprint, face, and iris multi-biometric high-speed matching and design logic, a model target architecture, and to validate the targeted architecture with specific prototypes.

Comprehensive Biometric Exit

<i>In thousands</i>	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request
Comprehensive Biometric Exit	-	22,000	-

Comprehensive Biometric Exit is chartered to develop a capability to collect biometrics (e.g., finger scans, photographs, etc.), of in-scope travelers departing the U.S. by air, sea, and land. When implemented, DHS can be more certain that an individual departed the U.S. and will be better able to match the individual’s exit record to the entry record. This will ensure that future decisions requiring eligibility determination for visa renewals, subsequent applications for admission to the U.S., and adjudications of immigration benefit applications are fully informed.

This entry/exit capability is critical to safeguarding against possible fraudulent or nefarious activities by unauthorized travelers seeking access to the U.S. through its air, sea, or land POEs. Currently, law enforcement and immigration specialists rely on biographic processes for recording departures, which may not capture accurate or current traveler identification. Their reliance on biographic information alone does not ensure the identity of the person who submitted the biographic information. Without biometric identity verification the ability to determine overstays is impacted, resulting in inefficient resource use by DHS components working to locate potential overstays who may have departed the country. Additionally, there is a compliance gap with the VWP, as existing departure processes do not allow a comprehensive picture of VWP traveler compliance regarding overstay rates and thereby adversely impact VWP eligibility determination or validation.

A notice of proposed rulemaking (NPRM) was published on April 24, 2008, addressing the collection of biometric data from aliens departing from air and sea ports. The proposed rule provided that commercial air carriers and cruise line owners and operators would collect and transmit international visitors' biometric information to DHS within 24 hours of their departure from the U.S. The 2009 Appropriations Act required that at least two pilots be conducted. One pilot required the airlines to collect and transmit biometric exit data, as proposed in the NPRM, and a second pilot required CBP to collect biometric exit data at the departure gates. A third US-VISIT pilot was added by the Department but was not directed specifically in the 2009 Appropriations Act. It required TSA to collect biometric exit data at the security checkpoint. The CBP and TSA pilots were conducted as planned, May 28-July 2, 2009. US-VISIT was unable to conduct a pilot in which airlines would collect and transmit biometric exit data as proposed in the NPRM. While US-VISIT has engaged in many discussions with the airline industry on several levels, no airline would agree to participate in the pilot. Therefore, DHS directed US-VISIT to move forward in absence of an airline and to conduct the pilot with only TSA and CBP.

FY 2009 Accomplishments – Comprehensive Biometric Exit

During FY 2009, US-VISIT, TSA, and CBP successfully completed two air exit pilots. The results were evaluated and distributed in an evaluation report that was delivered to Congress in October 2009. Included in the evaluation report were the results from two test scenarios that were completed in early July 2009. These scenarios assessed alternative business processes for collecting biometric information from in-scope travelers departing the U.S. from air POEs and deployed associated reporting capabilities to support analysis.

FY 2010 Planned Accomplishments – Comprehensive Biometric Exit

Once a decision is reached on the best solution, US-VISIT will use the unobligated balance of prior year appropriations and the FY 2010 appropriation to begin the implementation of a biometric air/sea solution. When a final rule is issued, US-VISIT will have implementation milestones available.

IV. Program Justification Changes

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease: Comprehensive Biometric Exit
 PPA: United States Visitor and Immigrant Status Indicator Technology
 Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-22000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	22,000
Program Decrease							-	-	(22,000)
Total Request	-	-	-	-	-	22,000	-	-	-

Description of Item

Comprehensive Biometric Exit is chartered to develop a capability to collect biometrics, (e.g., finger scans, photographs, etc.) of departing in-scope travelers by air, sea, and land. During FY 2009, US-VISIT, TSA, and CBP successfully completed two air exit pilots. The results were evaluated and distributed in an evaluation report that was delivered to Congress in FY 2010. While the Comprehensive Biometric Exit project remains a top priority to DHS and Congress, DHS did not submit a request for the project in FY 2011 pending policy decisions regarding the long-term exit solution.

Justification

Once a decision is reached on the best solution, US-VISIT will use the unobligated balance of prior year appropriations and the FY 2010 appropriation to begin the implementation of a biometric air/sea solution. When a final rule is issued, US-VISIT will provide the critical implementation milestones and associated resource requirements.

Impact on Performance

This investment addresses data accuracy gaps as they pertain to an alien and the matching of his or her travel records (i.e., exit record accurately matched to an entry record for aliens subject to US-VISIT processing). The benefit of this capability is that it closes the gaps in traveler data, thereby informing CBP officers and ICE for admissibility and immigration purposes. This entry/exit capability is critical to safeguarding against possible fraudulent or nefarious activities by unauthorized travelers seeking access to the U.S. through its air, sea, or land POEs. Currently, law enforcement and immigration

specialists rely on biographic processes for recording departures, which may not capture accurate or current traveler identification. Their reliance on biographic information alone does not ensure the identity of the person who submitted the biographic information. Without identity verification the ability to determine overstays is impacted, resulting in inefficient resource use by DHS components working to locate potential overstays, who indeed may have departed the country. Additionally, there is a compliance gap with VWP, as existing departure processes do not allow a comprehensive picture of VWP traveler compliance regarding overstay rates and thereby adversely impact VWP eligibility determination or validation.

The FY 2011 request allows for sufficient time to satisfy the policy and regulatory evaluation processes associated with addressing the capability gaps mentioned above. The benefit of time spent gaining clarity and acceptance on a long-term exit solution is the selection of a path forward that best meets the needs of DHS, the transportation industry, and the traveling public.

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT**

Justification of Program Changes

(Dollars in Thousands)

Program Decrease: Data Center Mirror and Migration
 PPA: United States Visitor and Immigrant Status Indicator Technology
 Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-1266.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	45,244
Program Decrease							-	-	(1,266)
Total Request	-	-	25,327	-	-	45,244	-	-	43,978

Description of Item

The DCMM project was initiated in direct response to the DHS Enterprise Architecture Transition Plan that outlines goals for consolidating and closing selected component data centers as part of achieving one DHS IT infrastructure. As part of the plan, US-VISIT must migrate its systems currently hosted at two DOJ data centers to DHS data centers by FY 2012. By establishing two enterprise data centers and consolidating the more than 20 component data centers into these DHS centers, DHS will eliminate duplicative infrastructure, services, and achieve significant economies of scale.

US-VISIT capabilities are successfully used by many agencies, both internal and external to DHS, and within the immigration, border management, intelligence, and law enforcement communities. In FY 2008, US-VISIT processed more than 47 million biometric transactions for its user agencies. As a result, more than 277,000 individuals were biometrically matched against the US-VISIT watchlist. The ability to biometrically identify greatly reduces identity fraud and provides DOS consular officers, CBP and Border Patrol officers, ICE agents, USCG personnel, and others with valuable information to make risk assessments. US-VISIT's biometric information has contributed to denial of visas, refused entry at U.S. POEs, and denial of immigration benefits, as well as arrests and deportations.

Entry and exit matching capabilities of ADIS is a critical resource to US-VISIT data integrity analysis providing overstay leads to ICE. Between FY 2007 and 2008, ICE arrests based upon US-VISIT referrals more than doubled to 715, while the port and visa refusals based upon US-VISIT lookouts tripled to more than 1,400.

Justification

The FY 2011 budget request continues data center mirror and migration efforts. The DCMM project will provide 100-percent data center redundancy for IDENT and ADIS by FY 2012, ensuring continuity of operations in the event of an unplanned outage of services. IDENT and ADIS are mission critical DHS systems and neither system's customers can tolerate an interruption of services, yet at present the time, these systems are approximately 50-percent redundant in their current data center hosting environments. This project addresses the data center redundancy gap and is critical to enhancing DHS' overall disaster recovery posture. At the same time, this initiative will provide a modernized architecture for IDENT and ADIS, which will be consistent with the DHS data center consolidation objectives as set forth by the Chief Information Officer. Each DHS data center will contain identical IDENT and ADIS systems, resulting in mirrored systems and 100-percent redundancy.

To maintain US-VISIT service level agreements, US-VISIT will provide operational funding for both the DOJ and DHS data centers. This funding will continue until the DHS data centers are established with hardware, software, and tested prior to a full service failover. In FY 2010, US-VISIT anticipates to perform a full service failover which will result in the decommissioning of the US-VISIT systems and services in the DOJ Dallas Data Center.

Impact on Performance

By the end of FY 2010, US-VISIT will have successfully completed its data center migration from the DOJ Dallas, Texas, data center to the DHS EDS data center. This migration from the DOJ Dallas data center marks the achievement of 50 percent of the data center consolidation objective for US-VISIT. In order to accomplish this, US-VISIT is building out technical capability for the DHS EDS data center and will decommission US-VISIT computing platforms and redeploy equipment where appropriate.

FY 2011 funding allows US-VISIT to successfully complete data center migration from the DOJ Rockville, Maryland, data center to the DHS Stennis Data Center. This data center migration marks the achievement of 80 percent of the data center consolidation objective for US-VISIT. In order to accomplish this, US-VISIT is required to build out technical capability for the DHS enterprise data center in Stennis, Mississippi, to decommission US-VISIT computing platforms, and to redeploy this equipment where appropriate.

The DCMM project reduces the probability of an interruption of service to US-VISIT system users and enhances the ability of other DHS components, including ICE, CBP, USCG, TSA, USCIS, and other Federal agency users, including DOS and DOJ's Federal Bureau of Investigation, to accomplish their missions. The project enables US-VISIT to improve its data center redundancy for the IDENT and ADIS systems from approximately 50 percent to 100 percent and provides systems disaster recover and enables operations continuity.

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT**

Justification of Program Changes

(Dollars in Thousands)

Program Decrease: Identity Screening Services
 PPA: United States Visitor and Immigrant Status Indicator Technology
 Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-650.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	31,000
Program Decrease							-	-	(650)
Total Request	-	-	20,000	-	-	31,000	-	-	30,350

Description of Item

Identity Screening Services provides oversight and business management of the IDENT and ADIS systems, real-time human biometric verification services, overstay analysis, and updates and maintenance to the US-VISIT watchlist. Fingerprint examiners provide real-time verification that supplements automated system matching. Data integrity analysts work with ADIS information and data from other systems to identify and verify overstay violators. LE&I staff coordinate with Federal, State, local, and tribal law enforcement and intelligence agencies to improve accuracy and usefulness of the US-VISIT watchlist. Collectively, these identity screening services support and provide reliable and actionable information to US-VISIT customers and stakeholders.

Information sharing and technical assistance efforts support engagement with foreign governments' immigration and border components. This interchange provides technical assistance with biometric standards and emerging biometric technologies. Engagements with foreign partners expand the US-VISIT model and result in data sharing.

Justification

US-VISIT requests funds to maintain the same levels of services for biometric identification, watchlist and overstay management, and the continued operation of a 24/7 biometric support center. These funds will provide an integrated, timely delivery of information, and further improve the immigration screening capabilities through cooperation with foreign immigration services.

US-VISIT will continue to provide real-time human biometric verification, data integrity, and law enforcement and intelligence services at FY 2009 levels. These services will be provided through the efforts of expert analysts in researching biometric and biographic data, including data submitted by the FBI, DHS, critical infrastructure facilities, and other

contributing agencies. US-VISIT data analyses provide requesting agencies with the additional biographic, immigration, derogatory, and intelligence information to support their missions and decision-making processes.

As part of the IDENT/IAFIS Interoperability initiative, 10-prints collected through the CBP primary inspection process are checked against the FBI Criminal Master File (CMF) database requiring analytical support to determine if the record causing the hit should be promoted and remain on the IDENT watchlist. US-VISIT will continue to support services commensurate with the growing demand for analytical services and support for the CMF-based inquiries to provide one source of information for operational and tactical support linked to biometrics.

Impact on Performance

The BSC, DIG, and LE&I will continue to support existing customers at the same service levels achieved in FY 2010.

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT**

Justification of Program Changes

(Dollars in Thousands)

Program Decrease: Program Management Services
 PPA: United States Visitor and Immigrant Status Indicator Technology
 Program Decrease: Positions 200.0, FTE 200.0, Dollars \$-12632.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							212	199	119,164
Program Decrease							200	200	(12,632)
Total Request	150	131	102,105	212	199	118,692	412	399	106,532

Description of Item

US-VISIT program management services provide Federal and contractor staffing to all direct mission activities, such as systems O&M, projects, and identity screening services support to US-VISIT customers, and program support-based activities. US-VISIT staffing constitutes a major expenditure and comprises all Federal staff and program-level contractor personnel. US-VISIT program management services provide mission resources ensuring that appropriate strategic and operational planning activities, human capital, budget and financial management resources, program office IT technical support, acquisition policies and procedures, and administration and logistics are in place and available to support overall program direction and control.

Program management services funds recurring costs such as facilities, rent, and the working capital fund. These resources also provide funding for the US-VISIT enterprise architecture and IT security efforts in support of DHS policy direction.

Justification

US-VISIT will sustain the performance necessary to meet a variety of performance targets, including the following examples:

- The percentage of authorized Government billets filled should be 85 percent or better.
- The average time from recruitment to tentative job offer should be less than 55 days.
- Quarterly obligation targets and carryover of not more than 10 percent of available fiscal year dollars should be achieved.
- The average processing time for a privacy redress request should not exceed 22 working days.

Further planned milestones for improving program management include:

- Early in the fiscal year, perform SEI-led appraisal of organizational Level 3 maturity and selected CMMI Level 4 process areas against model CMMI-ACQ. Address weaknesses the remainder of the year.
- Continue with an independent verification and validation review of cost, schedule, and technical baselines regarding leadership priorities, important project initiatives, and progress with identified problem areas.
- Achieve full earned value management disclosure covering all contracts within the US-VISIT program.
- Move all sustainment training courses to e-Learning format and pilot an organizational design.
- Pilot organization design for select US-VISIT branches.
- Deploy US-VISIT-wide organization design service.
- Conduct quarterly recruiting strategy reviews based on workforce analyses and annual sourcing strategy validation,
- Develop career laddering communication initiative and enhance the career development program and the success management process that includes cascading goals and new competencies.
- Assess long-term Human Capital and Training technology needs. Identify available solutions.
- Prepare program for SEI evaluation under the CMMI standards for measurement and analysis.

US-VISIT evaluated end-state staffing levels for FY 2011, and a Federal staff realignment is requested for 200 positions. No additional funding will be requested for the Federal positions, as the funding for the positions will be offset by reductions to program funds.

Impact on Performance

The reduction to US-VISIT program management services requires US-VISIT to reduce a portion of the support functions currently performed by contractors. US-VISIT has evaluated appropriate Federal staffing levels and is utilizing program funding to offset hiring of additional Federal staff to mitigate the reduction of contractors. If there are hiring delays, functions that will be impacted include subject matter expertise in strategic and operational planning, performance budgeting and financial management, human capital management, audit coordination and resolution, systems engineering and IT security, continuity of operations, and independent validation and verification.

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT**

Justification of Program Changes

(Dollars in Thousands)

Program Decrease: Systems Operation and Maintenance
 PPA: United States Visitor and Immigrant Status Indicator Technology
 Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-1794.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	128,126
Program Decrease							-	-	(1,794)
Total Request	-	-	86,200	-	-	128,126	-	-	126,332

Description of Item

US-VISIT Systems O&M provides operations and support for three O&M investments:

IDENT is the largest fingerprint repository and most efficient matching system in the world. It can process up to 200,000 transactions per day for DHS, DOS, and DOD; Federal, State, and local law enforcement agencies; and other stakeholders. Currently, IDENT stores more than 106 million individual fingerprint records that contain biometric data for legitimate travelers to the United States, immigration benefit seekers, and immigration violators. It contains watchlist data: information on KSTs, criminals, sexual offenders, domestic and international fugitives, officer safety threats, military detainees, immigration violators, other persons of interest, and other egregious offenders. IDENT receives a subject’s fingerprints, stores them via an enrollment transaction, and compares them against stored fingerprint records. Results are provided to end users to help determine identity in 10 seconds or less against the subsets (highly actionable) of the watchlist.

IDENT O&M costs include support for application-related components: servers, matchers, storage required to meet expanding gallery size and transaction volumes, and service, including a 24/7 Help Desk and system uptime maintenance at 99 percent or better. Gallery size (stored fingerprints) is the primary cost driver. Increased gallery size requires additional data storage and equipment to maintain IDENT’s matching speed. O&M costs continue increasing as IDENT is adjusted to support fingerprint database expansion and a yearly growth rate of at least 18 million new fingerprints.

ADIS is an electronic system that collects information about noncitizens traveling to the United States. This includes arrival and departure border crossings and immigration status updates for each traveler. ADIS receives information from multiple systems, some

of which are from government organizations external to US-VISIT, and matches events to a unique person to create a complete record of events during their arrival, stay, and departure from the United States. ADIS matches departures with arrivals to ascertain compliance, stores travel and status adjustment records, and provides a range of ad hoc queries and reporting capabilities. ADIS incorporates additional data elements and transactions associated with all US-VISIT systems and other immigration systems to maintain complete traveler histories. ADIS maintains travel histories for more than 200 million alien travelers. The data collected includes key biographic and biometric identifiers and the processing of information provided to law enforcement and other stakeholders. ADIS receives 100 percent of all system-confirmed arrivals and all air/sea arrival and departure manifests, along with I-94/I-94W departure records. ADIS also receives status updates from the USCIS Computer Linked Application Information Management System 3 and the ICE Student and Exchange Visitor Information System on aliens and changes to their immigration status.

ADIS O&M costs include support for infrastructure management (hardware), application management (product support and help desk support), and network and data center support. Services are growing to support more stakeholders and users, including a 24/7 Help Desk and system uptime maintenance at 99 percent or better.

Corporate Systems – IT Infrastructure includes:

- All US-VISIT corporate hardware maintenance including software tools and campus infrastructure upgrades
- Corporate Systems Help Desk
- Corporate Network Services – including the Project Office Network and LAN
- Corporate Systems maintenance agreements for US-VOICE, DOORS, Portfolio Management, IMP/IMS, Microsoft EA, Oracle, and LE&I

Continual O&M support of applications and systems ensures US-VISIT's functional capability and safeguards the service and performance levels of US-VISIT as a "system of systems." As a DHS enterprise service provider, US-VISIT currently supports a growing user base, which includes DHS customers as well as interagency and international stakeholders.

Justification

FY 2011 funding is necessary to support current services related to IDENT record enrollment and transaction processing, demand which is expected to trend upward significantly by FY 2010 and level off in FY 2011. FY 2011 O&M resources provide the continuation of a hardware refresh program initiated in FY 2010 to replace portions of the original two-print fingerprint matcher hardware inventory that supports IDENT biometric identification capabilities.

Current Services Growth – Three factors contribute to IDENT's sustained growth in O&M: increasing transaction volumes, fingerprint gallery size growth, and maintaining safe levels of system capacity in the face of continuous growth. Approximately one of every three travelers encountered results in an enrollment record (two-thirds will already

be enrolled). For FY 2011, US-VISIT projects a gallery size growth of 18 million records. US-VISIT must continue investing in hardware and software allowing consistent search and match performance against an exponentially growing gallery to meet existing service-level agreements.

Fingerprint Matcher Hardware Refresh – The IDENT fingerprint matcher subsystem was developed and implemented prior to the US-VISIT Program’s first major milestone: the January 2004 delivery of biometric identification and screening services to air and sea POEs. The fingerprint matcher hardware acquired in FY 2004 has a useful life of 3 to 5 years. The program is initiating a phased hardware refresh of the matchers and plans to replace 20 percent of the original matcher inventory with the FY 2010 increase—part of a 5-year refresh plan. The hardware refresh requires increases in operations support for IDENT database administration, software licenses, and application management support.

Impact on Performance

US-VISIT’s capabilities are successfully used by many agencies, both internal and external to DHS and within the immigration, border management, intelligence, and law enforcement communities. Maintaining appropriate levels of O&M funding is critical to enabling IDENT and ADIS to continue to provide biometric and biographic matching capabilities to US-VISIT users in line with past performance. To minimize impact to customers, the reduction to US-VISIT O&M will require US-VISIT to extend a portion of the two-print fingerprint matcher refresh program for an additional year. This will have a negligible impact on performance since only a portion of the planned FY 2011 replacement will be required.

In FY 2009, IDENT processed more than 54 million biometric transactions for its user agencies. As a result, more than 302,553 individuals were biometrically matched against the US-VISIT watchlist in FY 2009. The ability to biometrically verify identity greatly reduces identity fraud and provides consular officers, CBP officers, Border Patrol officers, ICE agents, USCG personnel, and others with valuable information upon which to make risk assessments. US-VISIT biometric information contributed to the denial of visas, refused entry at U.S. ports of entry, and denial of immigration benefits, as well as arrests and deportations.

ADIS entry/exit matching capabilities are a critical resource to US-VISIT analysts, providing overstay leads to ICE. Between FY 2007 and 2008, ICE arrests based upon US-VISIT referrals more than doubled to 715, while the POE and visa refusals tripled to more than 1,400 based on information provided by US-VISIT. FY 2009 production rates continue to match or exceed the FY 2007-2008 experience; through the end of FY 2009, there were 568 ICE arrests based upon US-VISIT referrals and more than 2500 port and visa refusals based upon US-VISIT lookouts. US-VISIT tracks watchlist and lookout hits as well as the actions its customers take using the information it provides, including law enforcement actions. However, the program does not set future year targets for this type of output measure because multiple external factors influence its customers’ actions, which are outside the program’s control.

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT**

Justification of Program Changes

(Dollars in Thousands)

Program Increase: US-VISIT 1.0
PPA: United States Visitor and Immigrant Status Indicator Technology
Program Increase: Positions 0.0, FTE 0.0, Dollars \$1569.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	-	-	-
Program Increase	-	-	-	-	-	-	-	-	1,569
Total Request	-	-	-	-	-	-	-	-	1,569

Description of Item

US-VISIT will complete deployment of the modernized IDENT in FY 2010. This contemporary architecture takes the original monolithic IDENT architecture and re-deploys several functions as discrete components as the program deploys a Service Oriented Architecture (SOA). This is only a preliminary step, however, in developing the scalability required to process the increased transaction volumes expected in coming years.

With the US-VISIT 1.0 initiative, the program is taking steps towards addressing system performance limitations and high O&M costs by analyzing multiple approaches to re-architecting the current system to optimize performance and gain efficiencies. It is projected that the IDENT fingerprint gallery (i.e., the fingerprint images available to the matchers) will continue to grow beyond the 114 million identities at the end of FY 2009 and will reach a critical point of 250 million identities between 4 and 6 years. At 250 million identities, projections indicate that there will not be sufficient time to update fingerprint matcher memory with new fingerprint images (i.e., images that are better than those already in memory) and that IDENT will slow down to the point of becoming an ineffective tool.

To mitigate these capacity concerns and to mitigate the increasing cost of maintaining IDENT, US-VISIT continually evaluates emerging and anticipated technologies. US-VISIT plans to leverage its modernized, “building block” architecture to evaluate and integrate the newest and future technologies. The US-VISIT 1.0 system will increase the capacity of US-VISIT to provide identity-matching services to facilitate travel and trade by handling more transactions (up to 10 times more) more quickly (a goal of a uniform service level agreement of 10 seconds for all transaction types) than US-VISIT is able to accommodate today. The reduced hardware footprint will result in a “greener” US-

VISIT environment through reduced hardware. Data center cost reductions are currently projected to be approximately 30 percent; however, this estimate must be confirmed by more rigorous economic analysis. US-VISIT anticipates a reduction in server acquisition and maintenance costs of at least 30 percent, reducing the total cost of ownership of the US-VISIT identity services support systems substantially while supporting up to 10 times more transactions to meet existing and new policy requirements. The combination of increased capacity and reduced costs will yield a much lower cost per match than is seen with current systems. US-VISIT 1.0 will allow for more comprehensive searches of the biometric gallery: the entire gallery will be subject to every search, in contrast to current segmented searches.

Justification

The requested resources will enable US-VISIT to develop a complete requirements base regarding fingerprint and other multi-biometric high-speed matching and a model target architecture, and to validate the targeted architecture with specific prototypes. When completed, the requirements will be used to develop a business case and economic analysis.

Impact on Performance

Better use of virtualized hardware and software will reduce O&M lifecycle costs for data center support, labor, hardware replacement, and maintenance agreements, and will allow the Government to better control these costs. US-VISIT anticipates a minimum of 30-percent savings in these areas and will confirm savings in the economic analysis before proceeding with any acquisitions. This estimate is based on a conservative estimate of a 3:1 hardware savings by virtualized hosting of applications currently allocated on a 1:1 basis to hardware. It is reasonable to expect, based on wide industry experience, that a sizable minority of server consolidation via virtualization may exceed the 3:1 ratio and may reach 5:1 or 7:1 without material impact on performance under current load conditions. Sophisticated monitor and control software available as commercial-off-the-shelf will be utilized to maintain a view of and automated control over the operational status of each virtualized environment to assure an automated fail-over and restart of any transaction that does not complete normally.

The use of nonproprietary fingerprint matching algorithms deployed on commodity high-performance hardware will dramatically reduce or eliminate vendor lock-in and will reduce the current acquisition and O&M costs associated with vendor proprietary hardware and software. Full nonstop fail-over capability will be achieved for much less cost than a similar capability implemented with current vendor offerings. The next generation architecture will reduce matching response times for many of the fingerprint transactions as the gallery expands from 114 million fingerprints at the end of FY 2009 to an eventual 500 million identities defined with one or more biometrics (fingerprints, iris, vein, or facial) and biographic information.

In addition, the US-VISIT 1.0 system will increase US-VISIT's capacity to provide identity-matching services to facilitate travel and trade by handling more transactions (up to 10 times more) more quickly (a goal of a uniform service-level agreement of 10

seconds for all transaction types) than US-VISIT is able to accommodate today. The combination of increased capacity and reduced costs will yield a much lower cost per match than is seen with current systems. US-VISIT 1.0 will allow for more comprehensive searches of the biometric gallery: the entire gallery will be subject to every search, in contrast to current segmented searches.

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT**

Justification of Program Changes

(Dollars in Thousands)

Program Decrease: Unique Identity/IDENT/IAFIS
 PPA: United States Visitor and Immigrant Status Indicator Technology
 Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-2848.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	28,700
Program Decrease							-	-	(2,848)
Total Request	-	-	63,027	-	-	28,700	-	-	25,852

Description of Item

As DHS biometric service provider, US-VISIT plans to continually expand capabilities for biometric verification of identity, as well as interoperability with pertinent databases and the watchlist. US-VISIT’s initial focus was on achieving matching capabilities with the FBI IAFIS. This effort continues to expand into development of additional exchange opportunities with the FBI.

US-VISIT will investigate biometric identification technologies, such as iris and facial recognition, to review the merits of potentially developing interoperability with other biometric identification systems.

Justification

The requested resources will enable US-VISIT to:

- *Deploy civil search capability*, enabling full noncriminal justice purpose searches of IAFIS and IDENT for all FBI CJIS and DHS stakeholders, providing access to more than 60 million images in FBI civil fingerprint files captured and stored as part of background checks for employment, licensing, and other non-criminal justice purposes.
- *Deploy record linking functionality*, allowing for the retrieval of information from both IDENT and IAFIS from a single transaction while minimizing the number of identification searches. This will allow for more efficient system searches, thus improving operational efficiencies and improving response times. The use of a “person-centric” identifier will link fingerprint records common to both IDENT and IAFIS. The development and deployment of this capability has a significant dependency on the FBI’s Next Generation Identification which will update IAFIS.

US-VISIT planning and analysis will occur in 2010, design and initial build activities in FY 2011, and deployment in FY 2012.

Impact on Performance

Expanded interoperability and biometric identification technologies provide US-VISIT's users with more comprehensive, accurate, and cost-effective identification and watchlist matching capabilities. The enablement of record linking with previously deployed capabilities will allow for automatic notification of the addition of subsequent criminal or civil data to be recorded. This will provide additional, near real-time encounter information on the individual, such as new criminal information, and improve DHS' decision-making with regard to admissibility decisions and enforcement actions.

The deployment of civil search capability will better help authorities determine when individuals have misrepresented their identities or travel histories and enhance the quality of decision-making. Civil search will enable full vetting against a maximum of Federal information on criminal and immigration history. Individuals in positions of public and private trust that significantly impact the public and Nation will be vetted for criminal history, immigration history, and will have their identities verified. This will lower risk by ensuring that individuals in these positions have no derogatory information that would impact and inhibit their ability to perform the functions of their position.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Department of Homeland Security National Protection and Programs Directorate

Justification of Proposed Changes in United States Visitor and Immigrant Status Indicator Technology Appropriation Language

For necessary expenses for the development of the United States Visitor and Immigrant Status Indicator Technology project, as authorized by section 110 of the Illegal Immigration Reform and Immigration Responsible Act of 1996 (8 U.S.C. 1365a), [\$372,762,000] \$334,613,000 to remain available until expended. [: Provided, That of the total amount made available under this heading, \$75,000,000 may not be obligated for the United States Visitor and Immigrant Status Indicator Technology project until the Committees on Appropriations of the Senate and the House of Representatives receive a plan for expenditure, prepared by the Secretary of Homeland Security, not later than 90 days after the date of enactment of this Act that meets the statutory conditions specified under this heading in Public Law 110-329: Provided further, That not less than \$28,000,000 of unobligated balances of prior year appropriations shall remain available and be obligated solely for implementation of a biometric air exit capability.]

Explanation of Changes:

Request removing spend plan requirement withholding funds, as well as language describing use of prior year appropriations for biometric air exit.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	150	131	296,659
FY 2010 Enacted	212	199	373,762
Adjustments-to-Base	-	-	-
Increases	-	-	-
2011 Pay Increase	-	-	315
Annualization of 2010 Pay Raise	-	-	93
GSA Rent	-	-	64
Total Increases	-	-	472
Decreases	-	-	-
Total, Adjustments-to-Base	-	-	472
FY 2011 Current Services	212	199	374,234
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Comprehensive Biometric Exit	-	-	(22,000)
Data Center Mirror and Migration*	-	-	(1,266)
Identity Screening Services	-	-	(650)
Program Management Services	200	200	(12,632)
Systems Operation and Maintenance	-	-	(1,794)
US-VISIT 1.0	-	-	1,569
Unique Identity/IDENT/IAFIS	-	-	(2,848)
Total, Program Changes	200	200	(39,621)
FY 2011 Request	412	399	334,613
FY 2010 to FY 2011 Total Change	200	200	(39,149)

* The US-VISIT program change for data center migration reflects the net change amount of a \$16.266M decrease from FY 2010 enacted US-VISIT funding for data center migration and a \$15M one-time enhancement from the consolidated DHS CIO data center funding.

C. Summary of Requirements

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	150	131	296,659
FY 2010 Enacted	212	199	373,762
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	472
Total, Adjustments-to-Base	-	-	472
FY 2011 Current Services	212	199	374,234
Program Changes	-	-	-
Total, Program Changes	200	200	(39,621)
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	412	399	334,613
Total Change 2010 to 2011	200	200	(39,149)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
US-VISIT	212	199	373,762	412	399	334,613	200	200	(39,149)	200	200	(39,621)	-	-	472
Subtotal, Estimates Program Project Activity	212	199	373,762	412	399	334,613	200	200	(39,149)	200	200	(39,621)	-	-	472
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	212	199	373,762	412	399	334,613	200	200	(39,149)	200	200	(39,621)	-	-	472

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
National Protection & Programs Directorate
US-VISIT
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	13,794	23,467	40,530	17,063
11.3 Other than full-time permanent	398	375	415	40
11.5 Other personnel compensation	461	377	1,057	680
12.1 Benefits	4,241	5,813	11,754	5,941
21.0 Travel	327	400	400	-
22.0 Transportation of things	120	155	155	-
23.1 GSA rent	3,575	3,600	3,664	64
23.2 Other rent	2,825	2,800	2,800	-
23.3 Communications, utilities, and misc. charges	586	600	600	-
25.1 Advisory and assistance services	94,922	102,000	50,883	(51,117)
25.2 Other services	54,617	70,000	23,665	(46,335)
25.3 Purchases from Gov't accts.	230	230	230	-
25.4 O&M of facilities	2,182	2,200	2,200	-
25.7 Operation and maintenance of equipment	49,723	58,115	59,479	1,364
26.0 Supplies and materials	416	475	500	25
31.0 Equipment	68,242	103,155	136,281	33,126
Total, Object Class	296,659	373,762	334,613	(39,149)
Unobligated Balance, start of year	179,667	43,226	-	(43,226)
Unobligated Balance, end of year	(43,226)	-	-	-
Total, Adjustments	136,441	43,226	-	(43,226)
Total, Direct Obligations	433,100	416,988	334,613	(82,375)

F. Permanent Positions by Grade

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.*	Pos.	Pos.	Total
Total, SES	3	3	3	-
GS-15	65	55	58	3
GS-14	43	87	107	20
GS-13	32	21	53	32
GS-12	6	26	52	26
GS-11	-	-	63	63
GS-9	1	10	57	47
GS-7	-	10	15	5
GS-5	-	-	4	4
Total Permanent Positions	150	212	412	200
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	168	212	412	200
Full Time Equivalents	131	199	399	200
Headquarters	150	212	412	200
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total, Location	150	212	412	200
Average ES Salary	163,097	168,479	168,968	489
Average GS Salary	133,194	137,589	98,374	(39,215)
Average Grade	15	14	13	(1)

*Actual total permanent positions for FY 2009 include workforce realignment positions.

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT
Funding Schedule
(Dollars in Thousands)**

PPA: United States Visitor and Immigrant Status Indicator Technology	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	13,794	23,467	40,530	17,063
11.3 Other than full-time permanent	398	375	415	40
11.5 Other personnel compensation	461	377	1,057	680
12.1 Benefits	4,241	5,813	11,754	5,941
21.0 Travel	327	400	400	-
22.0 Transportation of things	120	155	155	-
23.1 GSA rent	3,575	3,600	3,664	64
23.2 Other rent	2,825	2,800	2,800	-
23.3 Communications, utilities, and misc. charges	586	600	600	-
25.1 Advisory and assistance services	94,922	102,000	50,883	(51,117)
25.2 Other services	54,617	70,000	23,665	(46,335)
25.3 Purchases from Gov't acct.	230	230	230	-
25.4 O&M of facilities	2,182	2,200	2,200	-
25.7 Operation and maintenance of equipment	49,723	58,115	59,479	1,364
26.0 Supplies and materials	416	475	500	25
31.0 Equipment	68,242	103,155	136,281	33,126
Total, Object Class	296,659	373,762	334,613	(39,149)
Unobligated Balance, start of year	179,667	43,226	-	(43,226)
Unobligated Balance, end of year	(43,226)	-	-	-
Total, Adjustments	136,441	43,226	-	(43,226)
Total, United States Visitor and Immigrant Status Indicator Technology	433,100	416,988	334,613	(82,375)
Full Time Equivalents	131	199	399	200

PPA Mission Statement

The mission of the United States Visitor and Immigration Status Indicator Technology (US-VISIT) program is to provide biometric identification through the collection, maintenance, and sharing of biometric information and selected biographic data to authorized DHS, Federal, State and local government and law enforcement agencies in support of the DHS mission. Through its use of biometrics, US-VISIT collects, stores, and shares digital fingerscans and digital photographs for subsequent verification. This biometric information is paired with biographic information used to establish and verify an individual's identity, as well as vet that identity against criminal and immigration violator watchlists. US-VISIT also analyzes biographic data for identification of potential overstays.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	13,794	23,467	40,530	17,063

The salaries and benefits request includes an increase of \$23,724,000 for 399 FTEs, proposed cost of living

allowance, medical benefits, and other mandatory personnel entitlements including the annualization of the 2010 cost of living increase of \$93,000, the 2011 cost of living increase of \$315,000. The increase of 200 FTEs is funded by an offset to the program/contract funds.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	398	375	415	40

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	461	377	1,057	680

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	4,241	5,813	11,754	5,941

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	327	400	400	-

The travel and transportation of persons request includes funding of \$400,000 for travel and transportation costs of Government employees and other persons, while in an authorized travel status, which are subject to regulations governing travel, and includes incidental travel expenses such as baggage transfer, telephone expenses, and other expenses as authorized.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	120	155	155	-

The transportation of things request includes funding of \$155,000 for the care of things while being transported, and includes other related expenses such as freight and express charges, transportation handling, and mail charges for express package services and postage.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	3,575	3,600	3,664	64

The rental payments to General Services Agency (GSA) request includes funding of \$3,664,000, an increase of \$64,000, for all payments to GSA for rental of office space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	2,825	2,800	2,800	-

The rental payments to others includes funding of \$2,800,000 for payments to a non-Federal source for rental space in support of the US-VISIT mission.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	586	600	600	-

The communications, utilities, and miscellaneous charges request includes funding of \$600,000 for payments for information technology, utilities and miscellaneous changes in support of the US-VISIT mission such as hardware, software, data storage, transmission, and related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	94,922	102,000	50,883	(51,117)

The advisory and assistance services request includes funding of \$50,883,000, a decrease of \$51,117,000, for services acquired by contract from non-Federal sources and other Federal government services for studies, analysis and evaluations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	54,617	70,000	23,665	(46,335)

The other services request includes funding of \$23,665,000, a decrease of \$46,335,000, for contractual services with non-Federal sources for program office support, interagency agreements for services (equipment staging, data center application hosting, data communications, etc.).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	230	230	230	-

The other purchases of good and services from Government accounts request includes funding of \$230,000 for interagency agreements for contractual services for the purchase of goods and services and the expenditure transfers between Federal government accounts for jointly-funded projects.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	2,182	2,200	2,200	-

The operations and maintenance of facilities request includes funding of \$2,200,000 for the operation and maintenance of facilities done by contract with the private sector or interagency agreement for routine repairs and upkeep.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	49,723	58,115	59,479	1,364

The operation and maintenance of equipment request includes funding of \$59,479,000, an increase of \$1,364,000, for operation, maintenance , repair and storage of equipment done under contract with the private sector or though interagency agreement for information technology systems, license agreements, and other contract based equipment maintenance and operation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	416	475	500	25

The supplies and materials request includes funding of \$500,000, an increase of \$25,000, for commodities

such as office supplies, publications, information technology supplies and materials such as manuals and data storage media, and toner cartridges for laser printers.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	68,242	103,155	136,281	33,126

The equipment request includes funding of \$136,281,000, an increase of \$33,126,000, for the purchase of personal property of a durable nature that is expected to have service life of one year or more and includes the initial installation of equipment performed under contract. This request also includes funds for data center mirror and migration equipment purchases.

I. Changes in Full Time Equivalent

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	109	131	199
INCREASES	-	-	-
Vacancies Filled	22	-	-
Annualization of prior-year FTE	-	18	-
Workforce Resource Analysis Personnel Realignment	-	50	-
Program Management Services	-	-	200
Subtotal, Increases	22	68	200
DECREASES	-	-	-
Year End Actual / Estimated FTEs:	131	199	399
Net Change from prior year base to Budget Year Estimate:	22	68	200

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
National Protection & Programs Directorate
US-VISIT**

**FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
DHS Crosscutting Activity	67	74	89	15
Fee for Service Activity	9,767	11,537	13,844	2,307
Government-wide Mandated Service Activity	64	70	84	14
Tri-Bureau Service Activity	9,264	10,685	12,822	2,137
Working Capital Fund Management Activity	36	38	46	8
DHS Data Center Migration	-	-	15,000	15,000
Total Working Capital Fund	19,198	22,404	41,885	19,481

Department of Homeland Security
National Protection & Programs Directorate
Federal Protective Service



Fiscal Year 2011
Overview
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Federal Protective Service

I. Appropriation Overview

A – Mission Statement for Federal Protective Service

The Federal Protective Service (FPS) is the Federal law enforcement organization responsible for the protection of federal facilities. FPS executes the Department of Homeland Security's responsibility to protect federally owned property, leased property and personnel across the nation, as required by section 1315 of title 40 United States Code. FPS operations focus on security and law enforcement activities that reduce vulnerability to criminal and terrorist threats, while ensuring facilities are secure and occupants are safe. FPS protects Federal facilities and the employees within them through measures such as all hazards based risk assessments; appropriate placement of countermeasures, law enforcement response; assistance to stakeholders through Facility Security Committees; and emergency and safety education. FPS also partners with Federal agencies to provide additional required security services. FPS is the lead Government Facilities Sector-specific Agency for the National Infrastructure Protection Plan (NIPP). FPS employs approximately 1,225 Law Enforcement Officers (LEO) and non-LEO employees, as well as the services of 15,000 contract security guards strategically located throughout the Nation to protect facilities in its purview.

FPS transferred to the National Protection and Programs Directorate (NPPD) in FY 2010 from Immigration and Customs Enforcement. FPS serves as the Sector-specific agency for the Government Facilities sector and is an active critical infrastructure security partner with NPPD's Office of Infrastructure Protection, further solidifying NPPD as the Department's lead for critical infrastructure protection.

DHS established a series of national strategic themes to guide the activities of all the department's components. While the FPS mission incorporates all of these strategic themes, there are five that are particularly relevant to the FPS mission:

- awareness;
- prevention;
- protection;
- service; and
- organizational excellence.

These five themes are the foundation of the FPS vision of "Secure Facilities, Safe Occupants"—a vision that contributes to the DHS mission of securing America. These themes serve as the foundation of the FPS mission to keep America safe by mitigating risk to Federal facilities and their occupants.

B – Budget Activities

Basic Security

The Basic Security services include law enforcement services on federally-controlled property, preliminary investigations of incidents, limited proactive activities to detect and deter attack on high-risk facilities, and capture and detention of suspects. This security also includes the 24-hour security alarm monitoring, nationwide dispatch services, facility security assessments, assistance to Facility Security Committees, and sharing of current information on domestic and foreign terrorist threats. FPS estimates revenue and expenditures for Basic Security to total \$220 million for FY 2011.

Building Specific Security

Building Specific Security is based on security countermeasure requirements specific to a particular building. The two components are the Contract Security Guard and Security Systems programs. The Contract Security Guard program includes access control to facility entrances and exits, employee and visitor identification checks, monitoring security equipment, and roving patrols of the interior and exterior of Federal facilities. The Security Systems program is a component of Building Specific Security and includes the purchase, installation, and maintenance of security equipment, such as cameras, alarms, magnetometers, and x-ray machines. Security equipment is based on identified projects in security assessment and standard replacement schedules. FPS estimates revenue and expenditures for Building Specific Security to total \$420 million for FY 2011.

Reimbursable Agency Specific Security, commonly known as Security Work Authorizations (SWAs)

FPS enters into Security Work Authorizations with customer agencies to procure security measures beyond those included within Basic Security and Building Specific Security. FPS does not request authority for these collections because the additional security services and contract guards are determined by the operational security needs of the customer agencies (e.g. an additional contract guard and Closed Circuit Television (CCTV) cameras within a U.S. Citizenship and Immigration Services waiting room in a multi-tenant Federal building). FPS estimates revenue and expenditures for Security Work Authorizations to total \$475 million for FY 2011.

C – Budget Request Summary

With its current staffing of 1,225 FTE, FPS can provide services which include; incident response, conducting Facility Security Assessments (FSAs), supporting Facility Security Committees (FSCs), assisting Designated Officials in creating and maintaining Occupant Emergency Plans (OEPs), and oversight of contract guards.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security National Protection & Programs Directorate Federal Protective Service

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009*		FY 2010		FY 2011***		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Basic Security	931	224,217	1,037	213,673	1,037	220,000	-	6,327	-	-	-	6,327
Building Specific Security	125	381,227	94	426,327	94	420,000	-	(6,327)	-	-	-	(6,327)
Reimbursable Agency Specific Security**	125	395,076	94	475,000	94	475,000	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	1,181	1,000,520	1,225	1,115,000	1,225	1,115,000	-	-	-	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Offsetting Collections	-	(985,000)	-	(1,115,000)	-	(1,115,000)	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	1,181	15,520	1,225	-	1,225	-	-	-	-	-	-	-

* FY 2009 actuals do not include \$57,236,000 for Capital Investments funded from prior year funds.

** All years include revenue from Security Work Authorizations that have not been included in previous years submissions.

*** The estimate does not represent a change in the total amount of offsetting collection authority for the FPS in FY 2011. Rather, it reflects an adjustment to realign authority between Basic and Building Specific Security to better reflect anticipated sources of revenue.

III. Current Services Program Description by PPA

Department of Homeland Security
National Protection & Programs Directorate
Federal Protective Service
Basic Security
Program Performance Justification
(Dollars in Thousands)

PPA: Basic Security

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	965	931	224,217
2010 Enacted	1,037	1,037	213,673
2011 Adjustments-to-Base	-	-	6,327
2011 Current Services	1,037	1,037	220,000
2011 Total Request	1,037	1,037	220,000
Total Change 2010 to 2011	-	-	6,327

Basic Security

The Basic Security services include law enforcement on federally-controlled property, preliminary investigations of incidents, limited proactive activities to detect and deter attack on high-risk facilities, and capture and detention of suspects. This security also includes the 24-hour security alarm monitoring, nationwide dispatch services, facility security assessments, assistance to Facility Security Committees, and sharing of current information on domestic and foreign terrorist threats. FPS estimates collections and expenditures for Basic Security to total \$220 million for FY 2011. The estimate does not represent a change in the total amount of offsetting collection authority for the FPS in FY 2011. Rather, it reflects an adjustment to realign authority between Basic and Building Specific Security to better reflect sources of anticipated revenue.

**Department of Homeland Security
National Protection & Programs Directorate
Federal Protective Service
Building Specific Security
Program Performance Justification**
(Dollars in Thousands)

PPA: Building Specific Security

	Perm. Pos	FTE	Amount
2009 Actuals	130	125	381,227
2010 Enacted	94	94	426,327
2011 Adjustments-to-Base	-	-	(6,327)
2011 Current Services	94	94	420,000
2011 Total Request	94	94	420,000
Total Change 2010 to 2011	-	-	(6,327)

Building Specific Security

Building Specific Security is based on security countermeasure requirements specific to a particular building. The two components are the Contract Security Guard and Security Systems programs. The Contract Security Guard program includes access control to facility entrances and exits, employee and visitor identification checks, monitoring security equipment, and roving patrols of the interior and exterior of Federal facilities. The Security Systems program includes the purchase, installation, and maintenance of security equipment, such as cameras, alarms, magnetometers, and x-ray machines. Security equipment is based on identified projects in security assessment and standard replacement schedules. FPS estimates collections and expenditures for Building Specific Security to total \$420 million for FY 2011. The estimate does not represent a change in the total amount of offsetting collection authority for the FPS in FY 2011. Rather, it reflects an adjustment to realign authority between Basic and Building Specific Security to better reflect anticipated sources of revenue.

**Department of Homeland Security
National Protection & Programs Directorate
Federal Protective Service
Reimbursable Agency Specific Security
Program Performance Justification**
(Dollars in Thousands)

PPA: Reimbursable Agency Specific Security

	Perm. Pos	FTE	Amount
2009 Actuals	130	125	395,076
2010 Enacted	94	94	475,000
2011 Current Services	94	94	475,000
2011 Total Request	94	94	475,000
Total Change 2010 to 2011	-	-	-

Reimbursable Agency Specific Security

FPS enters into Security Work Authorizations (SWA) with customer agencies to procure security measures beyond those included within Basic Security and Building Specific Security. These SWA estimates are included in the Budget justification for congressional awareness, as FPS does not request authority for these collections since customers enter into the agreements at their discretion. The additional security services and contract guards are determined by the operational security needs of the customer agencies (e.g., an additional contract guard and Closed Circuit Television (CCTV) cameras within a U.S. Citizenship and Immigration Services waiting room in a multi-tenant Federal building). FPS estimates collections and expenditures for Security Work Authorizations to total \$475 million for FY 2011, \$400 million of which is estimated collections of customer operations security needs.

The FPS reimbursable offsetting collections budget estimate also includes approximately \$75 million in estimated contingency planning collections to enable FPS to provide increased security in the event of a significant natural disaster or an increase in national threat levels. FPS must respond immediately in support of FEMA disaster response and disaster recovery efforts under the National Response Plan. For example, in FY 2006, FPS provided reimbursable security support for the FEMA response in the Gulf Coast to Hurricanes Katrina, Rita, and Wilma. Planning for contingency collections ensures that the FPS can respond without potential delays to emergent security requests. The contingency collections will only be used if the security is required and requested by FEMA or another Federal agency. This can lead to the actual collections and expenditures reported to be less or more than the collections estimated, since incidents of this nature are hard to predict and vary from year to year.

CURRENT SERVICES PROGRAM DESCRIPTION

The Federal Protective Service (FPS) is the Federal law enforcement organization responsible for the protection and security of Federal buildings, property, and personnel across the Nation. FPS security operations include regular facility security assessments of Federal facilities, nationwide communications, alarm monitoring, and dispatching services, and administration of contract guards within Federal facilities.

In FY 2010, FPS continues to realign its mission, workforce, and resources to strengthen Federal physical security measures, procedures, and standards that apply to Federal buildings and enhance oversight and protection activities. FPS is focused on the protection of Federal property as required by section 1315 of Title 40 United States Code and as the sector-specific agency for the National Infrastructure Protection Plan (NIPP). Relying on the work of FPS Law Enforcement Security Officers (Inspectors), the protection focus is driven by the guiding principles of stakeholder service, technical expertise and organizational excellence. These include efficient stakeholder-oriented law enforcement and security services; sound standards, consistent compliance, and innovative techniques; strengthening overall organizational performance and business processes; and continuously enhancing the protection of Federal facilities under a risk-based approach.

The FPS strategic goal, “*Secure Facilities, Safe Occupants*”, continues to focus on the protection of Federal facilities and employees through a comprehensive law enforcement and security program. FPS security operations include regular facility security assessments of Federal facilities, nationwide communications, alarm monitoring, and dispatching services, and administration of contract guards within Federal facilities.

The FY 2010 Appropriation transferred FPS to the National Protection and Programs Directorate, to further align the critical infrastructure protection missions within the Department.

Below are the achieved and planned accomplishments for FPS. These accomplishments are achieved collaboratively through the basic, building specific, and reimbursable agency specific security funds.

Key Accomplishments

Significant accomplishments in FY 2009 include:

- Strengthened security standards and practices related to access control, screening, and the training and oversight of contract protective security officers to mitigate identified vulnerabilities to past and emerging threats;
- Improved the strategic methods used in identifying and reducing real and /or perceived threats faced by customers; and
- Provided law enforcement and security services at national security events that pose increased threats at or in the vicinity of Federal facilities, including the Inauguration of the President of the United States.

FY 2010 FPS planned accomplishments include:

- Realigning its mission, workforce and resources to further strengthen the protection of Federal property through collaborative partnerships and effective communication with stakeholders, proactive information and intelligence sharing, efficient stakeholder-oriented law enforcement and security services, sound security procedures with consistent compliance and innovative techniques through a highly skilled and operationally aligned workforce;
- Providing law enforcement and security services at national security events posing increased threats at or are in the vicinity of Federal facilities; and
- Serving as the sector specific agency for the Government Facilities Sector under the National Infrastructure Protection Plan (NIPP) to coordinate protection and security efforts for designated critical infrastructure and key resources across the sector.
- Developing and implementing a capital plan to utilize current balances to modernize FPS infrastructure.

FY 2011, FPS will:

- Provide maximum protection to ensure facilities are secure and occupants kept safe;
- Improve the strategic methods used in identifying and reducing actual and potential threats directed at FPS-protected facilities;
- Restoring proactive monitoring activities to mitigate the increased risk to FPS-protected facilities noted by the Government Accountability Office;
- Improve the service provided by our contract security guard force multiplier via effective acquisition strategies and intensive monitoring and coaching;
- Develop risk-based security standards tied to intelligence by implementing a robust and improved risk assessment tool to improve threat identification, identify associated risk mitigation countermeasures and provide objective security evaluations to stakeholders;
- Increase coordination across the government facilities sector in support of the FPS roles as the sector-specific agency under the National Infrastructure Protection Plan (NIPP); and
- Continue to refine business practices to ensure full collection of revenue through positive stakeholder interface.
- Continue to implement a capital plan that will result in improved security and customer service.

IV. Program Justification Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
National Protection and Programs Directorate
Justification of Proposed Changes in Federal Protective Service
Appropriation Language**

The revenues and collections of security fees credited to this account shall be available until expended for necessary expenses related to the protection of federally-owned and leased buildings and for the operations of the Federal Protective Service[: *Provided*, That the Secretary of Homeland Security and the Director of the Office of Management and Budget shall certify in writing to the Committees on Appropriations of the Senate and the House of Representatives no later than December 31, 2009, that the operations of the Federal Protective Service will be fully funded in fiscal year 2010 through revenues and collection of security fees, and shall adjust the fees to ensure fee collections are sufficient to ensure that the Federal Protective Service maintains not fewer than 1,200 full-time equivalent staff and 900 full-time equivalent Police Officers, Inspectors, Area Commanders, and Special Agents who, while working, are directly engaged on a daily basis protecting and enforcing laws at Federal buildings (referred to as "in-service field staff")]. [Department of Homeland Security Appropriations Act, 2010] **Department of Homeland Security Appropriations Act, 2011.**)

Explanation of Change:

FPS should have the flexibility to determine the appropriate staffing levels needed to accomplish its mission.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
National Protection & Programs Directorate
Federal Protective Service
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount**
FY 2009 Actuals*	1,225	1,181	1,000,520
FY 2010 Enacted	1,225	1,225	1,115,000
Adjustments-to-Base	-	-	-
Increases	-	-	-
2011 Pay Increase	-	-	1,524
Annualization of 2010 Pay Raise	-	-	709
GSA Rent	-	-	336
Total Increases	-	-	2,569
Decreases	-	-	-
Program Efficiencies	-	-	(2,569)
Total Decreases	-	-	(2,569)
FY 2011 Current Services	1,225	1,225	1,115,000
Program Changes	-	-	-
Total, Program Changes	-	-	-
Offsetting Collections	-	-	(1,115,000)
FY 2011 Request	1,225	1,225	-
FY 2010 to FY 2011 Total Change	-	-	-

*FY 2009 actuals do not include \$57,236,000 for Capital Investments funded from prior year funds.

**All years include revenue from Security Work Authorizations that have not been included in previous years submissions.

C. Summary of Requirements

Department of Homeland Security
National Protection & Programs Directorate
Federal Protective Service
 Summary of Requirements
 (Dollars in Thousands)

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals*	1,225	1,181	1,000,520
FY 2010 Enacted	1,225	1,225	1,115,000
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base***	-	-	-
Increases	-	-	2,569
Decreases	-	-	(2,569)
FY 2011 Current Services	1,225	1,225	1,115,000
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	1,225	1,225	1,115,000
Total Change 2010 to 2011	-	-	-

* FY 2009 actuals do not include \$57,236,000 for Capital Investments funded from prior year funds.

** All years include revenue from Security Work Authorizations that have not been included in previous years submissions.

*** The estimate does not represent a change in the total amount of offsetting collection authority for the FPS in FY 2011. Rather, it reflects an adjustment to realign authority between Basic and Building Specific Security to better reflect anticipated sources of revenue.

Program Project Activity	FY 2010			FY 2011***			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Basic Security	1,037	1,037	213,673	1,037	1,037	220,000	-	-	6,327	-	-	-	-	-	6,327
Building Specific Security	94	94	426,327	94	94	420,000	-	-	(6,327)	-	-	-	-	-	(6,327)
Reimbursable Agency Specific Security**	94	94	475,000	94	94	475,000	-	-	-	-	-	-	-	-	-
Subtotal, Estimates Program Project Activity	1,225	1,225	1,115,000	1,225	1,225	1,115,000	-	-	-	-	-	-	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Offsetting Collections	-	-	(1,115,000)	-	-	(1,115,000)	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	1,225	1,225	-	1,225	1,225	-	-	-	-	-	-	-	-	-	-

* FY 2009 actuals do not include \$57,236,000 for Capital Investments funded from prior year funds.

** All years include revenue from Security Work Authorizations that have not been included in previous years submissions.

*** The estimate does not represent a change in the total amount of offsetting collection authority for the FPS in FY 2011. Rather, it reflects an adjustment to realign authority between Basic and Building Specific Security to better reflect anticipated sources of revenue.

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
National Protection & Programs Directorate
Federal Protective Service
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request**	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	94,331	97,163	103,570	6,407
11.3 Other than full-time permanent	173	172	184	12
11.5 Other personnel compensation	18,755	10,971	11,696	725
12.1 Benefits	29,602	36,811	38,227	1,416
21.0 Travel	6,643	5,605	5,605	-
22.0 Transportation of things	8,595	12,989	12,989	-
23.1 GSA rent	23,499	23,969	24,305	336
23.2 Other rent	569	722	722	-
23.3 Communications, utilities, and misc. charges	8,472	7,646	7,646	-
24.0 Printing	1	1	1	-
25.1 Advisory and assistance services	34,493	20,296	17,727	(2,569)
25.2 Other services	787,834	855,440	849,113	(6,327)
25.3 Purchases from Gov't accts.	1,200	1,066	1,066	-
25.4 O&M of facilities	158	158	158	-
25.6 Medical care	12	12	12	-
25.7 Operation and maintenance of equipment	16,760	13,181	13,181	-
26.0 Supplies and materials	14,343	4,098	4,098	-
31.0 Equipment	11,392	24,300	24,300	-
32.0 Land & structures	343	-	-	-
42.0 Insurance Claims and Indemnity	400	400	400	-
99.5 Below Reporting Threshold	181	-	-	-
Total, Object Class	1,057,756	1,115,000	1,115,000	-
Unobligated Balance, start of year	(237,599)	(203,987)	(65,000)	138,987
Unobligated Balance, end of year	203,987	65,000	65,000	-
Total, Adjustments	(33,612)	(138,987)	-	138,987
Total, Direct Obligations	1,024,144	976,013	1,115,000	138,987

*FY 2009 actuals do not include \$57,236,000 for Capital Investments funded from prior year funds.

**All years include revenue from Security Work Authorizations that have not been included in previous years submissions.

F. Permanent Positions by Grade

**Department of Homeland Security
National Protection & Programs Directorate
Federal Protective Service
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	2	2	2	-
GS-15	15	15	15	-
GS-14	85	85	85	-
GS-13	180	180	180	-
GS-12	728	728	728	-
GS-11	75	75	75	-
GS-10	4	4	4	-
GS-9	60	60	60	-
GS-8	36	36	36	-
GS-7	30	30	30	-
GS-6	7	7	7	-
GS-5	3	3	3	-
Total Permanent Positions	1,225	1,225	1,225	-
Unfilled Positions EOY	126	-	-	-
Total Permanent Employment EOY	1,099	1,225	1,225	-
Full Time Equivalents	1,181	1,225	1,225	-
Headquarters	173	173	173	-
U.S. Field	1,052	1,052	1,052	-
Foreign Field	-	-	-	-
Total, Location	1,225	1,225	1,225	-
Average ES Salary	173,912	173,912	179,129	5,217
Average GS Salary	92,749	92,774	95,557	2,783
Average Grade	12	12	12	-

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
National Protection & Programs Directorate
Federal Protective Service
Basic Security
Funding Schedule
(Dollars in Thousands)**

PPA: Basic Security	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	73,708	82,251	88,428	6,177
11.3 Other than full-time permanent	137	146	158	12
11.5 Other personnel compensation	14,293	9,287	9,986	699
12.1 Benefits	23,105	31,161	32,491	1,330
21.0 Travel	6,113	1,365	1,365	-
22.0 Transportation of things	5,450	1,640	1,640	-
23.1 GSA rent	18,511	18,881	19,217	336
23.2 Other rent	569	722	722	-
23.3 Communications, utilities, and misc. charges	5,950	2,090	2,090	-
24.0 Printing	1	1	1	-
25.1 Advisory and assistance services	28,262	13,534	11,307	(2,227)
25.2 Other services	68,462	43,162	43,162	-
25.3 Purchases from Gov't accts.	688	460	460	-
25.4 O&M of facilities	158	158	158	-
25.6 Medical care	12	12	12	-
25.7 Operation and maintenance of equipment	11,514	2,183	2,183	-
26.0 Supplies and materials	14,269	931	931	-
31.0 Equipment	9,327	5,289	5,289	-
32.0 Land & structures	343	-	-	-
42.0 Insurance Claims and Indemnity	400	400	400	-
99.5 Below Reporting Threshold	181	-	-	-
Total, Object Class	281,453	213,673	220,000	6,327
Total, Basic Security	281,453	213,673	220,000	6,327
Full Time Equivalents	931	1,037	1,037	-

*FY 2009 actuals do not include \$57,236,000 for Capital Investments funded from prior year funds.

** The estimate does not represent a change in the total amount of offsetting collection authority for the FPS in FY 2011. Rather, it reflects an adjustment to realign authority between Basic and Building Specific Security to better reflect anticipated sources of revenue.

PPA Mission Statement

The Basic Security services include law enforcement on federally-controlled property, preliminary investigations of incidents, limited proactive activities to detect and deter attack on high-risk facilities, and capture and detention of suspects. This security also includes the 24-hour security alarm monitoring, nationwide dispatch services, facility security assessments, assistance to Facility Security Committees, and sharing of current intelligence on domestic and foreign terrorist threats. FPS estimates collections for Basic Security to total \$220 million for FY 2011.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	73,708	82,251	88,428	6,177

The FY11 request includes \$131,063,000 for salaries and benefits, an increase of \$8,218,000 over the FY10 enacted, for \$1,891,000 in pay inflation and \$6,327,000 realigned funds from Building-Specific Security to support projected FY 2011 staffing requirements.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	137	146	158	12

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	14,293	9,287	9,986	699

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	23,105	31,161	32,491	1,330

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	6,113	1,365	1,365	-

The FY11 request includes \$1,365,000; for no increase over FY10. Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. Funding in the travel area will be used to complete all Building Security Assessments and training requirements.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	5,450	1,640	1,640	-

The FY11 request includes \$1,640,000; no increase over FY10. Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	18,511	18,881	19,217	336

The FY11 request includes \$19,217,000 for GSA Rent, which includes all payments to the General Services Administration (GSA) for rental of space and rent related services. This represents rent escalation of \$336,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	569	722	722	-

The FY11 request includes \$722,000; no increase over FY10, for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	5,950	2,090	2,090	-

This request includes \$2,090,000; no increase over FY10 for Communications, utilities, and miscellaneous charges that include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	1	1	1	-

The FY11 request includes \$1,000; no increase over FY10 for all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	28,262	13,534	11,307	(2,227)

The FY11 request includes \$11,307,000; a \$2,227,000 decrease over the FY 2010 to absorb the pay and rent inflation out of base funds for management and professional services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	68,462	43,162	43,162	-

The FY11 request includes \$43,162,000; for contractual services with non-federal agencies not otherwise classified under Object Class 25. The FY11 request represents no increase over the FY 2010 program.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	688	460	460	-

The FY11 request includes \$460,000; no increase over the FY10 program for purchase from other government agencies not otherwise classified in Object Class 25.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	158	158	158	-

The FY11 request includes \$158,000; no increase over the FY10 program for Operation and Maintenance of facilities performed under contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	12	12	12	-

The FY11 request includes \$12,000; no increase over the FY10 program for medical care and assistance.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	11,514	2,183	2,183	-

The FY11 request includes \$2,183,000; no increase over the FY10 program for preventative, routine, and emergency care repair, and storage of security and protective equipment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	14,269	931	931	-

The FY11 request includes \$931,000; no increase over the FY10 program for supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	9,327	5,289	5,289	-

The FY11 request includes \$5,289,000; no increase over the FY10 program for equipment costs, including purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	400	400	400	-

The FY11 request includes \$400,000 no increase over the FY10 program for reimbursements due to licensees or contractors for losses incurred in support of Government activities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
99.5 Below Reporting Threshold	181	-	-	-

FY 2009 actuals included charges against OC 99.5 that FPS is reviewing for appropriate classification for the obligations. As required under Circular A-11, Section 83, this was reported as an OC adjustment, since it was below the \$500,000 threshold.

**Department of Homeland Security
National Protection & Programs Directorate
Federal Protective Service
Building Specific Security
Funding Schedule
(Dollars in Thousands)**

PPA: Building Specific Security	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	9,935	7,456	7,571	115
11.3 Other than full-time permanent	18	13	13	-
11.5 Other personnel compensation	1,925	842	855	13
12.1 Benefits	3,113	2,825	2,868	43
21.0 Travel	135	3,299	3,299	-
22.0 Transportation of things	1,276	9,443	9,443	-
23.1 GSA rent	2,248	2,293	2,293	-
23.3 Communications, utilities, and misc. charges	935	4,101	4,101	-
25.1 Advisory and assistance services	395	2,562	2,391	(171)
25.2 Other services	358,180	368,550	362,223	(6,327)
25.7 Operation and maintenance of equipment	1,240	6,400	6,400	-
26.0 Supplies and materials	62	2,228	2,228	-
31.0 Equipment	1,765	16,315	16,315	-
Total, Object Class	381,227	426,327	420,000	(6,327)
Total, Building Specific Security	381,227	426,327	420,000	(6,327)
Full Time Equivalents	125	94	94	-

PPA Mission Statement

Building Specific Security is based on security countermeasure requirements specific to a particular building. The two components are the Contract Security Guard and Security Systems programs. The Contract Security Guard program includes access control to facility entrances and exits, employee and visitor identification checks, monitoring security equipment, and roving patrols of the interior and exterior of federal facilities. The Security Systems program includes the purchase, installation, and maintenance of security equipment, such as cameras, alarms, magnetometers, and x-ray machines. Security equipment is based on identified projects in security assessment and standard replacement schedules. FPS estimates collections for Building Specific Security to total \$420 million for FY 2011.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	9,935	7,456	7,571	115

The FY11 request includes \$11,136,000 for salaries and benefits for 94 FTE; \$171,000 increase from FY 2010 for pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	18	13	13	-

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	1,925	842	855	13

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	3,113	2,825	2,868	43

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	135	3,299	3,299	-

The FY11 request includes \$3,299,000; for no increase over FY10. Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. Funding in the travel area will be used to complete all Building Security Assessments and training requirements.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	1,276	9,443	9,443	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	2,248	2,293	2,293	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	935	4,101	4,101	-

The FY11 request includes \$4,101,000; no increase over the FY10 program for communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	395	2,562	2,391	(171)

The FY11 request includes \$2,391,000; a \$171,000 decrease for efficiencies to absorb pay inflation out of base funds to services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	358,180	368,550	362,223	(6,327)

The FY11 request includes \$362,223,000; a decrease of \$6,327,000 from the FY10 program. These costs are realigned to the Basic Security PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	1,240	6,400	6,400	-

The FY11 request includes \$6,400,000; no increase over the FY10 program for preventative, routine, and emergency care repair, and storage of security and protective equipment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	62	2,228	2,228	-

The FY11 request includes \$2,228,000; no increase over the FY10 program for Supplies and materials - commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	1,765	16,315	16,315	-

The FY11 program includes \$16,315,000; no increase over the FY10 program for equipment costs including the purchase of personal property of a durable nature or the initial installation of equipment when performed under contract.

**Department of Homeland Security
National Protection & Programs Directorate
Federal Protective Service
Reimbursable Agency Specific Security
Funding Schedule
(Dollars in Thousands)**

PPA: Reimbursable Agency Specific Security	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	10,688	7,456	7,571	115
11.3 Other than full-time permanent	18	13	13	-
11.5 Other personnel compensation	2,537	842	855	13
12.1 Benefits	3,384	2,825	2,868	43
21.0 Travel	395	941	941	-
22.0 Transportation of things	1,869	1,906	1,906	-
23.1 GSA rent	2,740	2,795	2,795	-
23.3 Communications, utilities, and misc. charges	1,587	1,455	1,455	-
25.1 Advisory and assistance services	5,836	4,200	4,029	(171)
25.2 Other services	361,192	443,728	443,728	-
25.3 Purchases from Gov't accts.	512	606	606	-
25.7 Operation and maintenance of equipment	4,006	4,598	4,598	-
26.0 Supplies and materials	12	939	939	-
31.0 Equipment	300	2,696	2,696	-
Total, Object Class	395,076	475,000	475,000	-
Total, Reimbursable Agency Specific Security	395,076	475,000	475,000	-
Full Time Equivalents	125	94	94	-

PPA Mission Statement

FPS enters into Security Work Authorizations with customer agencies to procure security measures beyond those included within Basic Security and Building Specific Security. FPS does not request authority for these collections because the additional security services and contract guards are determined by the operational security needs of the customer agencies (e.g. an additional contract guard and Closed Circuit Television (CCTV) cameras within a U.S. Citizenship and Immigration Services waiting room in a multi-tenant Federal building). FPS estimates collections for Security Work Authorizations to total \$475 million for FY 2011.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	10,688	7,456	7,571	115

The FY11 request includes \$11,307,000; there is a \$171,000 increase over the FY 2010 for pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	18	13	13	-

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	2,537	842	855	13

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	3,384	2,825	2,868	43

See note in 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	395	941	941	-

The FY11 program includes \$941,000; no increase over the FY10 program for all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. Funding in the travel area will be used to complete all Building Security Assessments and training requirements.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	1,869	1,906	1,906	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	2,740	2,795	2,795	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	1,587	1,455	1,455	-

The FY11 request includes \$1,455,000; no increase over the FY10 program for communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	5,836	4,200	4,029	(171)

The FY11 request includes \$4,029,000; a decrease of \$171,000 for efficiencies to absorb pay inflation out of base funds for management and professional services for mission organization support.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	361,192	443,728	443,728	-

The FY11 request includes \$443,728,000; no increase over the FY10 program for contractual services with non-federal agencies not otherwise classified in Object Class 25.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	512	606	606	-

The FY11 request includes \$606,000; no increase over the FY10 program for purchases from other government agencies not otherwise classified in Object Class 25.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	4,006	4,598	4,598	-

The FY11 request includes \$4,598,000; no increase over the FY10 program for preventative, routine, and emergency care repair, and storage of security and protective equipment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	12	939	939	-

The FY11 request includes \$939,000; no increase over the FY10 program for Supplies and materials defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	300	2,696	2,696	-

The FY11 request includes \$2,696,000; no increase over the FY10 program for all costs covering the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in Full Time Equivalent

**Department of Homeland Security
National Protection & Programs Directorate
Federal Protective Service
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	1,181	1,181	1,225
Basic Security	-	106	-
Subtotal, Increases	-	106	-
Building Specific Security	-	(31)	-
Reimbursable Agency Specific Security	-	(31)	-
Subtotal, Decreases	-	(62)	-
Year End Actual / Estimated FTEs:	1,181	1,225	1,225
Net Change from prior year base to Budget Year Estimate:	-	44	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
National Protection & Programs Directorate
Federal Protective Service**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Basic and Building Specific Security	3,683	3,753	3,824	71
Total Working Capital Fund	3,683	3,753	3,824	71

Department of Homeland Security

National Protection and Programs Directorate



Fiscal Year 2011
Strategic Context
Congressional Submission

FY 2011 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

NATIONAL PROTECTION AND PROGRAMS DIRECTORATE (NPPD)

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A. Mission and Description of the National Protection and Programs Directorate

The National Protection and Programs Directorate (NPPD) is a diverse organization with the vital, cross-cutting, and unifying mission of risk reduction. The Directorate works to reduce risks to the Nation through five mission areas: protect the Nation's citizens and visitors against dangerous people; protect the Nation's physical infrastructure; protect the Nation's cyber and communications infrastructure; strengthen the Department's risk management platform; and strengthen partnerships and foster collaboration and interoperability.

Protecting the Nation's Citizens and Visitors against Dangerous People. NPPD works with its Federal, State, local, tribal, territorial and private sector partners to guard against threats posed by terrorists and other criminals intending harm to the United States. NPPD works with domestic and international organizations in monitoring the status of known individuals or groups posing a threat to critical infrastructure. NPPD provides biometrics-based information to border officers, law enforcement, and other decision-makers about persons of interest. Additionally, the Directorate helps prevent document and identity fraud threatening immigration process integrity and foreign visitor safety.

Protecting the Nation's Physical Infrastructure. NPPD leads the coordinated effort reducing risk to the Nation's critical infrastructure and key resources (CIKR) from acts of terrorism, natural disasters, and other devastating emergencies by integrating and disseminating CIKR threat, consequence, and vulnerability information; developing risk mitigation strategies; and overseeing the national plan for protecting the Nation's infrastructure (National Infrastructure Protection Plan). These efforts help ensure essential government missions, public services, and economic functions are maintained, and CIKR elements are not exploited for use as weapons against our people or institutions.

Protecting the Nation's Cyber and Communications Infrastructure. NPPD collaborates with public, private, and international partners in ensuring the security and continuity of the Nation's cyber and communications infrastructures in the event of acts of terrorism, national disasters, and other catastrophic incidents. Additionally, NPPD protects and strengthens the reliability, survivability and interoperability of the Nation's communications capabilities - including those utilized during emergencies - at the Federal, State, local, and tribal levels.

Strengthening the Department of Homeland Security's Risk Management Platform. NPPD leads the Department's efforts to establish a common framework addressing overall management and analysis of homeland security risk, with a focus on standardizing and integrating risk management approaches throughout the Department. NPPD ensures all individual risk programs utilize common risk approaches and methodologies, lexicon, training standards, and data collection structures.

Strengthening Partnerships and Fostering Collaboration and Interoperability. NPPD engages with public and private sector partners to ensure effective information exchange and collaboration.

B. Major Activities and Key Strategic Goals

NPPD's major activities in FY 2011 are presented in the structure of the performance based budget as reflected in the DHS Future Years Homeland Security Program (FYHSP). FY 2011 FYHSP programs include: *Cyber Security and Communications, Infrastructure Protection, Federal Protective Service, and United States Visitor and Immigrant Status Indicator Technology Program. Risk Management and Analysis, and Directorate Administration*, are also included for informational purposes. Note that the resources dedicated for Risk Management and Analysis and Directorate Administration are distributed to the FYHSP Programs on page 24, but are broken out separately in the narrative below. These activities are presented below in accordance with the Secretary's Priorities.

MISSION 1: PREVENTING TERRORISM AND ENHANCING SECURITY

Infrastructure Protection. The performance goal of Infrastructure Protection (IP) is to improve protection of the Nation's high risk and most valued critical infrastructure and key resources by characterizing and prioritizing assets, modeling and planning protective actions, and building partnerships. IP leads the coordinated national risk reduction effort against acts of terrorism and strengthens preparedness, response, and recovery of infrastructure in the event of an attack, natural disaster, or other emergency.

In FY 2011, NPPD requests \$ 333.779 million to reduce risks to the Nation's critical infrastructure and key resources, a decrease of \$13.524 million over the FY 2010 enacted budget of \$347.303 million. These funds will support three infrastructure protection mission areas: Identification and Analysis, Coordination and Information Sharing, and Mitigation Programs.

Identification and Analysis. The Identification and Analysis mission area includes IP projects and activities supporting the capability to identify the nations CIKR, assess CIKR vulnerabilities and consequences, and analyze and reduce risk. Activities include developing an inventory of CIKR assets; risk analysis, modeling and simulation; and fusing information from field assessments to enable analysis of infrastructure interdependencies.

Coordination and Information Sharing. The Coordination and Information Sharing mission area includes IP projects and activities that enhance situational awareness and maximize government and private sector security partners' abilities at all levels to assess risks, coordinate programs and processes, and execute risk-mitigation programs and activities. Coordination and Information Sharing leads and coordinates National Infrastructure Protection Plan execution, acting as a central clearinghouse for individual sectors information sharing and coordination activities as well as facilitating security partner governance models development and support.

Mitigation Programs. The Mitigation Programs mission area includes voluntary and regulatory projects and activities enabling security partners to identify and mitigate vulnerabilities, implement protective measures, and increase preparedness for facilities, systems, and surrounding communities. They support public awareness efforts and facilitate sharing CIKR protection-related best practices and lessons learned as well as enabling IP planning, readiness and incident management.

FY 2009 Accomplishments

- Expanded the focus of vulnerability assessments from primarily individual assets to emphasis on critical infrastructure and key resource "clusters," regions, and systems in major metropolitan areas, and increased the number of nationwide critical infrastructure and key resource

vulnerability assessments and Regional Resiliency Assessment Programs conducted. Five assessments were completed in FY2009, located at the Chicago Financial District, the Raleigh-Durham North Carolina Research Triangle, the New Jersey Turnpike Exit 14 Chemical Corridor, the New York Bridges, and the Tennessee Valley Authority.

- Coordinated the establishment of the Regional Consortium Coordinating Council and facilitated interactions with Sector-Specific Agencies to establish strong relationships between the sectors and this newest part of the sector partnership model. This new council builds further links with critical infrastructure and key resources owners and operators, enabling more robust implementation of the National Infrastructure Protection Plan and the Sector-Specific Plans. Infrastructure Protection also developed and delivered National Infrastructure Protection Plan-related training to help government and private sector security partners implement critical infrastructure and key resources program management activities.
- Deployed 10 additional Protective Security Advisors, ensuring DHS coverage in each State. Protective Security Advisors facilitate information sharing between DHS and the State and local governments, and critical infrastructure and key resource owners and operators.
- Enhanced bombing prevention (TRIPwire) capability to include additional partner content-providing organizations, and expanded the TRIPwire user base to 7,500 registered users, to include select private sector security and international partners through TRIPwire Community Gateway. Provided TRIPwire Community Gateway to all 18 sectors and the TRIPwire Field Tool to better support the user community with increased utility and portability.
- Developed and deployed the Chemical Security Assessment Tool (CSAT), the Top Screen Module facility data collection tool, the Security Vulnerability Assessment template, and the Site Security Plan module to ensure compliance with Chemical Facility Anti-Terrorism Standards and protect high-risk chemical facilities from attack. Issued an advanced notice of proposed rulemaking to begin the process of regulating certain Ammonium Nitrate transactions nationwide to prevent its use in an act of terrorism.

FY 2010 Planned Accomplishments

- Conduct approximately 450 vulnerability assessments through Site Assistance Visit assessments, Buffer Zone Protection Plans, and the Regional Resiliency Assessment Program with a focus on Level 1/Level 2 assets, regional resiliency, specific CIKR clusters, and National Security Special Events venues in coordination and collaboration with Federal, State, local, and private sector partners. Assessment results will be utilized to influence facility security; direct DHS grant dollars to address equipment gaps in local law enforcement; and identify trends across sectors.
- Enhance the Infrastructure Information Collection System to expand the infrastructure data accessible and distributed to the regional homeland security community and the Automated Critical Asset Management System to assist state and local officials on building and implementing critical infrastructure protection plans.
- Release the 2010 Sector-Specific Plans to reflect the advancements and maturation of each critical infrastructure and key resources sector and its partnership, release the National Critical Infrastructure and Key Resources Protection Annual Report, and refine metrics to assess the progress of implementing the National Infrastructure Protection Plan risk management framework and value of critical infrastructure and key resources protection efforts
- Implement the Chemical Facility Anti-Terrorism Standards (CFATS) through review and approval of Security Vulnerability Assessments submitted by CFATS facilities; initiation of the

inspections cycle to verify security measures in place, or planned, and assess compliance; and continue hiring and training of an inspector cadre, running 2 chemical security academies.

- Issue for public review and comment a proposed rule, and develop a final rule, to implement the Department's regulatory authority over the sale or transfer of Ammonium Nitrate (Section 563 requirements).
- Continue implementation of the Enhanced Critical Infrastructure Protection assessment methodology/ Infrastructure Survey Tool across all 18 critical infrastructure and key resources sectors, and four sub-sectors, enabling a complete comparison of all asset vulnerabilities and the ability to fully identify the most vulnerable sectors and security areas of concern.

FY 2011 Planned Accomplishments

- Conduct a minimum of 275 Vulnerability Assessments on Tier1/Tier 2 assets, special events projects and as directed by leadership, utilizing the National Guard in coordination and collaboration with Federal, State, local, and private sector partners. Assessment results will be utilized to influence facility security; direct DHS grant dollars to address equipment gaps in local law enforcement; and identify trends across sectors. Conduct New Nuclear Reactor Security Consultations in conjunction with Nuclear Regulatory Commission.
- Conduct 6-8 Execute Regional Resiliency Assessment Program assessments in high-risk Urban Areas Security Initiative regions.
- Complete the initial deployment of the Geospatial Pilot Project which will provide the capability to accurately collect geospatial data on critical infrastructure and key resources and provide real-time vulnerability information.
- Initiate revisions to National Infrastructure Protection Plan (NIPP) that will culminate in its reissue in 2012. This process will ensure that the National Infrastructure Protection Plan and Sector-Specific Plans reflect the maturation and current focus of the Nation's critical infrastructure protection and resilience strategy; and continue to grow the partnering and collaboration efforts between the public and private sector throughout the national development and review process.
- Analyze sector and other annual reports to develop the National Critical Infrastructure and Key Resources Protection Annual Report.
- Build additional risk and vulnerability assessment tools for all six critical infrastructure and key resource sectors managed within DHS (Chemical, Commercial Facilities, Dams, Emergency Services, Critical Manufacturing, and Nuclear) to support the execution of the National Comparative Risk Assessment.
- Partner with the State, Local, Tribal and Territorial Government Coordinating Council and Regional Consortium Coordinating Council to develop and implement awareness initiatives that enable a more robust implementation of the National Infrastructure Protection Plan and the Sector Specific Plans at the state, regional and local levels.
- Conduct one pilot exercise using threat scenarios that underpin the Chemical Facility Anti-Terrorism Standards risk-based performance standards with select chemical facility owners and operators, and State and local partners. Maintain and utilize capability to support chemical security adjudication, compliance and appeals requirements to meet established Chemical Facility Anti-Terrorism Standards requirements and initiate planning for inspection regime to verify requirements of Ammonium Nitrate regulation.

- Launch Infrastructure Security Compliance Voluntary Security Recognition Pilot to encourage Federal facilities to adopt Infrastructure Security Compliance Security measures. Program components will include vulnerability assessments, possible Buffer Zone Protection Plans, documentation for implemented security measures, employee security training, communications protocols and procedures with local first responders, security auditing plans, a certification process, and participating in exercises.
- Develop the Infrastructure Survey Tool (IST) to support the implementation of the Enhanced Critical Infrastructure Protection Program methodology, serving as a data repository and analysis tool for information collected during Enhanced Critical Infrastructure Protection Program assessments.
- Expand TRIPwire user access to foreign security partners to include the United Kingdom, Australia, New Zealand, and Canada.

Federal Protective Service. The performance goal of the Federal Protective Service's (FPS) is to mitigate risk to Federal facilities and their occupants. The FPS leads the Department's comprehensive security and law enforcement services to more than 9,000 Federal facilities nationwide; mitigating risk to those facilities and their 1.1 million occupants. FPS operational activities include conducting comprehensive risk assessments of Federal facilities to determine and install appropriate risk mitigation measures. Further, FPS personnel provide regular security awareness training to stakeholders, conduct criminal investigations, respond to critical incidents, and provide support to major events.

In FY 2011, NPPD requests \$1,115.000 million to ensure the security of 9,000 Federal facilities nationwide, with no increase over the FY 2010 enacted budget.

FY 2009 Accomplishments

- Provided security at nearly 9,000 federal facilities, conducting more than 2,500 facility security assessments while conducting numerous investigations and preventing hundreds of thousands of prohibited and potentially dangerous items from being brought into federal buildings.
- Provided law enforcement and security services at national security events that pose increased threats at or in the vicinity of Federal facilities, including the Inauguration of the President of the United States.
- 94% of countermeasures deployed in Federal buildings, including cameras, x-ray equipment, magnetometers, alarms and security guards were found to be effective in preventing harm and destruction to the building and its contents, based on Interagency Security Committee standards.

FY 2010 Planned Accomplishments

- Provide law enforcement and security services at national security events that pose increased threats at or are in the vicinity of Federal facilities; and
- Serve as the sector specific agency for the Government Facilities Sector under the National Infrastructure Protection Plan (NIPP) to coordinate protection and security efforts for designated critical infrastructure and key resources across the sector.
- Develop and implement a capital plan to utilize current balances to modernize FPS infrastructure.

FY 2011 Planned Accomplishments

- Improve the strategic methods used in identifying and reducing actual and potential threats directed at FPS-protected facilities and restore proactive monitoring and law enforcement activities to mitigate the increased risk to FPS-protected facilities noted by the Government Accountability Office.
- Develop risk-based security standards tied to intelligence by implementing a robust and improved risk assessment tool to improve threat identification, identify associated risk mitigation countermeasures and provide objective security evaluations to stakeholders.
- Improve the service provided by our contract security guard force multiplier via effective acquisition strategies and intensive monitoring and coaching and continue implementation of a capital plan that will result in improved security and customer service.

MISSION 2: SECURING AND MANAGING OUR BORDERS

United States Visitor and Immigrant Status Indicator Technology Program. The performance goal of the US-VISIT program is to improve identity and document verification capabilities available to immigration and border management stakeholders to enable them to make timely and accurate risk and eligibility decisions. To achieve this goal, the program collects, maintains, and shares information; including biometric identifiers, on foreign visitors. This information assists in determining whether an individual should be prohibited from entering the United States; can receive, extend, change, or adjust immigration status; has overstayed or otherwise violated the terms of admission; should be apprehended or detained for law enforcement action; or needs special protection or attention (e.g., refugees).

In FY 2011, NPPD requests \$334.613 million to strengthen screening of travelers and workers, a decrease of \$39.149 million over the FY 2010 enacted budget of \$373.762 million.

FY 2009 Accomplishments

- Tested and reported on the collection of biometrics from non-U.S. citizens exiting the United States in two different settings at airports: (1) collection by Transportation Security Administration staff at the airport terminal screening checkpoint; and (2) collection by U.S. Customs and Border Protection at the boarding gate.
- Transitioned from a 2-print to a 10-print collection capability at 2,600 air, sea, and land inspection lanes, facilitating travel by reducing the number of travelers referred for secondary inspection. Ten-print capability provides more matchable data, which reduces the likelihood of misidentifying a traveler as being on a US-VISIT watchlist, and increases opportunities to identify persons of interest. The transition also allows for a search of the Federal Bureau of Investigation's Criminal Master File.
- Implemented the initial operational capability for the Automated Biometric Identification System/Integrated Automated Fingerprint Identification System Interoperability project. Enhancing data sharing through interoperability increases the probability of identifying persons of interest and supports U.S. Immigration and Customs Enforcement's support of State and local law enforcement through its Secure Communities program.

FY 2010 Projected Accomplishments

- Maintain high credibility rates of overstay leads provided to ICE representing travelers who are currently in the United States and have overstayed their authorized periods of admission.

- Formalize a biometric data exchange with Australia, Canada and the United Kingdom and initiate a pilot exchange of biometric prints with the Federal Republic of Germany.
- Reduce the watchlist encounter backlog by 25 percent as resources are made available.
- Post temporary onsite technical US-VISIT expert in Warsaw, Poland and Mexico to assist in integrating biometrics into immigration and border information systems.
- Implement acquisition strategies for the prime integrator support contract and the program management support contractor. In addition, an overall acquisition strategy will be developed to align with US-VISIT's biometric support mission.
- Complete the deployment of the US-VISIT matcher cluster from the Department of Justice Dallas Data Center to Clarksville, Virginia, including the establishment of connectivity between the two DHS data centers and the legacy Department of Justice data center in Rockville, Maryland.
- Deploy 10-print matching capability – enhance matching capability from current 2-print standard to the ability to match based on 10 prints. This capability will enhance verification of an individual's biometrics.
- Expand support to Immigration and Custom Enforcement (ICE) Secure Communities. ICE will use US-VISIT's expanded interoperability and will build on existing relationships with State and local law enforcement agencies to ensure that incarcerated criminal aliens are removed from the country instead of being released into our communities after custody.

FY 2011 Projected Accomplishments

- Manually vet over 90,000 records of potential visa overstays to provide an estimated 30,000 referrals to Immigration and Customs Enforcement (ICE) for further investigation. US-VISIT is targeting 98% credibility rate for those referrals provided to ICE. With the increased staffing and additional vetting, US-VISIT expects to promote more than 50,000 records to the out-of-country watchlist in FY 2011 and perform federal reviews on over 48,000 validated in-country overstay records, resulting in quality investigative referrals to ICE. US-VISIT will maintain FY 2010 performance targets in FY 2011.
- Enable full non-criminal justice purpose searches of US-VISIT systems for all FBI Criminal Justice Information Systems and DHS stakeholders, providing access to more than 60 million images in FBI civil fingerprint files captured and stored as part of background checks for employment, licensing, and other non-criminal justice purposes.
- Begin US-VISIT 1.0, developing a complete requirements base regarding fingerprint, face and iris multi-biometric high-speed matching and design logic, a model target architecture, and validate the targeted architecture with specific prototypes.
- Evaluate biometric technologies for combating efforts to defeat biometric identity verification systems as part of the ongoing Multi Biometric Technology Evaluation. Increasing biometric capabilities through technology innovation and standards development (Fingerprint, iris, face, vascular, DNA) could expand potential data sharing opportunities with countries that employ iris and facial recognition as their primary biometrics for identity management.

MISSION 4: SAFEGUARDING AND SECURING CYBERSPACE

National Cyber Security Division. The performance goal of the National Cyber Security Division (NCSA) is to improve the security of cyberspace and America's cyber assets in the United States by working collaboratively with public, private, and international entities. To achieve this goal NCSA partners with the private sector, government, military, and intelligence stakeholders in risk assessment and threat/vulnerability reduction to critical IT assets for the United States' critical infrastructures. Additionally, NCSA provides cyber threat and vulnerability analysis, early warning, and incident response assistance for public and private sector constituents.

In FY 2011, NPPD requests \$378.744 million to improve cyber security, a decrease of \$18.410 million from the FY 2010 enacted budget of \$397.154 million.

US-CERT. leverages technical competencies in Federal network operations and threat analysis centers to develop knowledge and knowledge management practices supporting Federal stakeholders as they make key operational and execution decisions. It analyzes and reduces cyber threats and vulnerabilities, disseminates cyber threat warning information, and coordinates with partners and customers to achieve shared cyber situational awareness related to the Nation's cyber infrastructure. US-CERT addresses the need for a single, accountable focal point for achieving cybersecurity throughout the Federal enterprise by utilizing a holistic approach to Federal government network security, enabling cybersecurity challenges to be addressed in a manner that maximizes value and minimizes risks associated with technology and security investments. US-CERT also manages the development, acquisition, deployment, and personnel support required to implement the National Cybersecurity Protection System, operationally known as EINSTEIN. Additionally, US-CERT addresses the need to build a skilled cyber workforce for today's and tomorrow's Federal government; provides a set of comprehensive resources that can be used to appropriately manage supply chain risk across the lifecycle of networks, systems, and components; and oversees the implementation of national cybersecurity policies and ensures appropriate resources are available to support the mission and its specialized information technology systems.

Strategic Initiatives. Strategic Initiatives establishes mechanisms for Federal partners to deploy standardized tools and services at a reduced cost, paving the way for a collaborative environment that enables sharing of best practices and common security challenges and shortfalls. Strategic Initiatives develops and promulgates sound practices for software developers, information technology security professionals and other critical infrastructure and key resources stakeholders, and collaborates with the public and private sectors to assess and mitigate risk to the Nation's cyber critical infrastructure and key resources.

Outreach and Programs. Outreach and Programs promotes opportunities to leverage the cybersecurity research and development investments of public and private industry partners. It promotes cybersecurity awareness among and within the general public and key communities, maintains relationships with governmental cybersecurity professionals to share information about cybersecurity initiatives, and develops partnerships to promote collaboration on cybersecurity issues. Outreach and Programs also supports the National Cyber Security Division mission by establishing cybersecurity strategy and planning efforts through integrating resource management, human capital, facilities, performance management, and policy development and implementation into the broad array of issues addressed by the National Cyber Security Division.

FY 2009 Accomplishments

- Expanded the cyber intrusion detection capabilities of the Federal Executive Branch through the deployment of nine EINSTEIN 2 sensors to departments and agencies and three EINSTEIN 2 sensors to awarded NETWORKX Vendors' Trusted Internet Connection locations.
- Increased staffing for the 24x7x365 Operations Center, by hiring United States Computer Emergency Readiness Team analysts capable of in-depth incident tracking, detection, and mitigation, enabling around the clock analysis and fusion support.
- Published the first Information Technology sector-wide baseline risk assessment in collaboration with industry and government partners. The baseline risk assessment provides an all-hazards risk profile that can be used to inform resource allocation for research and development and other protective measures to enhance the security and resiliency of the critical Information Technology Sector functions.

FY 2010 Planned Accomplishments

- Conduct analysis and coordinate response support and defense against cyber attacks for the Federal civilian Executive Branch, i.e., .gov, and information sharing and collaboration with State and local government, industry and international partners and issue alerts and warnings to United States Computer Emergency Readiness Team stakeholders through the National Cyber Alert System.
- Perform sixteen Trusted Internet Connection compliance assessments to ensure agencies have the appropriate operational capabilities in place to meet the Trusted Internet Connection Initiative objectives and expand Trusted Internet Connection compliance assessment capabilities to support Comprehensive National Cybersecurity Initiative implementation by identifying and adding required capability checks to the compliance catalog. This will enable the creation of a broader compliance program of which the Trusted Internet Connection compliance assessments are a subset.
- Deploy the knowledge management system for cybersecurity information on Homeland Security Data Network (HSDN), at the secret level for all 6 centers, center customers and fusion centers. Complete all credentialing. Consolidate cybersecurity information at the secret level for all 6 centers, center customers and fusion centers.
- Identify common solutions for information systems security that will reduce cost through shared services, providing benefits and cost efficiencies by eliminating duplication, increasing expertise through specialization, freeing-up resources for mission specific requirements, and other tailored security requirements.
- Strengthen the Federal government's information systems security through adherence to the management and reporting regulations of the Federal Information Security Management Act which will result in improved effectiveness and consistency in securing Federal government information systems.
- Enhance the Industrial Control Systems Cyber Emergency Response Team, which is a national resource to receive, manage and respond to incidents and vulnerabilities that affect our nation's control systems.

FY 2011 Planned Accomplishments

- Coordinate efforts to deploy advanced collaborative and analytical technologies and methods while continuing spiral development of new capabilities in response to emerging threats and technologies. Assist in the development of requirements for next generation security solutions,

including National Cybersecurity Protection System Block 3 and follow-on technologies to protect Federal networks.

- Maintain the United States Computer Emergency Readiness Team Portal to facilitate disseminating situational awareness products and encourage collaboration among stakeholders.
- Participate in Government-wide cybersecurity initiatives and serve as an information conduit to promote collaboration in providing e-government services and share lessons learned.
- Update the Trusted Internet Connection Access Points Technical and Information Systems Security Requirements and Trusted Internet Connection Architecture to: remain aligned with Federal security strategy; address identified solution gaps; provide Federal agencies clear guidance for the migration of existing infrastructure; and implementation of new capabilities in a manner consistent with the overall Federal security strategy. Perform Trusted Internet Connection compliance assessments to ensure agencies have the appropriate operational capabilities in place to meet the Trusted Internet Connection Initiative objectives.
- Enhance the Industrial Control Systems Cyber Emergency Response Team, which is a national resource to receive, manage and respond to incidents and vulnerabilities that affect our nation's control systems, and assist the Water sector with implementation efforts for their control system security roadmap
- Co-sponsor with the Department of Defense, the National Institute for Standards and Technology and the National Security Agency standards, metrics and certification mechanisms from which tools can be qualified for software security verification.
- Lead research and analysis projects that will evaluate emerging cyber technologies and risks by evaluating historical, existing, and emerging technologies with the potential ability to reduce vulnerabilities, prevent intrusions, and defend against threats.
- Support and integrate incident response activities under the National Cyber Incident Response Plan.
- Utilize cybersecurity risk assessment methodologies, including cybersecurity risk and vulnerability assessment methodologies, to assist critical infrastructure and key resources sectors with onsite cybersecurity implementation assessments and provide options for considerations to increase cybersecurity resiliency. Conduct 75 site assistance visits to critical infrastructure and key resources sites.

MISSION 5: ENSURING RESILIENCE TO DISASTERS

National Communications System. The performance goal of the National Communications System (NCS) is to improve the security and reliability of America's telecommunications assets by working collaboratively with public, private, and international entities.

In FY 2011, NPPD requests \$108.919 million to ensure continuity of government communications and operations, a decrease of \$0.980 million from FY 2010 enacted budget of \$109.899 million. These funds will support four programs: Priority Telecommunications System, Next Generation Networks, Programs to Study and Enhance Telecommunications, and Critical Infrastructure Protection.

Priority Telecommunications System. The Priority Telecommunications System program provides specially designed telecommunications services to the national security and emergency preparedness

user community during natural or man-made disasters when conventional communications services are ineffective. These telecommunication services are used to coordinate response and recovery efforts, and in severe conditions, assist with Continuity of Operations and Government.

Next Generation Networks. A technology insertion initiative to maintain and migrate legacy priority voice telecommunications features (Government Emergency Telecommunications Service and Wireless Priority Service) and to apply priority to data applications as the public switched network evolves to Next Generation Networks.

Critical Infrastructure Protection. Ensures the continued availability of national security and emergency preparedness telecommunications services under all circumstances, including crisis or emergency, attack, recovery, and reconstitution. The Critical Infrastructure Protection program includes National Coordinating Center Operations, Critical Infrastructure Protection Operations, Plans, and Policy, Training and Exercises, Network Security Information Exchanges, and Telecommunications Service Priority.

Programs to Study and Enhance Telecommunications. The Programs to Study and Enhance Telecommunications involve technical studies and analyses of public communications infrastructures, assessments of new communications technologies vulnerabilities to Telecommunication Electromagnetic Disruptive Effects, and works with the international communications industry consensus standards organizations to ensure evolving communications commercial standards address national security and emergency preparedness communications technical requirements.

FY 2009 Accomplishments

- The National Communications System provided telecommunications infrastructure analysis and incident management support for the 2009 Presidential Inauguration, Hurricane Ike, and after the earthquake/tsunami disaster in American Samoa.
- Provided support to the NCS Committee of Principals, including technical, logistical, executive, planning and managerial support in the identification, development, and analysis of current national security/emergency preparedness communications issues and recommended solutions.
- Produced a 2009 risk assessment of the threat to and vulnerability of the public communications Networks.
- Analyzed physical infrastructure diversity, or “last-mile” connectivity, for two National Communications System member agencies to ensure primary mission essential functions are preserved.

FY 2010 Planned Accomplishments

- Maintain nationwide coverage for 252,822 Government Emergency Telecommunications Service and 103,891 Wireless Priority Service users. Achieve over 90% GETS call completion rate during emergency communications periods.
- Implement the Communications Sector Specific Plan and risk management framework, in response to Homeland Security Presidential Directive-7, and the National Infrastructure Protection Plan.

- Complete Industry Requirements Analysis and Industry Standards for Next Generation Network Priority Voice Services. Develop Concept of Operations and Operational Requirements Document for Next Generation Network Video and Data services.
- Support Emergency Support Function #2 participation in national security and emergency preparedness exercises before the 2010 Winter Olympics (January-February 2010).
- Develop and implement continuity communications architecture to ensure, under all conditions, federal executive branch cross-department and agency communications.

FY 2011 Planned Accomplishments

- Maintain nationwide coverage for 278,104 Government Emergency Telecommunications Service and 108,231 Wireless Priority Service. Achieve over 90% GETS call completion rate during emergency communications periods.
- Work with various telecommunications industry working groups and forums to ensure that the evolving next generation standards support priority communications in packet based networks.
- Develop Next Generation Network priority features in nationwide wireline network equipment that can be leveraged for implementation of priority services in carrier networks and work with industry to develop and implement Next Generation Network security measures, including survivability enhancements, national security threats, and user identification management and authentication in support of evolving data and video services. Provide priority core Voice over Internet Protocol communications capability with at least one national carrier's core networks.
- Analyze physical infrastructure diversity, or "last-mile" connectivity, for 21 federal agencies to ensure primary mission essential functions are preserved and continue development of proprietary network carrier models to evaluate survivability and performance of national security and emergency preparedness communications under damage scenarios.
- Enhance membership of information technology industry in the National Coordinating Center and Communications Information Sharing and Analysis Center to keep pace with developing cyber technologies that can provide support to the national security and emergency preparedness community.
- Develop new standard operating procedures, continuity of operations plans, and response plans to support the Joint Watch mission the National Coordinating Center 24x7 Watch and the US-CERT.
- Conduct in-depth telecommunications assessment baselines of high risk areas throughout the United States and in support of special events in order to support disaster response operations, planning, and exercises related to critical communications infrastructures.

Office of Emergency Communications. The performance goal of the Office of Emergency Communications (OEC) is to advance Federal, State, Local, and Tribal Government interoperable emergency communications capabilities by facilitating the identification of capability needs, the adoptions of solutions, and the verification (through realistic exercises) that capabilities effectively addressed the needs. OEC supports and promotes the adoption of capabilities that enhance interoperability or the ability of emergency response providers and Federal officials to continue communicating in the event of natural disasters, acts of terrorism, or other man-made disasters.

In FY 2011, NPPD requests \$44.524 million to strengthen the Nation's response and recovery capabilities, a decrease of \$0.536 million from the FY 2010 enacted budget of \$45.060 million.

FY 2009 Accomplishments

- Provided technical assistance to all 56 States and territories to support the implementation of Statewide Communication Interoperability Plans and the alignment of Statewide Communication Interoperability Plans to the National Emergency Communications Plan.
- Provided Statewide Communication Interoperability Plan Implementation Workshops to support States and territories in establishing concrete milestones for advancing interoperable emergency communications and identify priorities for the Office of Emergency Communications technical assistance services.
- Officially established the Emergency Communications Preparedness Center following final approval of the charter by all 22 member Departments and Agencies.
- Deployed Communications Unit Leader Training/Instructor Training that ensures every State and territory has qualified personnel capable of coordinating on-scene emergency communications during a multi-jurisdictional response.

FY 2010 Planned Accomplishments

- Provide assistance to States and territories to support the implementation of Statewide Communication Interoperability Plans and the alignment of Statewide Communication Interoperability Plans to the National Emergency Communications Plan and conduct 60 site visits to observe and validate Goal 1 of the National Emergency Communications Plan.
- Deploy Communications Unit Technician Training in order to ensure that in the event of a multi-discipline, multi-jurisdictional response event, on site response practitioners are trained to a similar baseline. The Communications Unit Technician is responsible for assisting with the technical activities of incident response.
- Implement the Emergency Communications Preparedness Center (ECPC) Clearinghouse on DHS.gov. This activity will identify and potentially eliminate duplication of emergency communications efforts and provide users access to a document library and a centralized information source.
- Implement Phase I of the U.S.-Mexico High Level Consultative Commission on Telecommunications Security Communications Task Group Action Plan. This phase includes completing system implementation and finalization of bi-national and domestic standard operating procedures.

FY 2011 Planned Accomplishments

- Provide guidance to States and urban areas to help them achieve the targeted benchmarks under National Emergency Communications Plan Goals 1 and 2. Develop criteria required to measure progress in achieving Goal 3 of the National Emergency Communications Plan by 2013.
- Implement U.S.-Mexico the High Level Consultative Commission on Secure Communications Task Group Action Plan. Phase II includes completing system implementation of two additional sites and completion of Customs and Border Patrol Border Patrol Operations/Dispatch Center upgrades.

- Provide requested technical assistance to States and territories to support the implementation of Statewide Communication Interoperability Plans and leverage stakeholder groups to support the States' and territories' demonstration of National Emergency Communications Plan Goal 2.
- Implement a plan for strategic communications efforts, including positioning the Office of Emergency Communications as a focal point of nationwide emergency communications and enhancing relationships among stakeholders and the inter-governmental community.

MISSION SUPPORT

Risk Management and Analysis. Risk Management and Analysis (RMA) leads the Department's efforts to establish a common framework addressing the overall management and analysis of homeland security risk. RMA supports development of a consistent, standardized, coordinated and collaborative approach to risk management, which allows RMA to direct and integrate risk expertise across Department components as well as external stakeholders.

In FY 2011, NPPD requests \$9.790 million for RMA, a decrease of \$0.105 million from the FY 2010 enacted budget of \$9.895 million.

FY 2009 Accomplishments

- Led a full review of the Homeland Security National Risk Assessment requirement, culminating in a viable process and implementation plan in October 2009. The Homeland Security National Risk Assessment, when executed in 2010, will inform strategy formulation and strategic decision making by the Nation's homeland security leaders.
- Completed the Risk Assessment Process for Informed Decision-making (RAPID) prototype proof of concept. RAPID is intended to gauge, at a strategic level, risks across the full range of DHS responsibilities and how program effectiveness may influence those risks.

FY 2010 Planned Accomplishments

- Implement Risk Informed Decision Making to inform the Planning, Programming, Budgeting, and Execution cycle of resource allocation decisions, including the FY 12-16 IPG and the process for Resource Allocation Plans and Resource Allocation Decisions.
- Continue to lead the Protect and defend sub-objective related to risk management for the National Implementation Plan Global War on Terrorism.

FY 2011 Planned Accomplishments

- Provide routine assessment of economic considerations of NPPD programs to leadership. Develop toolkit of readily available models and economic database access to support decision making
- Consolidate multiple instances of accounting into a single instance to create efficiency and improve overall budgetary and financial operations and reporting.
- Initiate internal control evaluations on budgetary and financial operations of sub-offices to ensure internal controls are maintained.
- Conclude RAPID III and incorporate the results to refine the methodology for the next RAPID iteration. Prepare for application to inform the DHS's annual Programming, Budgeting, and

Execution cycle of resource allocation decisions, including the FY 2013-2017 IPG and the process for developing the RAP and RAD.

BUSINESS SUPPORT

Directorate Administration. Administration guides and assists the Directorate's programs in enhancing the protection of America's critical infrastructure and key resources. This appropriation supports activities associated with the Office of the Under Secretary, Office of Budget and Financial Administration, Office of Resource Management, Information Technology Division, Office of Communications and Public Affairs, and Office of Information Management. Together these activities provide Directorate leadership, budgeting, financial execution, human capital, security, program review and evaluation, executive secretariat functions, information technology support, facilities build out, rent and security services.

In FY 2011, NPPD requests \$36.347 million to perform these functions, an increase of \$1.665 million from the FY 2010 enacted budget of \$34.682 million.

FY 2009 Accomplishments

- 75% of positions authorized filled or tentative job offers have been extended. NPPD had 939 employees on-board at the end of FY2009.
- Initiated Internal Controls program, tested the design and control of the funds balance with treasury and the Budgetary Resource Management processes.
- Improved invoice processing to reduce prompt payment interest penalties to under \$200 per \$1 million, last 3 months NPPD has paid 99% of all invoices on-time.
- Developed NPPD short term facilities plan and managed the build out of new locations to alleviate the shortage in space for new employees.
- Developed the Federal Protective Service transition plan in conjunction with ICE to evaluate the NPPD administrative support requirements for FY 2010.
- Developed an Acquisition Review Process to evaluate all programs & major acquisitions.
- Provided economic and regulatory impact analyses of the Ammonium Nitrate and US-VISIT Air Exit rulemaking.
- Updated NPPD COOP Plan, Pandemic Influenza Annex, and conducted COOP exercise Eagle Horizon '09.

FY 2010 Planned Accomplishments

- Integrate the Federal Protective Service into NPPD.
- Implement Personal Identification Verification and Logical Access and support data center migration efforts.
- Stand up a full service Human Capital Office. Fill 90-95% of authorized billets by fiscal year end 2010.
- Support DHS long range facilities planning efforts.
- Implement a web-based invoice consolidation payment system.
- Conduct assessments of the Internal Controls and develop corrective action plans.

- Launch iShare information sharing resource for NPPD workforce to blog/post and directly engage with the Directorate's leadership team.
- Implement a document management system for the assignment, monitor, review, and approval of correspondence, action and information memoranda, Congressional Reports, White House requested and Congressional Questions for the Record.

FY 2011 Planned Accomplishments

- Work with the DHS Office of Chief Information Office and improve NPPD Component Office program and project alignment with DHS policy, directives, and mandates as evidenced by enhanced program/project justifications, expenditure plans and project reports.
- Formalize process mapping of all OUS OIM processes and procedures to make available to directorate components via the intranet.
- Implement Electronic Records Management System and conduct directorate-wide training on records retention processes and procedures.
- Facilitate integration of improved regulatory and program alternative analysis to include appropriate cost benefit or other economic analysis in decision making and develop toolkit of readily available models and economic database access to support decision making.
- In coordination with DHS Office of Public Affairs and senior communicators throughout the Federal government, devise a comprehensive and effective National Cybersecurity Awareness Month education and outreach campaign targeting non-traditional audiences (K-12, collegiate, urban).
- Strengthen the Directorate's business continuity and emergency preparedness posture and readiness to continue mission essential functions under all conditions.
- Consolidate multiple instances of accounting into a single instance to create efficiency and improve overall budgetary and financial operations and reporting.

C. Resources Requested and Performance Impact

In FY 2011, NPPD requests \$2,361.715 million gross discretionary, \$1,426.715 million net discretionary, 2,969 FTE, a decrease of \$71.040 million and increase of 392 FTE over the FY 2010 enacted budget of \$2,432.755 million gross discretionary, \$1,317.755 net discretionary enacted, 2,577 FTE.

Current Services

- Annualization of \$5.233 million for 38 positions received in FY 2010 (22 Infrastructure Security Compliance, 16 National Cyber Security Division);
- 2010 pay increase (2.1%) and 2011 pay inflation (1.4%): \$2.534 million;
- 306 FTP/360 FTE funded through offsets from program/contract dollars;
- GSA Rent inflation increase: \$0.279 million;
- A non-recurring adjustment of (\$8.000) million for data center migration efforts;
- A transfer of \$4.000 million to transfer the National Computer Forensics Institute to the Federal Law Enforcement Training Center.

Program Increases

- **Federal Network Security (Federal Enterprise Cybersecurity)..... \$9.528M (6 FTE)**
 The Assessment, Testing, and Analysis Capability program will objectively measure the effectiveness of Federal cybersecurity programs, systems, and infrastructure; and establish and maintain a holistic view of the Federal government’s current security state. This function provides comprehensive risk analysis; vulnerability and threat assessment; and penetration testing capabilities. The output will be used to develop and evolve future required cybersecurity capabilities and practices.
- **Cybersecurity Coordination.....\$5.000M (13 FTE)**
 This enhancement for the National Cyber Security Center will allow for the enhancement of Cybersecurity Coordination capabilities across Government including mission integration; collaboration and coordination; situational awareness and cyber incident response; analysis and reporting; knowledge management; and technology development and management.
- **National Coordination Center 24X7 Watch.....\$2.231M (0 FTE)**
 Funding will provide additional resources to the National Coordinating Center (NCC) 24x7 Watch, the National Communications System response capability for telecommunications events. The NCC Watch provides 24x7 operations and maintains situational awareness on the health of the Nation’s telecommunications infrastructure, as well as time sensitive alerts, warnings, and in-depth analyses on national security/emergency preparedness issues impacting the NCS’ 24 departments and agencies and industry partners.
- **Title Globe.....\$1.345M (0 FTE)**
 An increase of \$1.345 million will support Title Globe, a monthly continuity communications capabilities test platform for Departments and Agencies specified in Homeland Security Presidential Directive – 20, National Continuity Policy.
- **Public Safety Broadband Interoperability.....\$1.000M (0 FTE)**
 An additional \$1.0M will support the implementation of DHS’s responsibilities for the Emergency Response Interoperability Center in conjunction with the Federal Communications Commission (FCC). These efforts will include setting the broad policy framework for public safety broadband networks, providing technical assistance and coordinating Federal broadband interoperability efforts.
- **Infrastructure Information Collection Program.....\$1.588M (2 FTE)**
 An increase of \$1.588 million will allow Infrastructure Protection to integrate disparate information systems, evolve current tools and applications, and leverage new technologies to keep pace with an expanding State and local and private sector infrastructure protection and resiliency mission.
- **SSA Management Critical Manufacturing.....\$1.935M (4 FTE)**
 This capability will enable the Department to carry out its broad responsibilities as a Sector-Specific Agency. As described in the National Infrastructure Protection Plan, the core mission of each Sector-Specific Agency is to lead the unified public-private sector effort to enhance the security of the Nation’s critical infrastructure and key resources.
- **US-VISIT 1.0.....\$1.569M (0 FTE)**

An increase of \$1.569 million will support planning activities, including the development of operational and functional requirements documentation for the re-architecture of the Automated Biometric Identification System and the Arrival and Departure Information System. These activities will incorporate technological advancements as well as future stakeholder needs to ensure the US-VISIT system can meet system demand. These requirements will guide subsequent activities, including the development of an analysis of alternatives to examine methods to fuse multiple biometric identification modalities (e.g., fingerprints, facial recognition, and iris).

- **NPPD Data Center Migration.....\$24.300M (0 FTE)**
The Data Center consolidation efforts will standardize IT resource acquisitions across DHS Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

Major Program Decreases

- **Network Security Deployment..... \$13.282M (0 FTE)**
The funding for the National Cybersecurity Protection System (NCPS) is being deferred in order to fund higher priority cybersecurity efforts. The NCPS helps protect Federal civilian government information technology enterprises through the analysis of network flow and intrusion detection information from Federal partners. It provides a high-level perspective from which analysts can observe potential malicious activity in Federal partners’ computer network traffic by providing capabilities that support automated processes to collect, correlate, analyze, and share cybersecurity information across Federal government computer networks.
- **National Infrastructure Protection Plan Management and Critical Infrastructure/ Key Resources Partnership Programs..... \$14.109M (0 FTE)**
The NIPP and the 18 supporting Sector-Specific Plans serve as the foundation of the Nation’s long-term critical infrastructure and key resources risk management program and the basis for virtually all of IP’s activities. The Critical Infrastructure and Key Resources Partnerships and Information Sharing Project builds, sustains, and ensures the effective coordination and operations of the comprehensive network of structures, mechanisms, and processes that engage all critical infrastructure and key resources stakeholders across the Nation. The structures and partnerships created by these programs have matured and are able to sustain core levels of activity under a program decrease.
- **US-VISIT Comprehensive Biometric Exit..... \$22.000M (0 FTE)**
Funding is not being requested for the US-VISIT Comprehensive Biometric Exit Program in FY 2011, as DHS is in the process of determining the appropriate Exit Solutions.
- **US-VISIT Program Management Services..... \$12.632M (0 FTE)**
The request for Program Management Services is decreased in FY 2011 as US-VISIT has increased the Federal staffing levels over the last several years and matured program management activities to support the program.

D. Program Performance Highlights, Resources, and Alignment to Strategic Goals

For each mission-oriented program, the program performance goal, alignment to Secretary's Priorities, total dollars and FTE, and Government Performance and Results Act (GPRA) performance plan measures are shown below. Additional measures are also displayed, as appropriate, to provide a more thorough context of expected performance results.

Program: Infrastructure Protection						
Performance Goal: Improve the protection of the Nation's high risk and most valued critical infrastructure and key resources by characterizing and prioritizing assets, modeling and planning protective actions, and building partnerships.						
Secretary's Priority: Preventing Terrorism and Enhancing Security						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$311,381	\$299,460	\$251,633	\$328,357	\$359,463	\$346,606
FTE	201	338	267	424	761	782

Performance Plan Measures

Measure: Percent of critical infrastructure and key resource sector specific protection implementation actions on track						
Description of Measure: The National Infrastructure Protection Plan (NIPP) defines a set of 23 core metrics applied across 17 critical infrastructure and key resources (CIKR) sectors, for a total of 391 total metrics. These metrics track the success of actions taken to further protection and partnership building activities within each sector. Specifically the metrics track the implementation of planned sector accomplishments in Sector Partnerships, Information Sharing, Security Goals, Asset Identification, Risk Assessments, Prioritization, Implement Protective Programs, and Effectiveness. This measure evaluates annually the percent of the 391 total protection action metrics that were scored as being on track.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	90%	90%	100%	100%
Actual:	None	None	93%	93%	N/A	N/A

Measure: Percent of high - priority critical infrastructure and key resources where a vulnerability assessment has been conducted and enhancement(s) have been implemented.						
Description of Measure: This measure tracks the number of the Nation's high priority critical infrastructure and key resources (CIKR) sites at which at least one vulnerability assessments (VA) has been conducted and a protective enhancement has been implemented. High - priority CIKR includes assets categorized in Tier 1, the highest priority assets, and other CIKR assets planned in the fiscal year. Vulnerability assessments are conducted to identify physical, cyber, and human - related vulnerabilities at an asset and dependencies/interdependencies on other assets and sectors. The assessment analyzes the benefits of existing protective programs and provides recommendations to remediate unresolved vulnerabilities. The assessments are also used to assist federal stakeholders and private sector owners in making optimal resource allocation decisions for future enhancements.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	95%	95%	100%	100%
Actual:	None	None	100%	100%	N/A	N/A

Measure: Percent of inspected high - risk chemical facilities in compliance with risk based performance standards.						
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Description of Measure: The program conducts onsite inspections to provide regulatory oversight of the Nation's high - risk chemical facilities and verify compliance with the Chemical Facility Anti - terrorism Standards (CFATS). Inspections are conducted in intervals starting with the highest risk facilities. Compliance means that chemical facilities have been inspected to ensure that the facility's Site Security Plan (SSP) is in accordance with the Risk - Based Performance Standards set forth by DHS, or that the facility is seeking/will seek remedies to identified security gaps. It is estimated that many of the high risk facilities are already in compliance with the CFATS standards so initial percentages are high, but that with the inclusion of lower risk facilities compliance percentages may fluctuate and then increase in later years.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	0%	75%	85%	70%	75%
Actual:	None	None	No Data	No Data	N/A	N/A

Program: Federal Protective Service						
Performance Goal: Mitigate risk to Federal facilities and their occupants.						
Secretary's Priority: Preventing Terrorism and Enhancing Security						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$487,000	\$516,000	\$613,000	\$640,000	\$1,115,000	\$1,115,000
FTE	1,300	1,295	1,053	1,225	1,225	1,225

Performance Plan Measures

Measure: Countermeasure effectiveness at facilities protected by the Federal Protective Service						
Description of Measure: This measure determines what percent of countermeasures deployed, when tested, prove to be effective in preventing harm and destruction to the building and its contents. This applies only in those federal buildings where the Federal Protective Service provides security and law enforcement services. Countermeasures include systems such as cameras, x - ray equipment, magnetometers, alarms, and security guards. Effectiveness standards are based on established testing protocols and are informed by Interagency Security Committee standards. These tests occur on a regular basis and provide the program decision makers a means of assessing the effectiveness of existing countermeasures.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	>94%	>96%	>98%	>95%	>95%	>95%
Actual:	90%	94%	94%	94.4%	N/A	N/A

Measure: Percent of successful completions of building security assessments						
Description of Measure: This measure indicates the percent of planned federal building security assessments that are completed to standards during the fiscal year. A building security assessment is a comprehensive risk assessment that examines credible threats to federal buildings and the vulnerabilities and consequences associated with those threats. Credible threats include things such as crime activity or potential terrorism acts. Requirements for the frequency of federal building security assessments are driven by Federal Protective Service program policy and the Interagency Security Committee standards. Typically, these assessments occur on either a three or five - year basis.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	>89%	>90%	>90%
Actual:	99%	93%	100%	95%	N/A	N/A

Measure: Percent of tenants satisfied with the level of security provided at Federal facilities						
Description of Measure: This measure assesses the effectiveness of security services provided by the Federal Protective Service (FPS) to the Government Services Agency (GSA) tenants						

through the use of a formal customer satisfaction survey. The Federal Protective Service uses the feedback from this survey to identify opportunities for improvement in the security services provided to its customers.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	80%	81%	82%
Actual:	None	None	None	None	N/A	N/A

Program: US – VISIT

Performance Goal: Improve the identity and document verification capabilities available to Immigration and Border Management stakeholders to enable them to make timely and accurate risk and eligibility decisions.

Secretary's Priority: Securing and Managing Our Borders

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$236,622	\$368,656	\$355,247	\$313,917	\$386,848	\$347,472
FTE	102	109	101	131	220	446

Performance Plan Measures

Measure: Accuracy of non - immigrant traveler investigative lead referrals to Immigration and Customs Enforcement

Description of Measure: An in - country overstay is a non - immigrant foreign traveler whose authorized period of admission granted at arrival in the United States expired without a subsequent departure, arrival, or status update. An individual is considered an overstay if the subject has not departed the United States within 7 days after the terms of their admission. This measure gauges the accuracy of the program in identifying individuals who may have overstayed their authorized period of admission. The program uses on algorithms run in the Arrival and Departure Information System and manual vetting records to identify these individuals. Records identified as likely overstays are sent to government quality control review prior to forwarding to ICE/CEU for further investigation. An lower trend indicates an increasing error in credible leads identified and forwarded to government for secondary review prior to sending the leads to ICE/CEU for further investigation.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	98%	98%
Actual:	None	None	None	None	N/A	N/A

Measure: Average biometric watch list search times for queries from ports of entry

Description of Measure: This measure reports the average response time of biometric watchlist queries processed through the Automated Biometric Identification System (IDENT) system in response to queries from ports of entry (POE) where fingerprints are captured. The target is less than 10 seconds to provide critical watchlist and identity screening information to inspectors in a timely manner to facilitate traveler processing.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	Less than 10 sec.	Less than 10 sec.	Less than 10 sec.	<10 sec.	<10 sec.	<10 sec.
Actual:	7.14 seconds	9.47 seconds	9.67 secs	8.713 seconds	N/A	N/A

Measure: Average biometric watch list search times for queries from U.S. consulates

Description of Measure: This measure is used to determine the average amount of time required to complete an automated search processed through the United States Visitor and Immigrant Status Indicator Technology (US - VISIT) Automated Biometric Identification System (IDENT)

system in response to queries from consular offices worldwide where fingerprints are captured as part of the BioVISA form process. The service level agreement with the Department of State is less than 15 minutes to provide critical identity and watch list information in a timely manner to not impede traveler processing. In light of past performance, the program has set a target of processing BioVisa searches within 5 minutes.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	5 minutes	<5 minutes	<5 minutes	<5 minutes	<5 minutes
Actual:	None	2.21 minutes	2.34 minutes	2.57 minutes	N/A	N/A

Measure: Deviation from predicted error rate in biometric screening

Description of Measure: US - VISIT receives biometric screening requests from a variety of sources, including Customs and Border Protection Officers processing individuals through International ports of entry, or Department of State Consular offices processing VISA applicants. US - VISIT screens individuals against a biometric watchlist. In processing these screening requests, US - VISIT operates to minimize the number of individuals the US - VISIT system mistakenly identifies as being on a watchlist when they are not, while maximizing the chances of identifying persons of interest. This measure reflects the success of US - VISIT's biometric matching system in minimizing false matches. To keep at a minimum false matches, US - VISIT applies process control methodologies to compare the level of false matches against statistically acceptable levels reflected in a biometric false match index between 1 and - 1. Variations beyond this threshold can indicate degradation of system performance or the need for corrective measures

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	between - 1 and +1	between - 1 and +1
Actual:	None	None	None	None	N/A	N/A

Program: Cyber Security and Communications

Performance Goal: Improve the security and interoperability of Americas cyber and emergency preparedness communications assets by working collaboratively with public, private, and international entities.

Secretary's Priority: Resilience to Disasters
Safeguarding and Securing Cyberspace

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$261,317	\$298,339	\$331,208	\$515,989	\$571,444	\$552,638
FTE	106	155	114	275	371	516

Performance Plan Measures

Measure: Government Emergency Telecommunications Service call completion rate during emergency communication periods.

Description of Measure: This measure gauges the Government Emergency Telecommunications Service (GETS) call completion rate. The GETS call completion rate is the probability that an National Security/Emergency Preparedness (NS/EP) user completes a call via public telephone network, landline or wireless, to communicate with the intended user/location/system/etc, under all - hazard scenarios. Hazard scenarios include natural or man - made disasters such as a hurricane, earthquake, or terrorist incident.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	90%	90%	90%	90%	90%	90%

Actual:	97.8	None	97%	94.2%	N/A	N/A
Measure: Percent of Critical Infrastructure/Key Resource Sectors that have implemented the Cyber Security Evaluation Tool						
Description of Measure: This measure evaluates the use of the Cyber Security Evaluation Tool (CSET) by asset owners and operators to conduct assessments to identify and mitigate vulnerabilities in their Critical Infrastructure and Key Resource (CI/KR) cyber systems. Prioritization of tool distribution to stakeholders is determined based on estimated risk level of the stakeholder, stakeholder receptivity to the product, and level of impact the tool may have on stakeholder protection and prevention needs in control systems.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	N/A	25%	75%	80%	85%
Actual:	None	None	50%	75%	N/A	N/A

Measure: Percent of high - risk urban areas designated within the Urban Areas Security Initiative (UASI) able to demonstrate response - level Emergency Communications within one hour for routine events involving multiple jurisdictions and agencies.						
Description of Measure: This measure gauges Federal, State, local, and tribal agencies' success in meeting a baseline level of national interoperable communications as established in the National Emergency Communications Plan (NECP). The first goal of the NECP requires that high - risk urban areas designated within the Urban Areas Security Initiative (UASI) are able to demonstrate response - level Emergency Communications within one hour for routine events involving multiple jurisdictions and agencies.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY2011
Target:	None	None	None	None	90%	N/A*
Actual:	None	None	None	None	N/A	N/A

*Data for this measure is reported every other year.

Measure: Percent of Trusted Internet Connections protected and monitored by the National Cybersecurity Protection System.						
Description of Measure: This measure tracks the overall percentage of Office of Management and Budget approved Trusted Internet Connections (TICs) that are monitored by the products and capabilities delivered by the National Cybersecurity Protection System (NCPS), operationally known as EINSTEIN. A TIC is considered monitored after EINSTEIN is installed and actively processing traffic.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	85%	95%
Actual:	None	None	None	None	N/A	N/A

Measure: Percent of unique high alert level events detected by the National Cyber Protection System validated as legitimate incidents.						
Description of Measure: This measure reflects improvements in efficiency of the United States - Computer Emergency Response Team (US - CERT) through more effective resourcing to analyzing legitimate, high - alert level cyber incidents. A high - alert level cyber incident poses a potentially severe impact to the security or operations of a Department or Agency's network, or to the integrity of its proprietary information. The National Cyber Protection System reduces the number of false positives through improved signature development and enhanced automated detection capabilities. This measure tracks improvements in signature methodology by focusing on unique high - level events and provides a key indicator for the overall accuracy of the National Cyber Protection System in detecting malicious activity in the .gov domain. The percent of						

legitimate incidents detected will increase as the signatures used for detection of malicious activity are improved with technology, tuning and information sharing activities.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	50%	55%
Actual:	None	None	None	None	N/A	N/A

E. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Budget Activity (\$000)	FY 2009 Enacted		FY 2010 Enacted		FY 2011 Total Request		Increase (+) or Decrease (-) for FY 2011					
	FTE	Amount	FTE	Amount	FTE	Amount	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	Amount	FTE	Amount	FTE	Amount
Infrastructure Protection	424	\$ 328,357	761	\$ 359,463	782	\$ 346,606	21	\$ (12,857)	-18	\$ (8,124)	45	\$ 8,304
NPPD Management & Administration Shared	38	\$ 14,557	73	\$ 12,160	82	\$ 12,827	9	\$ 667	2	\$ (193)	8	\$ 193
IP	386	\$ 313,800	688	\$ 347,303	700	\$ 333,779	12	\$ (13,524)	-20	\$ (7,931)	37	\$ 8,111
Cyber Security & Communications	275	\$ 515,989	371	\$ 571,443	516	\$ 552,638	145	\$ (18,806)	7	\$ (29,624)	138	\$ (4,434)
NPPD Management & Administration Shared	25	\$ 22,876	35	\$ 19,331	54	\$ 20,451	19	\$ 1,121	1	\$ (322)	18	\$ 322
NCSD	105	\$ 313,500	186	\$ 397,154	306	\$ 378,744	120	\$ (18,410)	6	\$ (1,436)	122	\$ (6,813)
NCS	103	\$ 141,313	98	\$ 109,899	98	\$ 108,919	0	\$ (980)	0	\$ (27,194)	-2	\$ 1,571
OEC	42	\$ 38,300	52	\$ 45,060	58	\$ 44,524	6	\$ (536)	0	\$ (672)	0	\$ 486
US Visitor & Immigrant Status Indicator Technology	131	\$ 313,917	220	\$ 386,848	446	\$ 347,472	226	\$ (39,377)	1	\$ (30,543)	25	\$ 5,324
NPPD Management & Administration Shared	12	\$ 13,917	21	\$ 13,086	47	\$ 12,859	26	\$ (227)	1	\$ (192)	25	\$ 192
US-VISIT	119	\$ 300,000	199	\$ 373,762	399	\$ 334,613	200	\$ (39,149)	0	\$ (30,351)	0	\$ 5,132
Federal Protective Service	[1225]	[981,980]	1225	\$ 1,115,000	1,225	\$ 1,115,000	0	\$ -	0	\$ -	0	\$ -
Subtotal, Budget Authority (All Sources)	830	\$ 1,158,263	2577	\$ 2,432,755	2969	\$ 2,361,715	392	\$ (71,040)	-10	\$ (68,291)	207	\$ 9,194
Less Adjustments for Other Funding Sources			-1225	\$ (1,115,000)	-1225	\$ (1,115,000)						
Total enacted appropriations and budget estimates	830	\$ 1,158,263	1352	\$ 1,317,755	1744	\$ 1,246,715	392	\$ (71,040)	-10	\$ (68,291)	207	\$ 9,194

DEPARTMENT OF HOMELAND SECURITY
Office of Health Affairs



Fiscal Year 2011
Overview
Congressional Justification

i. Summary of FY Budget Estimates by Appropriation

Department of Homeland Security
Office of Health Affairs
 Summary of FY 2011 Budget Estimates by Appropriation
 Total Appropriations
 (Dollars in Thousands)

Budget Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Office of Health Affairs	71	126,954	84	139,250	95	212,734	11	73,483	---	83,992	11	(10,508)
Subtotal, Enacted Appropriations and Budget Estimates	71	\$126,954	84	\$139,250	95	\$212,734	11	\$73,483	0	\$83,992	11	(\$10,508)
Less: Adjustments for Other Funding Sources:	---	---	---	---	---	---	---	---	---	---	---	---
Net, Enacted Appropriations and Budget Estimates	71	\$126,954	84	\$139,250	95	\$212,734	11	\$73,483	0	\$83,992	11	(\$10,508)

ii. Homeland and Non-Homeland Allocation

Department of Homeland Security
Office of Health Affairs
 Homeland and Non-Homeland Allocation by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	2009 Actuals						2010 Enacted						2011 Request						
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	
BioWatch	---	80,552	---	---	---	80,552	---	89,513	---	---	---	89,513	---	173,505	---	---	---	---	173,505
National Biosurveillance Integration Center	---	9,121	---	---	---	9,121	---	13,000	---	---	---	13,000	---	7,000	---	---	---	---	7,000
Rapidly Deployable Chemical Detection System	---	1,785	---	---	---	1,785	---	2,600	---	---	---	2,600	---	2,400	---	---	---	---	2,400
Planning and Coordination	---	5,523	---	---	---	5,523	---	3,726	---	---	---	3,726	---	2,276	---	---	---	---	2,276
Salaries and Expenses	71	29,973	---	---	71	29,973	84	30,411	---	---	84	30,411	95	27,553	---	---	95	27,553	
Total Direct Appropriations and Budget Estimates	71	\$126,954	---	\$0	71	\$126,955	84	\$139,250	---	\$0	84	\$139,250	95	\$212,734	---	\$0	95	\$212,734	
Fee Accounts	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---

iii. Status of Congressional Requested Studies, Reports and Evaluation

**Department of Homeland Security
Office of Health Affairs
Status of Congressional Requested Studies, Reports and Evaluation**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2010	60 days from enactment	JES	BIOWATCH OHA is directed to provide an expenditure plan with specific milestones for implementation, broken out by technology generation, to the Committees within 60 days of the date of enactment of this Act.	Pending Clearance
2010	Quarterly	JES	BIOWATCH OHA to report quarterly on the deployment of any BioWatch device to new locations.	Updates will be provided by 2/15/10, 5/15/10, 8/15/10.

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

Department of Homeland Security

Office of Health Affairs

Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity

(Dollars in Thousands)

Budget Activity				
	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2011 Request
	Fiscal Year	Amount	Amount	Amount
BioWatch	N/A	N/A	N/A	173,505
National Biosurveillance Integration Center	N/A	N/A	N/A	7,000
Rapidly Deployable Chemical Detection System	N/A	N/A	N/A	2,400
Planning and Coordination	N/A	N/A	N/A	2,276
Salaries and Expenses	N/A	N/A	N/A	27,553
Total Direct Authorization/Appropriation	N/A	N/A	N/A	\$212,734

Department of Homeland Security

Office of Health Affairs



Fiscal Year 2011
Overview
Congressional Budget Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Office of Health Affairs

I. Appropriation Overview

A – Mission Statement for Office of Health Affairs

The Office of Health Affairs (OHA) serves as the Department of Homeland Security's principal authority for all medical and health matters. OHA provides health, medical, and scientific expertise to support the DHS mission of preparing for, responding to, and recovering from all threats.

OHA serves as the principal advisor to the Secretary and the Federal Emergency Management Agency (FEMA) Administrator on medical and public health issues. OHA leads the Department's workforce health protection and medical oversight activities, leads and coordinates the Department's biological and chemical defense activities, and provides medical and scientific expertise to support DHS' preparedness and response efforts.

B – Budget Activities:

The Office of Health Affairs budget is divided into five Program, Project and Activity (PPAs) areas:

BioWatch:

The BioWatch Program enables DHS to detect biological attacks by managing an early warning system to rapidly detect dangerous pathogens in the air. This program deploys detection devices in over thirty major metropolitan areas throughout the nation. The BioWatch Program provides public health experts with a warning of a biological agent release before exposed individuals become clinically symptomatic ("ill"). This "detect-to-treat" approach provides public health officials an opportunity to respond aggressively to eliminate or substantially mitigate the potentially catastrophic impact on the population of a biological agent release.

Chemical Defense and the Rapidly Deployable Chemical Detection System:

The Rapidly Deployable Chemical Detection System is a mobile set of chemical point detection sensors that can be deployed across the nation and set up in hours prior to an event and is intended for use at large, high profile gatherings such as National Special Security Events (NSSE) or DHS Special Event Assessment Rating (SEAR) Level events. This system of systems can identify a variety of threat chemicals and can decrease the initial period of uncertainty that could occur following chemical incidents. Technology and operations already used for RDCDS will become the nexus for creating an overarching chemical defense and chemical detection architecture.

National Biosurveillance Integration Center:

The Implementing Recommendations of the 9/11 Commission Act of 2007 (9/11 Act), P.L. 110-53, established the National Biosurveillance Integration Center (NBIC) to enhance the Federal government's capability to rapidly identify and monitor biological events of national concern. The 9/11 Act also tasks NBIC to disseminate alerts to Federal partners, states and localities to help them prepare and respond to biological threats.

NBIC collaborates with federal and state partners to collect, analyze, and share human, animal, plant, food, and environmental biosurveillance information from a myriad of monitoring systems. NBIC provides a Biosurveillance Common Operating Picture (BCOP) to senior decision-makers and partner agencies. The BCOP provides biosurveillance situational awareness for DHS and its partners.

Planning and Coordination:

The Planning and Coordination PPA is composed of the programs within the Office of Medical Readiness (OMR) and the Food, Agriculture, Veterinary Defense (FAVD) division.

The experts within OMR provide advice and guidance on health and medical issues to the Secretary of DHS and the Administrator of FEMA through the Assistant Secretary for Health Affairs/Chief Medical Officer (CMO). OMR provides health and medical support to DHS operations for incident management, and provides direction and subject matter expertise to the federal interagency planning process to ensure health impacts are fully integrated into federal plans. OMR experts also develop guidance on the health and medical aspects of federal grant programs, and lead the development of the National Biodefense Architecture.

The Food, Agriculture, and Veterinary Defense (FAVD) division leads the coordination of the Department's programs to ensure the security of our Nation's food, agriculture, human and animal health. FAVD experts support the development of the federal CONOPS for Foreign Animal Diseases and the development of the multistate/regional plans for catastrophic events.

Salaries and Expenses:

The Salaries and Expenses (S&E) PPA funds all FTEs within OHA. The S&E PPA provides programmatic funding for the Office of the Assistant Secretary, Office of Component Services and the Office of International Affairs and Global Health Security.

The Office of the Assistant Secretary (OAS) is headed by the Chief of Staff. The Office of the Chief of Staff provides direct support to the Assistant Secretary, and provides policy, external affairs, and executive secretariat services to all entities within OHA. The Management Operations Division supports OAS and includes the Chief Financial Officer, the Chief Administrative Officer, and the Chief Human Capital Officer.

The Office of Component Services is headed by an Associate Chief Medical Officer and is responsible for establishing policy, standards, requirements and metrics for the

Department's health and safety programs, and provides protective and operational medical oversight, credentialing, and medical quality management across DHS.

The Office of International Affairs and Global Health Security (OIAGHS) oversees the Department's global health security initiatives, including the international aspects of pandemic influenza planning and international lessons learned from public health crises. OIAGHS maintains high-level liaison with senior foreign partners, international private sector representatives, technical and professional associations, and other Federal agencies to facilitate sustainable solutions for global health security issues that may have national implications for homeland security.

C – Budget Request Summary:

OHA requests \$212.734 million, 104 full-time positions (FTP) and 95 full-time equivalents (FTE).

- OHA requests an increase of \$83.992 million for the BioWatch Generation 3 program in addition to the current services of \$89.513 million for a total of \$173.505 million.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security Office of Health Affairs

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	71	29,973	84	30,411	95	27,553	11	(2,858)	-	-	11	(2,858)
Planning and Coordination	-	5,523	-	3,726	-	2,276	-	(1,450)	-	-	-	(1,450)
BioWatch	-	80,552	-	89,513	-	173,505	-	83,992	-	83,992	-	-
National Biosurveillance Integration Center	-	9,121	-	13,000	-	7,000	-	(6,000)	-	-	-	(6,000)
Rapidly Deployable Chemical Detection System	-	1,785	-	2,600	-	2,400	-	(200)	-	-	-	(200)
Subtotal, Enacted Appropriations and Budget Estimates	71	126,954	84	139,250	95	212,734	11	73,484	-	83,992	11	(10,508)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	71	126,954	84	139,250	95	212,734	11	73,484	-	83,992	11	(10,508)

III. Current Services Program Description by PPA

**Department of Homeland Security
Office of Health Affairs
Salaries and Expenses
Program Performance Justification**
(Dollars in Thousands)

PPA: Salaries and Expenses

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	80	71	29,973
2010 Enacted	84	84	30,411
2011 Adjustments-to-Base	20	11	(2,858)
2011 Current Services	104	95	27,553
2011 Total Request	104	95	27,553
Total Change 2010 to 2011	20	11	(2,858)

OHA requests \$27,553 million which will fund 104 FTP/95 FTE for the Office of the Health Affairs. This is a decrease of \$2.858 million from FY 2010 enacted and is attributed to a decrease in supplies, staff travel, training and development and the conversion of contract support services for associated management and administration activities. The increase in FTE is due to the DHS Balanced Workforce Strategy.

CURRENT SERVICES PROGRAM DESCRIPTION:

Management and Administration:

OHA is led by the Assistant Secretary for Health Affairs, who also holds the title of Chief Medical Officer for DHS, and serves as the principal health and medical advisor to the Secretary and the Administrator of FEMA. The Deputy Chief Medical Officer and Principal Deputy Assistant Secretary for Health Affairs serves as the Chief Operating Officer. This request will fund 104 FTP/95 FTE throughout the Office of Health Affairs.

Office of Component Services

The Office of Component Services (OCS) provides medical guidance, oversight, support and standards for all DHS components. OCS activities are divided into three areas:

Occupational Medical Services efforts include development of strategy, policy, requirements and metrics for the medical aspects of a Department-wide occupational health and safety program. This is done in partnership with the Office of Safety and Environmental Programs within the Office of the Under Secretary for Management.

Occupational Medical Services provides health and medical consultation resources to DHS components on a 24/7 basis. OHA consultation services will ensure regulatory compliance and consistency with industry best practices in support of various component missions with regard to medical, health and safety considerations. Occupational Medical Services also assists the Department's Office of the Chief Human Capital Officer in developing physical evaluation programs (pre-placement, fitness-for-duty, return-to-work, etc.) and performing post-incident analyses.

Workforce Health Protection activities enhance the safety and health of the DHS workforce, including development of deployment health guidelines and policies; health protection guidelines in dangerous work environments; facilitated health screening programs; and mechanisms to support a physical fitness culture to help ensure that workforces are physically able to support the Department's missions while minimizing health threats and work-related disability.

Operational Medicine Support activities provide support to the thousands of DHS medical personnel throughout the country, including remotely deployed personnel such as border agents in the Southwest desert, DHS aviation personnel engaged in counter-narcotics and counter-smuggling operations, and rescue swimmers engaged in United States Coast Guard (USCG) search and rescue. Programs include a credentialing and medical oversight framework.

Office of International Affairs and Global Health Security

The Office of International Affairs and Global Health Security (OIAGHS) enhances OHA executive decision-support to DHS leadership by coordinating international engagement and ensuring that health related global lessons learned and best practices are applied domestically. These best practices are collected and applied through the Lessons without Borders Initiative (Lw/oB). This initiative provides a framework for information sharing between national and international governmental, non-governmental, academic and private sector organizations to improve knowledge and decision-making on global health security issues. This strengthens the Department's ability to meet its mandate for the emergency management of natural or manmade threats, including Pandemic Influenza, chemical, biological, radiological or nuclear incidents. Additionally, OIAGHS coordinates all international OHA-related activities with the DHS Policy Office of the Assistant Secretary for International Affairs. This includes an all-hazard, multi-sector approach to countering trans-border health threats and natural or man-made catastrophic disasters.

Key Accomplishments

In FY 2009, the Office of Component Services developed specialty protocols for Tactical Emergency Medical Personnel, initiated programs for credentialing of DHS health care personnel, and initiated a medical quality management program for the Department.

The 2009-H1N1 pandemic resulted in thousands of requests for medical and health information by DHS components. OCS provided extensive pandemic influenza support

to the workforce and will maintain this effort throughout FY 2010 as the current pandemic continues.

The OCS plan for FY 2010 includes finalizing Austere Medicine Protocols for use by DHS emergency medical personnel operating in remote and austere environments.

OCS will also enhance workforce health protection and wellness-related activities in FY 2010 by developing model wellness newsletters and policy-based health protection guidelines for situations such as disaster related deployment and international travel.

OCS plans to build upon the suite of DHS-wide medical protocols in FY 2011 by developing standardized medical care protocols for general EMS response.

Additionally, OCS's broad objectives for FY 2011 include implementation of a DHS-wide employee and organizational resilience program. OCS also aims to develop a credentialing program throughout DHS to ensure adequate credentialing of medical personnel and set minimum standards for medical providers within the Department. Furthermore, OCS plans to implement a medical quality management program to set standards and metrics for measuring quality of care, provide insight into training and certification needs, and reduce the liability risk of the Department.

Management and administration goals for FY 2011 include enhancing the range of services provided to OHA personnel and installing additional internal controls to improve program management.

Department of Homeland Security
Office of Health Affairs
Planning and Coordination
Program Performance Justification
(Dollars in Thousands)

PPA: Planning and Coordination

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	5,523
2010 Enacted	-	-	3,726
2011 Adjustments-to-Base	-	-	(1,450)
2011 Current Services	-	-	2,276
2011 Total Request	-	-	2,276
Total Change 2010 to 2011	-	-	(1,450)

OHA requests \$2.276 million for the Planning and Coordination PPA, of which \$1.549 million will fund the Office of Medical Readiness (OMR) and \$0.727 million will fund the Food, Agricultural and Veterinary Defense (FAVD) Division. This is a decrease of \$1.45 million from FY 2010, which is attributed to a reduced number of Public Health Service Officers (PHSOs).

CURRENT SERVICES PROGRAM DESCRIPTION:

Office of Medical Readiness

The Office of Medical Readiness (OMR) develops policies, plans, and programs to enhance medical preparedness and response aspects of all-hazards planning, exercises, and training; oversees weapons of mass destruction incident management support; promotes the integration of state and local medical response capabilities; aligns DHS emergency preparedness grants with medical preparedness; and leads the DHS role in addressing medical first responder requirements to prepare for and respond to catastrophic incidents, while serving as the principal DHS representative for the medical first responder community. OMR is comprised of three divisions.

The Contingency Plans and Policy Division provides direction and subject matter expertise to the Federal interagency planning process to ensure health and medical impacts resulting from catastrophic incidents, both man-made and naturally occurring, are fully integrated. In its role in planning and policy support, the division provides ongoing and 24/7 on-call crisis action planning support to ensure health related aspects of crisis action planning are accomplished. Personnel within this division represent OHA

on selected sub-Interagency Policy Committees (sub-IPCs) addressing Federal policies related to biological threats and capabilities development. This division is also the OHA lead for informing the National Health Security Strategy development process, integrating all DHS feedback into the development of this national strategy.

The Incident Coordination Division provides situational awareness, incident management expertise, and coordination of DHS efforts in responding to health-related issues during disasters, mass casualty incidents, and national special security events. The division assures that the Assistant Secretary/Chief Medical Officer has constant visibility on situations and incidents which have the potential to impact the health and welfare of the Nation. The division provides health experts at the National Operations Center (NOC) and the FEMA National Response Coordination Center (NRCC), to inform DHS leadership on all health related issues arising from current operations. The division also provides medical and public health expertise to various exercise and training programs. Personnel from this Division provide support to the FEMA Incident Management Assistance Teams (IMAT) by deploying OHA staff with the teams to provide on the ground situational awareness of medical conditions before and during incidents and to provide any necessary medical care to team members.

The Health Security Coordination Division serves as the primary point of contact within OHA to the medical first responder community. The division leads the Department's role in improving medical first responder readiness for catastrophic incidents and facilitates the integration of emergency medical services (EMS) into federal, state, local, tribal and territorial disaster planning and preparedness activities. The division also leads interagency alignment of health preparedness grants working in coordination with FEMA to ensure health and medical issues are appropriately addressed in DHS grant programs. The Division supports Department-wide efforts to develop public health and medical standards for first responders, as well as training and education programs to enhance national preparedness and response capabilities.

Additionally, the division also provides support on EMS and medical first responder issues to the United States Fire Administration, FEMA EMS technical working groups, the DHS Science and Technology First Responder Officer, DHS State and Local Law Enforcement Office and the DHS Office of Intelligence and Analysis.

Key Accomplishments

In FY 2009 OMR initiated the Health Security Intelligence Enterprise (HSIE) to incorporate public health and health care personnel into state and local fusion centers. OMR worked with DHS partners to develop a series of ten regional anthrax tabletop exercises to be executed in late 2009 and throughout 2010, and developed and conducted an anthrax table top exercise in collaboration with New York City.

OMR supported incident operations for the spring 2009-H1N1 influenza outbreak, standing up a Decision Support Cell to maintain situational awareness for DHS leadership and Components. Also in FY 2009, OMR developed and disseminated

guidance for medical first responders and law enforcement officers during the initial wave of 2009 H1N1 influenza in collaboration with other Federal agencies.

In FY 2010, OMR will continue to support DHS crisis action planning efforts that have health related impacts, provide medical expertise to incident operations, and enhance national medical and public health preparedness and response capabilities.

OMR plans to develop in FY 2010, in coordination with FEMA and other partners, guidance for continuity of operations for first responder systems, a fire-based EMS Medical Directors Manual that will guide medical directors on how to function in their role and how to integrate and coordinate with applicable fire and medical arenas, and an EMS & Fire Service Funding Manual that will provide comprehensive documentation of all available federal, state, and local funding resources for the first responder community.

OMR's objectives for FY 2011 are a continuation of its FY 2009 and 2010 efforts and include providing health and medical readiness expertise to the interagency planning and policy development process; providing support to DHS training, exercising and operations activities; and initiation of training activities to support the integration of public health and the healthcare community into the national network of state and local fusion centers.

Additionally in FY 2011, OMR plans to continue expansion of the web-based interagency Compendium of Medical and Public Health Preparedness, Allocation, Skills Development and Standards (CoMPASS), developed in FY 2009, to include equipment.

Food, Agricultural and Veterinary Defense

The OHA Food, Agricultural and Veterinary Defense (FAVD) division provides oversight and management of DHS veterinary, food and agriculture security activities. FAVD provides expertise, technical support, and leadership to effectively coordinate DHS efforts in the event of a catastrophic food or agricultural incident, and works to enhance national preparedness and response capabilities in advance of an event.

Key Accomplishments

In FY 2009, FAVD completed development of the Strategic Plan (for Federal Bio Planning Against Biological Attacks) for catastrophic Foreign Animal Disease and Food Contamination Scenarios, and began development of a Benchmarking Toolkit to allow state, local, and tribal organizations to measure their preparedness and response capabilities against established food and agricultural catastrophic scenarios.

FAVD's plan for FY 2010 includes contributing to national capability development activities related to food and agricultural preparedness and response; initial development of a Food Sector Benchmarking Toolkit and deployment of the Food and Agriculture Readiness Measurement Toolkit (FARM) to States; and enhancing food, agricultural and veterinary content on the DHS Lessons Learned Information Sharing System.

FAVD will work with Federal partners, including the Department of Agriculture and HHS, to develop an international food supply chain risk assessment, and assist states in preparing and implementing a food emergency response plan for all hazards.

In FY 2011, FAVD will complete development of a Defense of Food and Agriculture “Dashboard” and Collaboration Tool, and complete revision of the model Food Emergency Response Plan Template (in association with the National Association of State Departments of Agriculture, USDA and HHS).

FAVD aims to provide a fully functional Food Sector Benchmarking Tool (FARM Toolkit) for use by the States, local, and Tribal nations in FY 2011, and initiate development of a benchmarking toolkit for Livestock and Poultry Disease Emergency Response or Public Health Surveillance and Epidemiological Investigation.

Department of Homeland Security
Office of Health Affairs
BioWatch
Program Performance Justification
(Dollars in Thousands)

PPA: BioWatch

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	80,552
2010 Enacted	-	-	89,513
2011 Current Services	-	-	89,513
2011 Program Change	-	-	83,992
2011 Total Request	-	-	173,505
Total Change 2010 to 2011	-	-	83,992

OHA requests \$173.505 million in FY 2011. The \$83.992 million additional funding requested in FY 2011 will procure 476 Gen-3 detectors and will fund deployment and long lead support activities.

CURRENT SERVICES PROGRAM DESCRIPTION:

BioWatch is the only federally-managed, locally-operated, nationwide bio-surveillance system designed to detect the intentional release of select aerosolized biological agents. The program has operated in more than 30 high-threat metropolitan areas since early 2003. BioWatch protects millions of people by focusing on early detection of a biological attack. Early detection is critical to the successful treatment of affected populations and provides public health decision makers more time in responding to, mitigating, and recovering from a bioterrorist event. BioWatch is the only program that exercises and evaluates our collective abilities to provide a detect-to-warn notification system that alerts the U.S. civilian population to a biological attack.

Current detection capabilities fielded by DHS, termed Gen-1 / Gen-2, consist of outdoor aerosol collectors whose filters are manually retrieved for transport to and subsequent analysis in a BioWatch Laboratory of the Laboratory Response Network (LRN) facility. This system, while extremely beneficial, is labor-intensive and the data results can take as long as 12 to 36 hours. The filter collection and analysis process results in a window between 12-36 hours after a release to detect the presence of a biological agent. Detection 12-36 hours post release is inadequate to support the decision needs of indoor facility managers due to the nature of these facilities – many are busy transportation centers such as airports, subways, train stations and arenas. BioWatch detection

capabilities must be augmented to significantly reduce detection time if we are to provide an appropriate detection strategy for indoor venues. The transition to an automated detection system, called Generation 3 (Gen-3) will improve time to detect from this 12-36 hour window to between 4-6 hours, will increase population coverage, and will provide greater cost effectiveness from greater automation.

BioWatch has identified critical gaps in population coverage in existing jurisdictions, high-throughput transportation hubs, and in non-BioWatch Urban Area Security Initiative (UASI) jurisdictions. Accordingly, with the availability of Gen -3 technology, DHS has determined that it is prudent to expand the BioWatch coverage will begin to fill in these critical gaps over the next three years. BioWatch plans to increase the percentage of the population covered within existing BioWatch jurisdictions; increase the number of jurisdictions by approximately 40 percent; and deploy autonomous detection capability to over 100 critical facilities nationwide. The FY 2011 request provides the first substantial improvement toward this coverage.

Key Accomplishments

The BioWatch program maintained Gen-1 / Gen-2 capability in over 30 jurisdictions nationwide in FY 2009, and supported National Security Special Events (NSSEs) and local special events including the 56th Presidential Inauguration.

BioWatch sponsored an exercise program that included exercises in six BioWatch jurisdictions for both outdoor and subway events in FY 2009. The exercises comprised a combination of notification drills, tabletop exercises and functional exercises to assess the jurisdiction's BioWatch preparedness.

Additionally in FY 2009, BioWatch proceeded with the Gen-3 procurement process and established capability to evaluate the performance of new assays in candidate Gen-3 and existing BioWatch detection technologies. Gen-3 procurement included initiating the Gen-3 Field Test Program, providing funding to government testing facilities and an independent test agency for testing and test support for the Gen-3 Field Test Program, and awarding contract(s) for prototype Gen-3 detector systems, supplies, and technical support to implement the Gen-3 Field Test Program (Phase I).

In FY 2010 and FY 2011 BioWatch will continue to maintain Gen-1 / Gen-2 capability in over 30 jurisdictions nationwide as well as supporting National Security Special Events (NSSEs) and local special events.

Additional plans for FY 2010 include updating the BioWatch Outdoor Guidance, integrating BioWatch-specific plans into local/state/regional Emergency Operations Plans (EOPs) and support materials, and initiating development of the BioWatch Response Concept of Operations (CONOPS) for outdoor and indoor BAR responses.

Gen-3 procurement activities planned for FY 2010 include conducting a Field Test Program for prototype units for Gen-3 autonomous detectors; establishing criteria for the

approval of assays and the methodology for certifying tested complete planning and initiate long-lead deployment activities required to conduct indoor OT&E on production units, in conjunction with the CDC; completing planning and initiating long-lead activities required to prepare for the indoor deployment of a Gen-3 detectors to critical transportation facilities; and, completing assay testing/validation on the prototype Gen-3 vendor supplied assays.

BioWatch objectives for FY 2011 include exercises and assessments to strengthen response capabilities and assess preparedness in BioWatch jurisdictions.

The program will increase coverage of the BioWatch Jurisdictional Coordinator Program in FY 2011, and complete the BioWatch Response CONOPS for outdoor and indoor BAR responses that include Incident Action Plans for potential BAR-triggered jurisdiction-led bioterrorist incidents.

In FY 2011, BioWatch plans a number of Gen-3 initiatives, including procuring 476 Gen-3.0 autonomous detectors and the long lead logistics support requirements to operate and maintain the Gen-3 system.

First article testing, production readiness reviews, configuration audits of the Gen-3 detector production line, and delivery of the first Gen-3 detectors from the production line is also scheduled for FY 2011. These units will be used to support operational test jurisdictions. Operational testing and evaluation (TO&E) of production Gen-3 systems is also planned for FY 2011, including chamber characterization testing on the first 10 production units to ensure they perform as required.

BioWatch will continue to work with jurisdictions in FY 2011 to ensure each is prepared to receive and employ the Gen-3 detectors after the successful completion of OT&E.

Department of Homeland Security
Office of Health Affairs
National Biosurveillance Integration Center
Program Performance Justification
(Dollars in Thousands)

PPA: National Biosurveillance Integration Center

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	9,121
2010 Enacted	-	-	13,000
2011 Adjustments-to-Base	-	-	(6,000)
2011 Current Services	-	-	7,000
2011 Total Request	-	-	7,000
Total Change 2010 to 2011	-	-	(6,000)

The National Biosurveillance Integration Center (NBIC) requests \$7 million in FY 2011, which will fund NBIC technical support services, NBIS Information Technology operations and improvements, biosurveillance private sector data acquisitions and coordination efforts with federal, state, local and tribal governments. Of the \$6 million reduction in the base, \$1 million is attributed to a reduction in the number of agency detailees/liaison officers assigned to the NBIC and \$5 million is a reduction from the one time cost for the North Carolina Collaboratory for Bio-Preparedness project.

CURRENT SERVICES PROGRAM DESCRIPTION:

NBIC was established to rapidly identify and monitor biological events of national concern. NBIC collaborates with federal and state partners to collect, analyze, and share human, animal, plant, food, and environmental biosurveillance information from a myriad of monitoring systems to produce alerts and other situational awareness products. A primary goal of NBIC is to reduce the impact of a major biological or disease event.

NBIC collects and analyzes information from open sources as well as Sensitive but Unclassified, Secret, Top Secret, and Top Secret Sensitive Compartmented Information. The first NBIC situational report was distributed to all eleven (11) Federal partners during the 2008 Salmonella saintpaul outbreak (an event involving data sharing between Customs and Border Protection and HHS/Food and Drug Administration). As the managing partner of the National Biosurveillance Integration System (NBIS), the NBIC organizes data and information and shares that primarily amongst a set of federal partners to determine what bio-events reach reporting thresholds and then publishes reports using

the Biosurveillance Common Operating Picture (BCOP) available to both federal and state/local officials.

Key Accomplishments

In response to the 2009 H1N1 Influenza outbreak, NBIC, in coordination with HHS and the CDC, engaged the DHS Office of Infrastructure Protection and the National Infrastructure Simulation and Analysis Center (NISAC) to forecast the potential spread of 2009-H1N1 and its possible impacts on critical infrastructure and key resources during the 2009-10 influenza season. NBIC distributed key event information regarding 2009 H1N1 influenza via the Biosurveillance Common Operating Picture (BCOP).

Additional FY 2009 efforts included expanding the IT system processing capability; engaging private sector agencies and organizations in the public health, food and agriculture, transportation and logistics, and banking and finance sectors.

In FY 2009, NBIC continued to encourage federal departments and agencies to participate, and encouraged NBIC member agencies to enter into Interagency Agreements to provide detailees to NBIC to provide in-depth subject matter expertise and analytic perspectives and approaches to analyze and report on biological events. This effort will continue in FY 2010.

NBIC plans to significantly evolve and improve the visual analytic and decision support capabilities of the Biosurveillance Common Operating Picture (BCOP) in FY 2010 by providing access to in-depth scientific data, situational awareness, digital and analog depictions, and modeling and simulation results into a User Defined Operational Picture (UDOP). This UDOP will provide a full, comprehensive electronic picture with assessments of current biological events and trends and their potential impacts on homeland security.

In FY 2011, NBIC will add additional state fusion center and private sector information sources to the NBIC network, and expand the biological common operating network (BCON) to include even more data analytics.

NBIC will also update a number of planning documents and resources in FY 2011, including the NBIC Outreach to Critical Infrastructure and Key Assets plan, NBIS Concept of Operations, and NBIC 5 Year Strategic Plan.

Department of Homeland Security
Office of Health Affairs
Rapidly Deployable Chemical Detection System
Program Performance Justification
(Dollars in Thousands)

PPA: Rapidly Deployable Chemical Detection System

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	1,785
2010 Enacted	-	-	2,600
2011 Adjustments-to-Base	-	-	(200)
2011 Current Services	-	-	2,400
2011 Total Request	-	-	2,400
Total Change 2010 to 2011	-	-	(200)

OHA requests \$2.4 million in FY 2011 to operate and sustain current Rapidly Deployable Chemical Detection System (RDCDS) operations, facilitate the development of a proposed chemical detection architecture, and upgrade current operational capabilities of existing systems. The \$200,000 decrease is attributed to a reduction in maintenance needs on the detection units.

CURRENT SERVICES PROGRAM DESCRIPTION:

RDCDS consists of a mobile set of chemical sensors that can rapidly identify a variety of potential threat chemicals to ensure a swift and accurate response to a chemical release. RDCDS maintains an operational capability at National Security Special Events (NSSEs) and DHS Special Event Assessment Rating (SEAR) Level I and II activities.

RDCDS personnel from the OHA Chemical Defense Division (CDD) provide health and medical expertise related to chemical preparedness, response, and resilience in support of a Chemical Defense Architecture to ensure an end-to-end approach to Chemical Defense.

CDD's documents the lessons learned and best practices captured during scheduled demonstration projects, which will serve as future guidance for other communities to design chemical detection and defense architectures tailored to their individual requirements and resource availability. The lessons learned, along with initiatives of DHS components and other federal agencies, will be incorporated into the design of the Chemical Defense Architecture. Specifically, the future guidance documents from these endeavors will facilitate linking detection technologies to threat, risk & vulnerability assessments, preparedness efforts and rapid response actions that save lives (e.g.,

deciding on protective actions such as evacuation, providing human decontamination, and disseminating accurate information to emergency response personnel and quickly administering appropriate medical countermeasures).

Key Accomplishments

In FY 2009, the RDCDS capability was deployed at a National Security Special Event (NSSE). In addition, CDD re-aligned and defined the RDCDS program strategy to ensure an end-to-end approach to chemical defense that includes chemical detection.

CDD lent its expertise to a number of chemical defense efforts in DY 2009, including initiating and co-leading an interagency Mass Human Decontamination working group, co-leading an interagency Chemical Detection Technology Development Strategy working group to establish an R&D roadmap for future chemical detection, and creating a technical and operational specifications guidance document for TSA to use in the purchase and deployment of chemical detection systems.

CDD's plan for FY 2010 builds upon prior chemical defense activities, including RDCDS and support to NSSEs. CDD will develop standards for the purchase and deployment of chemical detection systems utilizing technical and operational specifications.

CDD will continue to provide health and medical expertise related to chemical preparedness, response, and resilience, and will begin building a Chemical Defense Architecture. Architecture development in FY 2010 will include establishing a DHS working group on chemical preparedness and response, and conducting cooperative operational demonstrations in several local venues with key local, state and federal emergency response stakeholders.

The Mass Human Decontamination working group will review current research and capability gaps and develop a roadmap for future Mass Human Decontamination efforts and a research and development roadmap for future chemical detection activities.

CDD's broad objectives for FY 2011 include enhancing community outreach and education for chemical event preparedness; establish training for first responders, first receivers and public health personnel on identifying toxic syndromes due to a chemical release; and continued deployment of RDCDS at NSSEs and high-risk events.

In addition, RDD will refine the Chemical Defense Architecture in FY 2011, engaging with the interagency to incorporate established chemical defense capabilities and build a more robust chemical defense posture.

IV. Program Justification Changes

**Department of Homeland Security
Office of Health Affairs
BioWatch
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: BioWatch
 PPA: BioWatch
 Program Increase: Positions 0.0, FTE 0.0, Dollars \$83992.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	89,513
Program Increase							-	-	83,992
Total Request	-	-	77,670	-	-	89,513	-	-	173,505

Description of Item

The \$83.992 million increase is the initial investment to deliver automated biosurveillance capabilities for DHS, states, and localities. The request will procure 476 Gen-3 detectors and fund the deployment and long lead support for these detectors. The detectors will enable the program to establish indoor coverage in candidate facilities within those jurisdictions.

Justification

Current Gen-1 / Gen-2 detection capabilities consist of outdoor aerosol collectors whose filters are manually retrieved for transport to and subsequent analysis in a Laboratory Response Network (LRN) facility. This system, while extremely beneficial, is labor-intensive and the data results are significantly time-delayed. The analysis process takes between 12-36 hours post release to process and detect the presence of a biological agent. Detection 12-36 hours post release is inadequate for indoor use because most indoor sensors will be placed in areas where people who passed through the area will have traveled from the release sight, possibly contaminating additional persons, during the 36 hours from release.

Additionally, BioWatch has identified critical gaps in population coverage in existing jurisdictions, and has determined a need to deploy detection capabilities within high-throughput transportation hubs and into new UASI jurisdictions. Accordingly, as it begins to deploy automated Gen 3 units, DHS has determined that it is prudent to expand

the BioWatch coverage significantly over the next three years. Not only will funds be used for procurement and deployment, requested funds will also support site planning and preparation activities as well as program management costs for the multi-year, nationwide deployment.

Impact on Performance (Relationship of Increase to Strategic Goals)

The BioWatch program supports the Secretary's goal of ensuring resilience to disasters by providing the capability to detect execution of operations by terrorists and other malicious actors, and is aligned to the OHA responsibility to lead the Department's biodefense activities. An effective and timely detection capability is critical to achieving this goal.

With the FY 2011 request, the BioWatch Gen-3 system will decrease time to detect from 12-36 hours to 4-6 hours, allowing localities to rapidly conduct response and mitigation efforts. The FY 2011 request will also allow the BioWatch program to increase the percentage of the population covered within existing BioWatch jurisdictions, and deploy autonomous detection capability to over 100 critical facilities nationwide, while also providing greater cost effectiveness. With the FY 2011 request, the BioWatch Gen-3 system will decrease time to detect from 12-36 hours to 4-6 hours, allowing localities to rapidly conduct response and mitigation efforts. The FY 2011 request will also allow the BioWatch program to begin to increase the percentage of the population covered within existing BioWatch jurisdictions, and deploy autonomous detection capability to over 100 critical facilities nationwide, while also providing greater cost effectiveness and savings.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Instructions for Upload:

For the necessary expenses of the Office of Health Affairs, [\$138,000,000] \$212,734,217; of which [\$30,411,000] \$27,553,000 is for salaries and expenses; and of which [\$107,589,000] \$185,181,217 is for biosurveillance, BioWatch, chemical response, and related activities for the Department of Homeland Security, to remain available until September 30, [2011] 2012: *Provided*, That not to exceed \$3,000 shall be for official reception and representation expenses.

B. FY 2010 to 2011 Budget Change

Department of Homeland Security Office of Health Affairs FY2010 to FY2011 Budget Change (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2009 Actuals	80	71	126,954
FY 2010 Enacted	84	84	139,250
Adjustments-to-Base	-	-	-
Increases	-	-	-
2011 pay increase	-	-	182
Annualization of 2010 pay raise	-	-	72
GSA Rent	-	-	38
DHS Balanced Workforce Strategy	20	11	-
Total Increases	20	11	292
Decreases	-	-	-
NBIC - One-Time Cost for North Carolina Collaboratory for Bio-Preparedness	-	-	(5,000)
NBIC - Reduction in Agency Detailees	-	-	(1,000)
Non-Recurring Costs	-	-	(3,150)
P&C Adjustment to Base	-	-	(1,450)
RDCDS Adjustment to Base	-	-	(200)
Total Decreases	-	-	(10,800)
Total, Adjustments-to-Base	20	11	(10,508)
FY 2011 Current Services	104	95	128,742
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
BioWatch	-	-	83,992
Total, Program Changes	-	-	83,992
FY 2011 Request	104	95	212,734
FY 2010 to FY 2011 Total Change	20	11	73,484

C. Summary of Requirements

Department of Homeland Security
Office of Health Affairs
Summary of Requirements
(Dollars in Thousands)

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	80	71	126,954
FY 2010 Enacted	84	84	139,250
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	20	11	292
Decreases	-	-	(10,800)
Total, Adjustments-to-Base	20	11	(10,508)
FY 2011 Current Services	104	95	128,742
Program Changes	-	-	-
Total, Program Changes	-	-	83,992
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	104	95	212,734
Total Change 2010 to 2011	20	11	73,484

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Salaries and Expenses	84	84	30,411	104	95	27,553	20	11	(2,858)	-	-	-	20	11	(2,858)
Planning and Coordination	-	-	3,726	-	-	2,276	-	-	(1,450)	-	-	-	-	-	(1,450)
BioWatch	-	-	89,513	-	-	173,505	-	-	83,992	-	-	83,992	-	-	-
National Biosurveillance Integration Center	-	-	13,000	-	-	7,000	-	-	(6,000)	-	-	-	-	-	(6,000)
Rapidly Deployable Chemical Detection System	-	-	2,600	-	-	2,400	-	-	(200)	-	-	-	-	-	(200)
Subtotal, Estimates Program Project Activity	84	84	139,250	104	95	212,734	20	11	73,484	-	-	83,992	20	11	(10,508)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	84	84	139,250	104	95	212,734	20	11	73,484	-	-	83,992	20	11	(10,508)

D. Summary of Reimbursable Resources

**Department of Homeland Security
Office of Health Affairs
Summary of Reimbursable Resources
(Dollars in Thousands)**

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Department of Defense	-	-	175	-	-	175	-	-	175	-	-	-
Domestic Nuclear Detection Office	-	-	208	-	-	216	-	-	216	-	-	-
Federal Emergency Management Agency	-	-	727	-	-	755	-	-	755	-	-	-
Immigration and Customs Enforcement	-	-	40,000	-	-	50,000	-	-	50,000	-	-	-
National Protection and Programs Directorate	-	-	208	-	-	216	-	-	216	-	-	-
Office of Management	-	-	1,000	-	-	1,000	-	-	1,000	-	-	-
Science and Technology	-	-	416	-	-	432	-	-	432	-	-	-
Department of State	-	-	100	-	-	100	-	-	100	-	-	-
Total Budgetary Resources	-	-	42,834	-	-	52,894	-	-	52,894	-	-	-

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
BioWatch	-	-	275	-	-	275	-	-	275	-	-	-
Salaries and Expenses	-	4	42,559	-	-	52,619	-	-	52,619	-	-	-
Total Obligations	-	4	42,834	-	-	52,894	-	-	52,894	-	-	-

E. Summary of Requirements by Object Class

Department of Homeland Security
Office of Health Affairs
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	7,000	11,000	10,000	(1,000)
11.8 Special Service Pay	-	1,000	1,946	946
12.1 Benefits	2,000	4,088	3,000	(1,088)
21.0 Travel	1,000	1,000	1,000	-
23.1 GSA rent	4,000	-	2,000	2,000
25.1 Advisory and assistance services	46,000	24,162	57,788	33,626
25.2 Other services	-	15,850	-	(15,850)
25.3 Purchases from Gov't accts.	42,831	32,000	32,000	-
26.0 Supplies and materials	123	150	13,000	12,850
31.0 Equipment	-	23,000	59,000	36,000
41.0 Grants/Subsidies/Contributions	24,000	27,000	33,000	6,000
Total, Object Class	126,954	139,250	212,734	73,484
Unobligated Balance, start of year	(307)	(31,156)	-	31,156
Unobligated Balance, end of year	30,544	31,156	-	(31,156)
Total, Adjustments	30,237	-	-	-
Total, Direct Obligations	157,191	139,250	212,734	73,484

F. Permanent Positions by Grade

Department of Homeland Security Office of Health Affairs Permanent Positions by Grade

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	3	2	2	-
Total, EX	1	1	1	-
GS-15	30	25	25	-
GS-14	25	20	20	-
GS-13	10	9	29	20
GS-12	4	4	4	-
GS-11	2	11	11	-
GS-10	-	4	4	-
GS-9	2	3	3	-
Other Graded Positions	5	5	5	-
Total, SL	2	-	-	-
Total Permanent Positions	84	84	104	20
Unfilled Positions EOY	7	-	-	-
Total Permanent Employment EOY	-	84	84	-
Full Time Equivalents	71	84	95	11
Headquarters	84	84	104	20
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total, Location	84	84	104	20
Average ES Salary	161,815	161,815	161,815	-
Average GS Salary	93,990	99,329	99,329	-
Average Grade	14	13	13	-

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

Department of Homeland Security Office of Health Affairs Salaries and Expenses Funding Schedule (Dollars in Thousands)

PPA: Salaries and Expenses	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	7,000	11,000	10,000	(1,000)
11.8 Special Service Pay	-	187	705	518
12.1 Benefits	1,994	4,088	3,000	(1,088)
21.0 Travel	436	411	436	25
23.1 GSA rent	4,000	-	2,000	2,000
25.1 Advisory and assistance services	7,228	105	5,734	5,629
25.2 Other services	-	14,000	-	(14,000)
25.3 Purchases from Gov't accts.	9,192	470	5,546	5,076
26.0 Supplies and materials	123	150	132	(18)
Total, Object Class	29,973	30,411	27,553	(2,858)
Unobligated Balance, start of year	-	763	-	(763)
Unobligated Balance, end of year	(763)	(763)	-	763
Total, Adjustments	(763)	-	-	-
Total, Salaries and Expenses	29,210	30,411	27,553	(2,858)

PPA Mission Statement

The Office of Health Affairs (OHA) serves as the Department of Homeland Security's principal authority for all medical and public health matters. OHA provides medical, public health, and scientific expertise in support of the DHS mission to prepare for, respond to, and recover from all threats. The Salaries and Expenses (S&E) PPA funds all FTEs within OHA. The S&E PPA also provides programmatic funding for the Office of Component Services, which is responsible for establishing policy, standards, requirements and metrics for the Department's health and safety programs, and provides protective and operational medical oversight, credentialing, and medical quality management across DHS, and the Office of International Affairs and Global Health Security, which oversees the Department's global health security initiatives, including the international aspects of pandemic influenza planning and international lessons learned from public health crises.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	7,000	11,000	10,000	(1,000)

The FY 2011 request includes a decrease of \$1,000,000 for salaries and benefits associated with the 104 FTP / 95 FTE as part of the DHS Balanced Workforce Strategy.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	187	705	518

The FY 2011 request includes an increase of \$517,995 associated with the Public Health Service Officers.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	1,994	4,088	3,000	(1,088)

The FY 2011 request includes a decrease of \$1,088,000 for benefits associated with the 104 FTP / 95 FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	436	411	436	25

The FY 2011 request includes an increase of \$24,979 for travel associated with the increase in Federal personnel.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	4,000	-	2,000	2,000

The FY 2011 request includes an increase of \$2,000,000 for GSA Rent associated with the movement of personnel.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	7,228	105	5,734	5,629

The FY 2011 request includes an increase of \$5,628,982 associated with advisory and assistance services due to the realignment of other services and an increase to the Working Capital Fund.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	14,000	-	(14,000)

The FY 2011 request includes a decrease of \$14,000,000 associated with other services due to a one time cost in other services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	9,192	470	5,546	5,076

The FY 2011 request includes an increase of \$5,075,856; the majority of which is for the Working Capital Fund charges.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	123	150	132	(18)

The FY 2011 request includes a decrease of \$18,306 for supplies and materials associated with efficient use of office supplies, technology supplies, and publications.

Department of Homeland Security
Office of Health Affairs
Planning and Coordination
Funding Schedule
(Dollars in Thousands)

PPA: Planning and Coordination	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	242	179	(63)
12.1 Benefits	6	-	-	-
21.0 Travel	344	274	196	(78)
25.1 Advisory and assistance services	3,854	713	921	208
25.3 Purchases from Gov't accts.	1,319	2,497	980	(1,517)
Total, Object Class	5,523	3,726	2,276	(1,450)
Unobligated Balance, start of year	-	(252)	-	252
Unobligated Balance, end of year	252	252	-	(252)
Total, Adjustments	252	-	-	-
Total, Planning and Coordination	5,775	3,726	2,276	(1,450)

PPA Mission Statement

The Planning and Coordination PPA is composed of the programs within the Office of Medical Readiness (OMR) and the Food, Agriculture, Veterinary Defense (FAVD) division.

The experts within OMR provide advice and guidance on health and medical issues to the Secretary of DHS and the Administrator of FEMA through the Assistant Secretary for Health Affairs/CMO. OMR provides health and medical support to DHS operations for incident management, and provides direction and subject matter expertise to the federal interagency planning process to ensure health impacts are fully integrated into federal plans. OMR experts also develop guidance on the health and medical aspects of federal grant programs, and lead the development of the National Biodefense Architecture.

The Food, Agriculture, and Veterinary Defense (FAVD) division leads the coordination of the Department's programs to ensure the security of our Nation's food, agriculture, human and animal health. FAVD experts support the development of the federal CONOPS for Foreign Animal Diseases and the development of the multistate/regional plans for catastrophic events.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	242	179	(63)

The FY 2011 request includes a decrease of \$63,025 for special service pay of IPAs, detailees, and PHS Officers associated with support of development and coordination of medical readiness and response operating plans with interagency partners and costs of IPAs, detailees, and PHS Officers to assist in program support and analysis.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	6	-	-	-

There is no budget request for this in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	344	274	196	(78)

The FY 2011 request includes a decrease of \$77,890 for travel associated with medical readiness programs, specifically as it relates to travel for personnel involved with stakeholder outreach, regional coordination associated with response and readiness, training exercises, and conference attendance.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	3,854	713	921	208

The FY 2011 request includes an increase of \$208,229 for advisory and assistance services to provide programmatic and subject matter expert support for medical readiness coordination efforts.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	1,319	2,497	980	(1,517)

The FY 2011 request includes a decrease of \$1,516,864 for purchase from government accounts.

Department of Homeland Security
Office of Health Affairs
BioWatch
Funding Schedule
(Dollars in Thousands)

PPA: BioWatch	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	247	811	564
21.0 Travel	99	137	219	82
25.1 Advisory and assistance services	25,888	12,488	44,171	31,683
25.3 Purchases from Gov't accts.	30,565	26,641	23,436	(3,205)
26.0 Supplies and materials	-	-	12,868	12,868
31.0 Equipment	-	23,000	59,000	36,000
41.0 Grants/Subsidies/Contributions	24,000	27,000	33,000	6,000
Total, Object Class	80,552	89,513	173,505	83,992
Unobligated Balance, start of year	(307)	(31,361)	-	31,361
Unobligated Balance, end of year	31,361	31,361	-	(31,361)
Total, Adjustments	31,054	-	-	-
Total, BioWatch	111,606	89,513	173,505	83,992

PPA Mission Statement

The BioWatch Program promotes the DHS mission of detection of biological attacks by managing an early warning system to rapidly detect dangerous pathogens in the air. This program deploys detection devices in over thirty major metropolitan areas throughout the nation. The BioWatch Program provides public health experts with a warning of a biological agent release before exposed individuals become clinically symptomatic (“ill”). This “detect-to-treat” approach provides public health officials an opportunity to respond aggressively to eliminate or substantially mitigate the potentially catastrophic impact on the population of a biological agent release.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	247	811	564

The FY 2011 request includes an increase of \$564,060 for Public Health Service Officers to assist with mission goals and increased requirements involved with the public health arena.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	99	137	219	82

The FY 2011 request includes an increase of \$81,603 for travel associated with current deployment of

autonomous detectors in all BioWatch jurisdictions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	25,888	12,488	44,171	31,683

The FY 2011 request includes an increase of \$31,682,842 in other services associated with exercises (practices and lessons learned), increases for systems analysis for autonomous detection, and an increase for test and evaluation, production analysis, and pre-deployment planning. The increase will also cover the needs for further Guidance Documents and Concept of Operations (CONOPS) development, especially for indoor facilities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	30,565	26,641	23,436	(3,205)

The FY 2011 request includes a decrease of \$3,204,440 for Operational Test and Evaluation (OT&E) of autonomous detectors and for consequence management activities related to autonomous detection.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	-	-	12,868	12,868

The FY 2011 request includes an increase of \$12,868,306 for reagents and other supplies related to autonomous detection.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	-	23,000	59,000	36,000

The FY 2011 request includes an increase of \$36,000,000 for the increase associated with procurement, deployment, spares, engineering changes involved with autonomous detectors.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
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41.0 Grants/Subsidies/Contributions

24,000

27,000

33,000

6,000

The FY 2011 request includes an increase of \$6,000,000 for the increase associated with funding to jurisdictions through cooperative agreements for deployment and jurisdictional preparation for OT&E of autonomous detectors.

Department of Homeland Security
Office of Health Affairs
National Biosurveillance Integration Center
Funding Schedule
(Dollars in Thousands)

PPA: National Biosurveillance Integration Center	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	239	156	(83)
21.0 Travel	78	96	60	(36)
25.1 Advisory and assistance services	8,975	10,737	6,730	(4,007)
25.2 Other services	-	1,850	-	(1,850)
25.3 Purchases from Gov't accts.	67	78	54	(24)
Total, Object Class	9,120	13,000	7,000	(6,000)
Unobligated Balance, start of year	-	(1,121)	-	1,121
Unobligated Balance, end of year	(1,121)	1,121	-	(1,121)
Total, Adjustments	(1,121)	-	-	-
Total, National Biosurveillance Integration Center	7,999	13,000	7,000	(6,000)

PPA Mission Statement

The National Biosurveillance Integration Center (NBIC) provides early detection, characterization, and situational awareness of biological events of potential national significance. NBIC operates by acquiring, integrating, analyzing, and disseminating biosurveillance information from human, animal, plant and environmental data. NBIC collaborates with federal and state partners to collect, analyze, and share human, animal, plant, food, and environmental biosurveillance information from a myriad of monitoring systems. NBIC provides a Biosurveillance Common Operating Picture (BCOP) to senior decision-makers and partner agencies. The BCOP provides a consistent, integrated picture of biosurveillance situational awareness throughout the country.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	239	156	(83)

The special service pay is expected to decrease by \$83,036 associated with staffing requirements of the NBIC Watchdesk with PHS Officers from HHS and IPAs and detailees from other Federal agencies which support NBIS.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	78	96	60	(36)

In FY 2011 OHA expects travel support for NBIC to decrease \$35,394 as a result of Federal, PHS Officer, IPA, and detailee decreases.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	8,975	10,737	6,730	(4,007)

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	8,975	10,737	6,730	(4,007)

The FY 2011 request decreases by \$4,007,716 for advisory and assistance services associated with bringing aboard additional NBIS partner detailees for subject matter expertise.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	1,850	-	(1,850)

The FY 2011 request decreases by \$1,850,000 for other services associated with bringing aboard additional NBIS partner detailees for subject matter expertise.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	67	78	54	(24)

The FY 2011 request decreases by \$24,077 for technical support services and external program outreach coordination with other Federal agencies.

Department of Homeland Security
Office of Health Affairs
Rapidly Deployable Chemical Detection System
Funding Schedule
(Dollars in Thousands)

PPA: Rapidly Deployable Chemical Detection System	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	85	95	10
21.0 Travel	43	82	89	7
25.1 Advisory and assistance services	55	119	232	113
25.3 Purchases from Gov't accts.	1,688	2,314	1,984	(330)
Total, Object Class	1,786	2,600	2,400	(200)
Unobligated Balance, start of year	-	815	-	(815)
Unobligated Balance, end of year	815	(815)	-	815
Total, Adjustments	815	-	-	-
Total, Rapidly Deployable Chemical Detection System	2,601	2,600	2,400	(200)

PPA Mission Statement

The Rapidly Deployable Chemical Detection System is a mobile set of chemical point detection sensors that can be deployed across the nation and set up in hours prior to an event and is intended for use at large, high profile gatherings such as National Special Security Events (NSSE) or DHS Special Event Assessment Rating (SEAR) Level events. This system of systems can identify a variety of threat chemicals and can decrease the initial period of uncertainty that could occur following chemical incidents. Technology and operations already used for RDCDS will become the nexus for creating an overarching chemical defense and chemical detection architecture.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	85	95	10

The FY 2011 request includes an increase of \$10,006 for special service pay of IPAs, detailees, and PHS Officers.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	43	82	89	7

The FY2011 request of includes an increase of \$6,702 for travel associated with field testing to evaluate the effectiveness and efficiency of the RDCDS system.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	55	119	232	113

The FY2011 request of includes an increase of \$113,174 for advisory and assistance services associated with field testing to evaluate the effectiveness and efficiency of the RDCDS system.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	1,688	2,314	1,984	(330)

The FY2011 request includes a decrease of \$330,475 which will fund the purchase of goods and services from government accounts, which will cover additional funding provided to government agencies, such as EPA and the national labs with which RDCDS partners, to augment current aerial chemical surveillance with chlorine gas detection capabilities.

I. Changes in Full Time Equivalent

Department of Homeland Security Office of Health Affairs Changes in Full Time Equivalent

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	76	80	84
INCREASES	-	-	-
Annualization of Prior Year Funding	-	4	-
DHS Balanced Workforce Strategy	-	-	11
Subtotal, Increases	-	4	11
DECREASES	-	-	-
Direct Change	(5)	-	-
Decreases	(5)	-	-
Subtotal, Decreases	(5)	-	-
Year End Actual / Estimated FTEs:	71	84	95
Net Change from prior year base to Budget Year Estimate:	(5)	4	11

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
Office of Health Affairs**

**FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Salaries and Expenses	8,091	7,235	11,126	3,891
Total Working Capital Fund	8,091	7,235	11,126	3,891

Department of Homeland Security

Office of Health Affairs



Fiscal Year 2011
Strategic Context
Congressional Justification Submission

FY 2011 CONGRESSIONAL JUSTIFICATION STRATEGIC CONTEXT

OFFICE OF HEALTH AFFAIRS (OHA)

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I. Appropriation Overview

A. Mission Statement for Office of Health Affairs:

The Office of Health Affairs (OHA) serves as the Department of Homeland Security's principal authority for all medical and health matters. OHA provides health, medical, and scientific expertise to support the DHS mission of preparing for, responding to, and recovering from all threats.

OHA serves as the principal advisor to the Secretary and the Federal Emergency Management Agency (FEMA) Administrator on medical and public health issues. OHA leads the Department's workforce health protection and medical oversight activities, leads and coordinates the Department's biological and chemical defense activities, and provides medical and scientific expertise to support DHS' preparedness and response efforts.

OHA is divided into four offices:

Office of the Assistant Secretary: The Office of the Assistant Secretary (OAS) is headed by the Chief of Staff. The Office of the Chief of Staff provides direct support to the Assistant Secretary, and provides policy, external affairs, and executive secretariat services to all entities within OHA. The Management Operations Division, which is lead by the Director of Operations, supports the Chief of Staff and oversees the Chief Financial Officer, the Chief Administrative Officer, and the Chief Human Capital Officer.

Also within the Office of the Assistant Secretary (OAS) is the Office of International Affairs and Global Health Security (OIAGHS). OIAGHS oversees the Department's global health security initiatives, including the international aspects of pandemic influenza planning and international lessons learned from public health crises. OIAGHS maintains high-level liaison with senior foreign partners, international private sector representatives, technical and professional associations, and other Federal agencies to facilitate sustainable solutions for global health security issues that may have national implications for homeland security.

Office of WMD-Biodefense: This office is headed by the Deputy Assistant Secretary for WMD-Biodefense and oversees the Department's biodefense, biosurveillance, and chemical detection activities. WMD-Biodefense activities include BioWatch, the Rapidly Deployable Chemical Detection System, the National Biosurveillance Integration Center, and food, agricultural, and veterinary defense.

Office of Medical Readiness: This office is led by an Associate Chief Medical Officer and provides medical and public health expertise to Federal planning, medical first responder coordination, incident coordination, health and medical preparedness grants coordination, and engages with State and local agencies, non-profit organizations and the private sector.

Office of Component Services: This office is headed by an Associate Chief Medical Officer and is responsible for establishing policy, standards, requirements and metrics for the Department's health and safety programs, and provides protective and operational medical oversight, credentialing, and medical quality management across DHS.

B. Major Programs and Key Strategic Goals

The Office of Health Affairs activities and programs fall under one FYHSP program: Medical and Biodefense Programs. OHA plays a vital role in ensuring that relevant human, plant, animal and environmental health information is consolidated, analyzed and shared with interagency partners, and that the Nation's biodefense activities are closely coordinated. OHA is responsible for the biological monitoring and early detection systems that are deployed in the Nation's major cities and for creating and managing the National Biosurveillance Integration System. Additionally, OHA provides real-time, incident-specific management guidance for the medical consequences of disasters, works with partner agencies to ensure medical readiness for catastrophic incidents, and supports the DHS mission through department-wide standards and best practices for the occupational health and safety of its employees.

BioWatch - The BioWatch program provides early detection capabilities to detect pathogen-specific nucleic acid in the air. BioWatch currently operates in over 30 cities in close partnership with state and local public health agencies, the Environmental Protection Agency, the Department of Defense, the Department of Health and Human Services, and the Federal Bureau of Investigation. Current operations include: collecting and analyzing filters, supporting local partners through exercising BioWatch notification and response protocols, and working collaboratively with local partners on Biodefense response planning.

To reduce detection time, BioWatch is working to incorporate next-generation autonomous biodetection systems (called Generation-3) through a comprehensive test and evaluation and acquisition process. Once deployed, the Generation-3 systems will reduce the time to detect an incident from 10 - 34 hours down to 4-6 hours, providing earlier warning and allowing more time to mitigate the consequences of a biological incident by initiating appropriate medical countermeasures. In FY10, OHA will complete the prototype unit field testing and data analysis for candidate autonomous detection technology platforms in preparation for system procurement, and will begin operational testing on production units in FY 2011. Testing and evaluation efforts will ensure that a viable next-generation autonomous detection capability is available. This effort supports the Department in preventing terrorism and enhancing security.

Rapidly Deployable Chemical Detection System – The Rapidly Deployable Chemical Detection System (RDCDS) is part of a larger effort to provide leadership and direction to a comprehensive chemical defense program. In FY 2010, OHA efforts will build upon prior chemical defense activities, including RDCDS and support to National Special Security Events (NSSEs). The program will develop standards for the purchase and deployment of chemical detection systems utilizing technical and operational specifications, and will continue to provide health and medical expertise related to chemical preparedness, response, and resilience, and will begin building a Chemical Defense Architecture.

Broad objectives for FY 2011 include enhancing community outreach and education for chemical event preparedness; establish training for first responders, first receivers and public health personnel on identifying toxic syndromes due to a chemical release; and continued deployment of RDCDS at NSSEs and other high-risk events. The long-term goal of RDCDS is to ensure chemical detection systems are in place throughout the Nation to protect the population from chemical events. Through its efforts to coordinate with State and local partners, RDCDS will support the Department in preventing terrorism and enhancing security.

National Biosurveillance Integration Center – The National Biosurveillance Integration Center (NBIC) provides a homeland security-relevant biosurveillance common operating picture (BCOP) to senior leaders and partner agencies regarding natural disease outbreaks, accidental or intentional uses of biological agents, and emergent biohazards. NBIC supports planning, preparedness, and response efforts at the State and local level. NBIC plans to significantly evolve and improve the visual analytic and decision support capabilities of the Biosurveillance Common Operating Picture (BCOP) in FY 2010 by providing access to in-depth scientific data, situational awareness, digital and analog depictions, and modeling and simulation results into a User Defined Operational Picture (UDOP). This UDOP will provide a full, comprehensive electronic picture with assessments of current biological events and trends and their potential impacts on homeland security.

Efforts in FY11 will focus on engaging State and local partners to participate in NBIC. Incorporating critical partners into NBIC will further protect the Nation from terrorism and help in managing risks to critical infrastructure.

Planning and Coordination – Planning and coordination includes programs under the OHA Office of Medical Readiness and Food, Agriculture, and Veterinary Defense.

The Office of Medical Readiness (OMR) develops policies, plans, and programs to enhance medical preparedness and response aspects of all-hazards planning, exercises, and training; oversees weapons of mass destruction incident management support; promotes the integration of state and local medical response capabilities; aligns DHS emergency preparedness grants with medical preparedness; and leads the DHS role in addressing medical first responder requirements to prepare for and respond to catastrophic incidents, while serving as the principal DHS representative for the medical first responder community.

The OHA Food, Agricultural and Veterinary Defense (FAVD) division provides oversight and management of DHS veterinary, food and agriculture security activities. FAVD provides expertise, technical support, and leadership to effectively coordinate DHS efforts in the event of a catastrophic food or agricultural incident, and works to enhance national preparedness and response capabilities in advance of an event. FAVD works with intergovernmental partners to enhance all-hazards emergency response in the food, agricultural, and veterinary arena.

Salaries and Expenses – Salaries and expenses includes programs under the OHA Office of Component Services (OCS) and the Office of International Affairs and Global Health Security (OIAGHS).

OCS provides medical guidance, oversight, support and standards for all DHS components. OCS efforts include development of strategy, policy, requirements and metrics for the medical aspects of a Department-wide occupational health and safety program.

OCS is working to develop standardized medical protocols for use by DHS medical personnel, and is implementing a Department-wide employee and organizational resilience program. OCS also aims to develop a credentialing program throughout DHS to ensure adequate credentialing of medical personnel and set minimum standards for medical providers within the Department. Furthermore, OCS plans to implement a medical quality management program to set standards and metrics for measuring quality of care, provide insight into training and certification needs, and reduce the liability risk of the Department.

The Office of International Affairs and Global Health Security enhances OHA executive decision-support to DHS leadership by coordinating international engagement and ensuring that health related global lessons learned and best practices are applied domestically.

C. Resources Requested and Performance Impact

The Office of Health Affairs requests 104 FTP/95 FTE, and \$212.734 million in FY11.

Current Services:

BioWatch – The BioWatch program provides the capability to detect execution of operations by terrorists and other malicious actors, and is aligned to the OHA responsibility to lead the Department’s biodefense activities. An effective and timely detection capability is critical to achieving this goal. The FY 2011 budget request will maintain Generation-1 and Generation-2 baseline capabilities in approximately 30 jurisdictions throughout the Nation, providing early detection of biological airborne agents. OHA will also initiate a field test program for Generation-3 autonomous detectors.

Rapidly Deployable Chemical Detection System (RDCDS) – RDCDS provides the capability to detect execution of operations by terrorists and other malicious actors. In FY10 OHA will develop standards for the purchase and deployment by states and locals of chemical detection systems utilizing technical and operational specifications. The FY11 budget request supports ongoing program operation and maintenance, deployment to NSSE and high risk events, and the refinement of a broad chemical defense architecture.

National Biosurveillance Integration Center (NBIC) – In FY10, NBIC will continue its analysis and collection of biosurveillance data. OHA will reach out to State, local, tribal, territorial, private sector, and international partners to encourage participation in NBIC. The FY11 request supports ongoing program operation and maintenance, integrates the Biosurveillance Common Operating Picture (BCOP) with information technology architecture, and provides access to additional data resources across the biological and surveillance communities.

Planning and Coordination – Planning and coordination programs provide mission support.

In FY 2010, OMR will continue to support DHS crisis action planning efforts that have health related impacts, provide medical expertise to incident operations, and enhance national medical and public health preparedness and response capabilities. OMR's objectives for FY 2011 are a continuation of its FY 2009 and 2010 efforts and include providing health and medical readiness expertise to the interagency planning and policy development process; providing support to DHS training, exercising and operations activities; and initiation of training activities to support the integration of public health and the healthcare community into the national network of state and local fusion centers.

FAVD's plan for FY 2010 includes contributing to national capability development activities related to food and agricultural preparedness and response; initial development of a Food Sector Benchmarking Toolkit and deployment of the Food and Agriculture Readiness Measurement Toolkit (FARM) to States; and enhancing food, agricultural and veterinary content on the DHS Lessons Learned Information Sharing System. The FY 2011 budget request will allow OHA to maintain oversight and management of DHS veterinary, food and agriculture security activities, including completing a Defense of Food and Agriculture "Dashboard" and Collaboration Tool, revising the model Food Emergency Response Plan Template (in association with the National Association of State Departments of Agriculture, USDA and HHS).

Salaries and Expenses – OHA will continue its component services activities with the FY 2011 budget request. Goals for FY 2011 include building upon the suite of DHS-wide medical protocols in FY 2011 by developing standardized medical care protocols for general EMS response, and implementation of a DHS-wide employee and organizational resilience program. OCS will develop a credentialing program throughout DHS to ensure adequate credentialing of medical personnel and set minimum standards for medical providers within the Department, and implement a medical quality management program to set standards and metrics for measuring quality of care, provide insight into training and certification needs, and reduce the liability risk of the Department.

Program increases:

BioWatch – OHA requests an additional \$83,992 for BioWatch over the current services level of \$89,513. The FY11 request will support prototype unit field testing and data analysis for candidate autonomous detection technology (Generation-3) in preparation for system procurement, and will begin operational testing on production units in FY 2011. Funds will also support the initial production procurement of up to 476 Generation-3 autonomous detectors for deployment into cities and operational testing and evaluation. The Generation-3 system will decrease time to detect, allowing localities to rapidly conduct response and mitigation efforts while also providing greater cost effectiveness. The FY11 request will support the full operational capability of the BioWatch Quality Assurance Program initiated in FY10. This quality assurance program will involve all program aspects from the laboratory operations, reagent production, exercises, and field collection operations. In addition the FY11 request includes funding for the enhancements to the existing Generation-1 /Generation-2 collector networks to increase the fraction of the population covered in these BioWatch jurisdictions.

D. Performance Highlights, Resources, and Alignment to Strategic Goals

For each mission-oriented program, the program performance goal, total dollars and FTE, and Government Performance and Results Act (GPRA) performance plan measure/s are shown below.

Program: Medical and Biodefense Programs						
Performance Goal: Bolster the Nation's biodefense readiness by enhancing the national architecture to rapidly detect, characterize, and respond effectively to a large-scale biological event.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	None	12,980	116,500	157,191	139,250	212,734
FTE	None	22	49	80	84	95

Performance Plan Measures

Measure: Number of agencies who have agreed to provide information to the National Biosurveillance Integration System (NBIC).						
Description of Measure: The goal of the National Biosurveillance Integration Center (NBIC) is to increase the number of Federal, State, local agencies and private entities that share biological information. This measure demonstrates how many Federal agencies are actively sharing biological information by providing data feeds into the National Biosurveillance Integration System (NBIS). Using the input from these Federal data feeds as well as data feeds from state and local entities, NBIC is able to make potential or emerging biological threat information available to its member agencies to improve response to biological events. NBIC makes this information available to member agencies regardless of whether or not they provide input into the system. Agency participation and information exchange involves adequate consideration of major issues and documentation of the exchange details pertaining to privacy rights, system compatibility issues, and information security.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	Baseline	5	10	10	12	12
Actual:	0	7	7	7	-	-

Measure: Number of biological monitoring units employed in high-risk indoor facilities within BioWatch jurisdictions.						
Description of Measure: This performance measure captures the number of monitoring units, designed to detect the release of biological agents, within the facilities or complexes of BioWatch jurisdictions. A BioWatch jurisdiction includes the largest metropolitan areas in the U.S. The higher number of units employed, the larger number of people protected from a potential biological attack.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	66	116	FOUO	FOUO
Actual:	None	None	33	FOUO	-	-

Measure: Percent of the population in BioWatch jurisdictions covered by outdoor biological monitoring units.						
Description of Measure: This measure calculates the percent of the population in the BioWatch jurisdictions that is covered by outdoor biological monitoring units. Population covered by these units can be warned and identified for treatment prior to becoming symptomatic as a consequence of an outdoor release of biological agent. A BioWatch jurisdiction includes the largest						

metropolitan areas in the U.S. This measure is an estimate based on performance (i.e., probability of detection) and range (i.e., protection area) of the monitoring units. This measure includes the population within BioWatch jurisdictions and estimates the coverage provided by biological monitoring units.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	FOUO	FOUO	FOUO	FOUO
Actual:	None	None	FOUO	FOUO	-	-

Measure: Estimated time between an indoor monitoring unit exposure to a biological agent and the declaration of a confirmed positive sample result.

Description of Measure: This performance measure calculates the time between an indoor monitoring unit exposure to a biological agent and the declaration of a confirmed positive sample result by the local laboratory official. There are a number of factors that influence the time gauged by this measure such as the number of units and the type of technology. For instance, the higher the number of autonomous indoor biological monitoring units employed, the shorter the time will be between the release of a biological agent and the declaration of a confirmed positive sample result. An autonomous indoor biological monitoring unit is a type of sensor that collects airborne particles and performs sample analysis. By performing the sample analysis at the monitoring site, automated detection systems significantly reduce the time between a biological release and detecting confirming that an event has occurred.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	<17 hours	< 33 hours	< 33 hours	< 33 hours
Actual:	None	None	33 hours	<36 hours	-	-

Measure: Estimated time between an outdoor monitoring unit exposure to a biological agent and the declaration of a confirmed positive sample result.

Description of Measure: This performance measure calculates the time between an outdoor monitoring unit exposure to a biological agent and the declaration of a confirmed positive sample result by the local laboratory official. There are a number of factors that influence the time gauged by this measure such as the number of units and the type of technology. For instance, the higher the number of autonomous outdoor biological monitoring units employed, the shorter the time will be between the release of a biological agent and the declaration of a confirmed positive sample result. An autonomous outdoor biological monitoring unit is a type of sensor that collects airborne particles and performs sample analysis. By performing the sample analysis at the monitoring site, automated detection systems significantly reduce the time between a biological release and detecting confirming that an event has occurred.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	<36 hours	< 36 hours	< 36 hours	< 36 hours
Actual:	None	None	36 hours	<36 hours	-	-

E. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Digest of FY 2010 Budget Estimates by Activity and FYHSP Program (dollars in thousands)						
FYHSP Program	FY2009 Revised Enacted		FY2010 Enacted		FY2011 Request	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Medical & Biodefense	71	\$157,621	84	\$139,250	95	\$212,734
BioWatch	0	111,606	0	89,513	0	173,505
NBIC	0	8,000	0	13,000	0	7,000
RDCDS	0	2,600	0	2,600	0	2,400
Planning & Coordination	0	5,775	0	3,726	0	2,276
Salaries & Expenses	71	29,640	84	30,411	95	27,553
Total Budget Authority	71	\$157,621	84	\$139,250	95	\$212,734

**The FY09 column indicates revised enacted levels including supplemental appropriations such as Recovery Act funding. This differs from the other sections of the CJ and is intended to align with the resource levels contained in the Future Years Homeland Security Program (FYHSP) which captures total budget authority.*

Department of Homeland Security

Federal Emergency Management Agency



Fiscal Year 2011
Overview
Congressional Submission

ii: Homeland and Non-Homeland Allocation

Department of Homeland Security
Federal Emergency Management Agency
 Homeland and Non-Homeland Allocation by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	2009 EOY Actuals						2010 Enacted						2011 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
State and Local Program	221	3,353,251	55	799,090	276	4,152,341	534	3,608,200	82	557,000	616	4,165,200	557	3,620,590	59	380,000	616	4,000,590
State and Regional Preparedness Program	---	---	---	---	---	---	---	1,792,000	---	557,000	---	2,349,000	---	\$1,660,000	---	380,000	---	2,040,000
Metropolitan Statistical Area (MSA) Preparedness Program	---	---	---	---	---	---	---	1,549,000	---	---	---	1,549,000	---	\$1,750,000	---	---	---	1,750,000
Training, Measurement and Exercise Program	---	---	---	---	---	---	---	267,200	---	---	---	267,200	---	\$210,590	---	---	---	210,590
Management & Administration	167	2,685,700	40	484,657	207	3,170,357	534	---	82	---	616	---	557	\$0	59	---	616	---
Emergency Management Performance Grants	---	---	15	314,433	15	314,433	---	---	---	---	---	---	---	---	---	---	---	---
Assistance to Firefighter Grants (AFG)	54	667,551	---	---	54	667,551	---	---	---	---	---	---	---	---	---	---	---	---
United States Fire Administration	---	---	115	\$44,777	115	\$44,777	---	---	115	\$45,588	115	\$45,588	---	---	115	\$45,930	115	\$45,930
Disaster Relief	---	---	7,067	\$11,375,469	7,067	\$11,375,469	---	---	3,600	1,600,000	3,600	\$1,600,000	---	---	3,383	\$1,950,000	3,383	\$1,950,000
Direct Assistance Disaster Loan Program Account	---	---	---	\$295	0	\$295	---	---	---	295	0	\$295	---	---	---	\$295	0	\$295
Flood Map Modernization Fund	---	---	40	\$247,734	40	\$247,734	---	---	56	\$220,000	56	\$220,000	---	---	70	194,000	70	\$194,000
National Pre-Disaster Mitigation Fund	---	---	11	\$62,795	11	\$62,795	---	---	15	\$100,000	15	\$100,000	---	---	15	\$100,000	15	\$100,000
Emergency Food and Shelter	---	---	---	\$200,000	0	\$200,000	---	---	---	\$200,000	0	\$200,000	---	---	---	\$100,000	0	\$100,000
Management and Administration	449	193,945	2,368	867,436	2,817	1,061,381	561	279,000	1,509	518,650	2,070	797,650	521	217,000	2,754	685,996	3,275	902,996
Operations Activities	425	155,534	2,368	867,436	2,793	1,022,970	534	239,505	1,509	518,650	2,043	758,155	494	181,951	2,754	685,996	3,248	867,947
National Capitol Region	16	6,315	---	---	16	6,315	19	6,995	---	---	19	6,995	19	7,049	---	---	19	7,049
Urban Search and Rescue	8	32,096	---	---	8	32,096	8	32,500	---	---	8	32,500	8	28,000	---	---	8	28,000
Total Direct Appropriations and Budget Estimates	670	3,547,196	9,656	13,597,596	10,326	17,144,792	1,094	3,887,200	5,378	3,241,533	6,472	7,128,733	1,078	3,837,590	6,396	3,456,221	7,474	7,293,811
<i>Fee Accounts</i>																		
National Flood Insurance Fund	---	---	265	4,950,547	265	4,950,547	---	---	300	3,231,000	300	3,231,000	---	---	300	3,234,546	300	3,234,546
Flood Mitigation and Flood Insurance Options	---	---	264	39,719	264	39,719	---	---	271	38,680	271	38,680	---	---	92	22,145	92	22,145
Flood Plain Mgmt and Flood Mapping	---	---	---	105,706	---	105,706	---	---	---	107,320	---	107,320	---	---	179	146,855	179	146,855
National Flood Insurance Fund Offsetting Collections - Mandatory	---	---	---	4,695,472	---	4,695,472	---	---	---	2,965,000	---	2,965,000	---	---	---	3,015,546	---	3,015,546
Mandatory - Severe Repetitive Loss Mitigation	---	---	1	69,558	1	69,558	---	---	18	70,000	18	70,000	---	---	18	---	18	---
Mandatory - Repetitive Flood Claims	---	---	---	8,588	---	8,588	---	---	---	10,000	---	10,000	---	---	---	10,000	---	10,000
Mandatory - Flood Mitigation Activities	---	---	---	31,504	---	---	---	---	11	40,000	11	40,000	---	---	11	40,000	11	40,000
Radiological Emergency Preparedness Program	---	---	170	\$2,539	170	2,539	---	---	170	(\$3,326)	170	(\$3,326)	---	---	170	(\$361)	170	(\$361)
Offsetting Collections	---	---	---	(29,674)	---	(29,674)	---	---	---	(33,000)	---	(33,000)	---	---	---	(33,361)	---	(33,361)

iii. Status of Congressionally Requested Studies, Reports, and Evaluation

**Department of Homeland Security
Federal Emergency Management Agency**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009	2/4/2009	PKEMRA	Annual report on Catastrophic Resources	Report to be provided as part of the National Preparedness Report (NPR). NPR is now undergoing leadership review at FEMA -- ETA is 1st Quarter 2010
2009	4/6/2009	P.L. 110-329	Report on training and preparedness capabilities in U.S. Territories	Report to be provided as part of the National Preparedness Report (NPR). NPR is now undergoing leadership review at FEMA -- ETA is 1st Quarter 2010
2009	4/6/2009	P.L. 110-329	Report on Disaster Preparedness and capabilities of Emergency Medical Services	Report to be provided as part of the National Preparedness Report (NPR). NPR is now undergoing leadership review at FEMA -- ETA is 1st Quarter 2010
2009	4/9/2009	P.L. 110-329	Comprehensive 5-year Capital Improvement Plan for Mt Weather per House Report.	in clearance
2009	10/4/2009	P.L. 110-329	Report on federal preparedness 2nd Annual Update	Report to be provided as part of the National Preparedness Report (NPR). NPR is now undergoing leadership review at FEMA -- ETA is 1st Quarter 2010
2009	10/15/2009	P.L. 110-329	DRF Quarterly Report on obligations against the expenditure plan and justifications for any changes in spending	in clearance
2010	12/11/2009	H.Rpt.111-298	Report on progress in working with transit agencies to expand grant funds for FY 2006, 2007, and 2008	in clearance

2010	12/15/2009	PKEMRA	Recruitment Bonuses Report	in clearance
			Report on how the agency currently reviews policies and guidance and the process used to modify policies and guidance. The report to include how the agency intends to amend its process for modifying grant guidance and policies to better obtain and incorporate public and stakeholder input. And to include detailed description of the impact of other participants in the policy process, such as DHS leadership, the Office of Management and Budget, and other White House offices. This report should build on the Stakeholder Engagement Plan provided in response to the requirement in the statement accompanying the Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009 (P.L. 110-329), which provided an explanation of the adjudication process on public comments for grant programs	
2010	12/28/2009	H.Rpt.111-298		in clearance
			Report regarding the plan for acquisition of alternative temporary housing units and procedures for expanding repair of existing multi-family rental housing units, semi-permanent, or permanent housing options, as authorized under section 689i(a) of the Post-Katrina Emergency Management Reform Act of 2006	upcoming
2010	12/28/2009	H.Rpt.111-298		upcoming
2010	12/28/2009	P.L.111-83	Emergency Management Performance Grants Spend Plan	in clearance
2010	12/28/2009	H.Rpt.111-298	State and Local Spend Plan for administrative funds	in clearance
			DRF Spend Plan on use of \$105.6M for transfer to M & A (\$105.6 million for "management and Administration" to remain unavailable until submission)	with Program Office
2010	12/28/2009	P.L.111-83		
2010	12/28/2009	P.L.111-83	Spend Plan on DRS detailing the use of FY 2010 funds for Disaster Readiness and Support.	in clearance
2010	12/28/2009	P.L.111-83	AFG Spend Plan	in clearance
2010	1/15/2010	P.L.111-83	Monthly DRF Report	upcoming
2010	1/15/2010	PKEMRA	1st Quarter Staff Vacancy Report	upcoming
2010	1/15/2010	PKEMRA	1st Quarter Title III/691(d) Acquisitions Report	upcoming
2010	1/15/2010	PKEMRA	1st Quarter NCR Evacuations Report	upcoming
			1st Quarterly DRF Reports- detailing obligations against spend plan	upcoming
2010	1/15/2010	P.L.111-83		upcoming
			Report on how economic factors contribute to cost-share decisions and how FEMA plans to deal with cost-share adjustments during the recession	upcoming
2010	2/1/2010	H.Rpt.111-157		upcoming

2010	2/1/2010	H.Rpt.111-157	Report on whether cost efficiencies can be achieved by collocating JFO offices for disasters, especially for disasters that affect multiple states in the same region	upcoming
2010	2/1/2010	H.Rpt.111-298	Report on status on progress made towards the 5-year Risk Mapping, Assessment, and Planning Strategy – To be submitted with the FY2011 budget request	upcoming
2010	2/1/2010	H.R.2982	FEMA shall report monthly on denials for housing in DR-1841-KY, and elaborate on the reasons for such denials	upcoming
2010	2/4/2010	PKEMRA	National Preparedness Report Annual Update	upcoming
2010	2/5/2010	S.Rpt.111-31	Report on update to US Fire Service Needs Assessment	upcoming
2010	2/15/2010	P.L.111-83	Monthly DRF Report	upcoming
2010	3/1/2010	H.R.2982	FEMA shall report monthly on denials for housing in DR-1841-KY, and elaborate on the reasons for such denials	upcoming
2010	3/15/2010	P.L.111-83	Monthly DRF Report	upcoming
2010	4/1/2010	H.R.2982	FEMA shall report monthly on denials for housing in DR-1841-KY, and elaborate on the reasons for such denials	upcoming
2010	4/1/2010	H.Rpt.111-298	Spend Plan on \$150,000 to support staff travel to foreign countries: describing funds spent by that date, as well as how the remainder of funds will be spent during the fiscal year. The report should clearly describe how FEMA will apply and share the specific best practices garnered by the time of the report and what specifically will be sought on future trips.	upcoming
2010	4/15/2010	H.Rept 111-298 and S.Rept. 111-31	Provide Nationwide Plan Review Update, to include status of catastrophic planning and mass evacuation planning in all 50 states and 75 largest urban areas - the update should include the same certifications and status of plans for evacuations included in the Nationwide Plan Review dated June 16, 2006	upcoming
2010	4/15/2010	P.L.111-83	Monthly DRF Report	upcoming
2010	4/15/2010	PKEMRA	2nd Quarter Staff Vacancy Report	upcoming
2010	4/15/2010	PKEMRA	2nd Quarter Title III/691(d) Acquisitions Report	upcoming
2010	4/15/2010	PKEMRA	2nd Quarter NCR Evacuations Report	upcoming
2010	4/15/2010	P.L.111-83	2nd Quarterly DRF Reports- detailing obligations against spend plan	upcoming

2010	5/1/2010	H.Rpt.111-157	FEMA to work with OHA to report on disaster preparedness capabilities of EMS providers to include gap analysis	upcoming
2010	5/1/2010	H.Rpt.111-298	Report on detailed information on all MWEOC capital improvement funding. To a historical accounting of funding for MWEOC beginning with fiscal year 1997 for each fiscal year. Further included shall be a review by the DHS Office of General Counsel of all authorities used to execute that funding, including the authority to administer the MWEOC Working Capital Fund. The report should clearly list any amounts transferred to the fund from DHS entities as well as other federal sources in each fiscal year	upcoming
2010	5/1/2010	H.Rpt.111-298	Report on the possible uses of NVTC, including consideration of utilizing NVTC to enhance its translations services	upcoming
2010	5/1/2010	H.Rpt.111-298	National Digital Elevation Acquisition and Utilization plan for the purposes of supporting flood map updates. FEMA shall collaborate with the United States Geological Survey, the National Oceanic and Atmospheric Administration, the National Aeronautics and Space Administration, and States that have experience in acquiring and incorporating high resolution elevation data in the flood plain map updates	upcoming
2010	5/1/2010	H.Rpt.111-298	Provide to the Committees an update to the U.S. Fire Service Needs Assessment. The update shall be consistent with the last assessment completed in February 2006 in its scope and methodology	upcoming
2010	5/1/2010	H.R.2982	FEMA shall report monthly on denials for housing in DR-1841-KY, and elaborate on the reasons for such denials	upcoming
2010	5/15/2010	P.L.111-83	Monthly DRF Report	upcoming
2010	6/1/2010	PKEMRA	REPORT on National Disaster Housing Strategy Update	upcoming
2010	6/1/2010	PKEMRA	REPORT on National Disaster Recovery Framework	upcoming
2010	6/1/2010	H.R.2982	FEMA shall report monthly on denials for housing in DR-1841-KY, and elaborate on the reasons for such denials	upcoming
2010	6/15/2010	P.L.111-83	Monthly DRF Report	upcoming
2010	7/1/2010	H.R.2982	FEMA shall report monthly on denials for housing in DR-1841-KY, and elaborate on the reasons for such denials	upcoming
2010	7/15/2010	P.L.111-83	Monthly DRF Report	upcoming
2010	7/15/2010	PKEMRA	3rd Quarter Staff Vacancy Report	upcoming
2010	7/15/2010	PKEMRA	3rd Quarter Title III/691(d) Acquisitions Report	upcoming
2010	7/15/2010	PKEMRA	3rd Quarter NCR Evacuations Report	upcoming

2010	7/15/2010	P.L.111-83	3rd Quarterly DRF Reports- detailing obligations against spend plan	upcoming
2010	8/1/2010	H.R.2982	FEMA shall report monthly on denials for housing in DR-1841-KY, and elaborate on the reasons for such denials	upcoming
2010	8/15/2010	P.L.111-83	Monthly DRF Report	upcoming
2010	9/1/2010	H.R.2982	FEMA shall report monthly on denials for housing in DR-1841-KY, and elaborate on the reasons for such denials	upcoming
2010	9/15/2010	P.L.111-83	Monthly DRF Report	upcoming
2010	10/15/2010	PKEMRA	4th Quarter Staff Vacancy Report	upcoming
2010	10/15/2010	PKEMRA	4th Quarter Title III/691(d) Acquisitions Report	upcoming
2010	10/15/2010	PKEMRA	4th Quarter NCR Evacuations Report	upcoming
2010	10/15/2010	P.L.111-83	4th Quarterly DRF Reports- detailing obligations against spend plan	upcoming

**Department of Homeland Security
Federal Emergency Management Agency**

**Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)**

Budget Activity	Last Year of Authorization Fiscal Year	Authorized Level Amount	Appropriation in Last Year of Authorization Amount	FY 2011 Request Amount
State and Local Program				\$4,000,590
<i>Authorities:</i>				
Section 1014 of the USA PATRIOT ACT (42 U.S.C. 3714)				
Section 70107(a) through (h) Maritime Transportation Security Act (46, U.S.C.)				
Section 24102 of Amtrak Improvement Act (49, U.S.C)				
9/11 Commission Recommendations Act (P.L. 110-53)				
Section 33 of the Federal Fire Prevention and Control Act of 1974 (15 U.S.C. 2229)				
Homeland Security Act of 2002 (P.L. 107-296)				
State and Regional Preparedness Program				\$2,040,000
State Homeland Security Grant Program (6 U.S.C. 605)	2008	950,000	950,000	\$1,050,000
Emergency Management Performance Grants (6 U.S.C. 762)	2008	400,000	300,000	\$345,000
Interoperable Emergency Communication Grants (6 U.S.C. 579)	2008	Such sums	50,000	
Regional Catastrophic Preparedness Grants	N/A	N/A	N/A	\$35,000
Medical Surge Grants (6 U.S.C. 723)	N/A	N/A	N/A	
Assistance to Firefighter Grants	2005	900,000	715,000	\$610,000
National Security and Terrorism Prevention (Real ID) (Real ID - P.L. 109-13; U.S.C. 30301 note)	2005	Such sums	N/A	
Citizen Corps	N/A	N/A	N/A	

MSA Preparedness Program				\$1,750,000
Urban Area Security Initiative (6 U.S.C. 604)	2008	850,000	820,000	\$1,100,000
Port Security Grants (46 U.S.C. 70107)	2007	400,000	210,000	\$300,000
Rail/Mass Transit Grants (P.L. 110-53)	2007/2008			\$300,000
National Security and Terrorism Prevention (BZP) (Real ID - P.L. 109-13; U.S.C. 30301 note)	N/A	N/A	N/A	\$50,000
Training, Measurement and Exercise Program			299,300	\$210,590
National Domestic Preparedness Consortium	2008	189,000		\$114,000
Continuing and Emerging Training Grants				\$21,590
Center for Domestic Preparedness	2008	57,000		
Technical Assistance Program				\$33,000
Evaluation and National Assessment Program				
National Exercise Program	2007	N/A		\$42,000
Management and Administration				
Operations, Management & Administration				\$902,996
<i>Authorities:</i>				
National Flood Insurance Act of 1968, as amended (42 U.S.C. 4001 et seq.)	2004	N/A	<771,369	
Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5121 et seq.)	N/A	N/A	N/A	
Earthquake Hazards Reduction Act of 1977 (42 U.S.C. 7701 et seq.)	2005	21,000	N/A	
Defense Production Act of 1950 (U.S.C. App. 2061 et seq.)	2009	Such sums	N/A	

National Security Act of 1947, as amended (U.S.C. 404,405)	N/A	N/A	N/A	
Homeland Security Act of 2002 (6 U.S.C. 101 et seq.)	N/A	N/A	N/A	
Federal Fire Prevention and Control Act of 1974, as amended (15 U.S.C. 2201 et seq. and 6 U.S.C. 101 et seq.) (USFA)	2009	70,000	44,979	\$45,930
Disaster Relief				\$1,950,000
<i>Authorities:</i>				
Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5121 et seq.)	N/A	N/A	N/A	
Direct Assistance Disaster Loan Program Account				\$295
<i>Authorities:</i>				
Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5162.)	N/A	N/A	N/A	
Section 502 of the Congressional Budget Act of 1974 (2U.S.C. 661a)	N/A	N/A	N/A	
Flood Map Modernization Fund				\$194,400
<i>Authorities:</i>				
National Flood Insurance Act of 1968, as amended (42 U.S.C. 4001 et seq.)	2004	N/A	<771,369	
National Pre-Disaster Mitigation Fund				\$100,000
<i>Authorities:</i>				
Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5133.)	2010	N/A	100,000	
Emergency Food and Shelter				\$100,000
<i>Authorities:</i>				
Title III of the Stewart B. McKinney Homeless Assistance Act (42 U.S.C. 11331 et seq.)	1994	N/A	130,000	

Total Direct Authorization/Appropriation				\$7,294,211
Fee Accounts				\$3,234,185
National Flood Insurance Fund				\$3,234,546
Flood Mitigation and Flood Insurance Operations	2004	N/A	32,663	\$22,145
Flood Mapping and Floodplain Management	2004	N/A	77,809	\$146,855
Mandatory	2004	N/A	N/A	\$3,015,546
Severe Repetitive Loss Mitigation	2004	N/A	N/A	\$0
Repetitive Flood Claims	2004	<10,000	N/A	\$10,000
Flood Mitigation Activities	2004	<40,000	N/A	\$40,000
Authorities:				
National Flood Insurance Act of 1968, as amended (42 U.S.C. 4001 et seq.)	2004	N/A	<771,369	
Radiological Emergency Preparedness Program				-\$361
Authorities:				
Title III of the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 1999 (42 U.S.C. 5196e)	1999	N/A	N/A	

Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration



Fiscal Year 2011
Overview
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Operations, Management, and Administration

I. Appropriation Overview

A – Mission Statement for Operations, Management, and Administration

The FEMA Management and Administration (M&A) appropriation provides core mission funding for the development and maintenance of an integrated, nationwide capability to prepare for, mitigate against, respond to, and recover from the consequences of major disasters and emergencies regardless of cause, in partnership with other federal agencies, State, local, and Tribal governments, volunteer organizations, and the private sector. The account supports core operations for all FEMA organizations, providing resources for mission activities and administrative support. M&A resources are directed to both regional and headquarters operations.

B – Budget Activities:

Activities are organized according to the following PPA structure:

- Operating Activities
- National Capital Region Coordination
- Urban Search and Rescue

B.1 Operating Activities

Operating Activities includes the essential functions for all of FEMA's major mission organizations and directly supports FEMA's primary mission to reduce the loss of life and property and to protect the Nation from all hazards including natural disasters, acts of terrorism, and other man-made disasters. Operating Activities leads and supports the Nation through a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation.

In FY 2010 and FY 2010, the Agency will work to improve the outcomes of disasters through more effective and integrated Preparedness, Protection, Response, Recovery, and Mitigation activities. The Agency will focus on enhancing coordination between headquarters and regional offices in all aspects of disaster management, as well as continue to operationally re-empower regional offices, recognizing that FEMA's regional operations have the lead for supporting State and local emergency management activities. FEMA will also continue to emphasize the promotion and improvement of personal/citizen preparedness, with the focus on increasing individual resiliency; i.e., their ability to quickly recover from a disaster. Moreover, the Agency is placing greater emphasis on underserved populations, including children, the elderly, and the disabled, which often do not receive adequate focus and attention in disaster management efforts. Finally, with a significant number of employees nearing retirement age in the coming

years, FEMA will prioritize recruiting, retaining, and better developing the next generation of diverse emergency management professionals to lead the Agency into the future.

The Operating Activities also includes the Office of the Administrator and the Administrative Management Staff who: coordinate between Headquarters and Regional Offices all policy and strategic planning, managerial, resource, and administrative actions; maintain programs to address public information issues; and build partnerships with and among State, and local governments, non-governmental organizations, business, and industry. Operating Activities also provides the corporate infrastructure (IT, finance, HR, procurement, facilities) essential to FEMA's pursuit of an enhanced business approach to achieving results and providing support capabilities designed and scaled to enhance FEMA's mission success. FEMA will continue to integrate management and administration missions that transferred to FEMA in FY 2008.

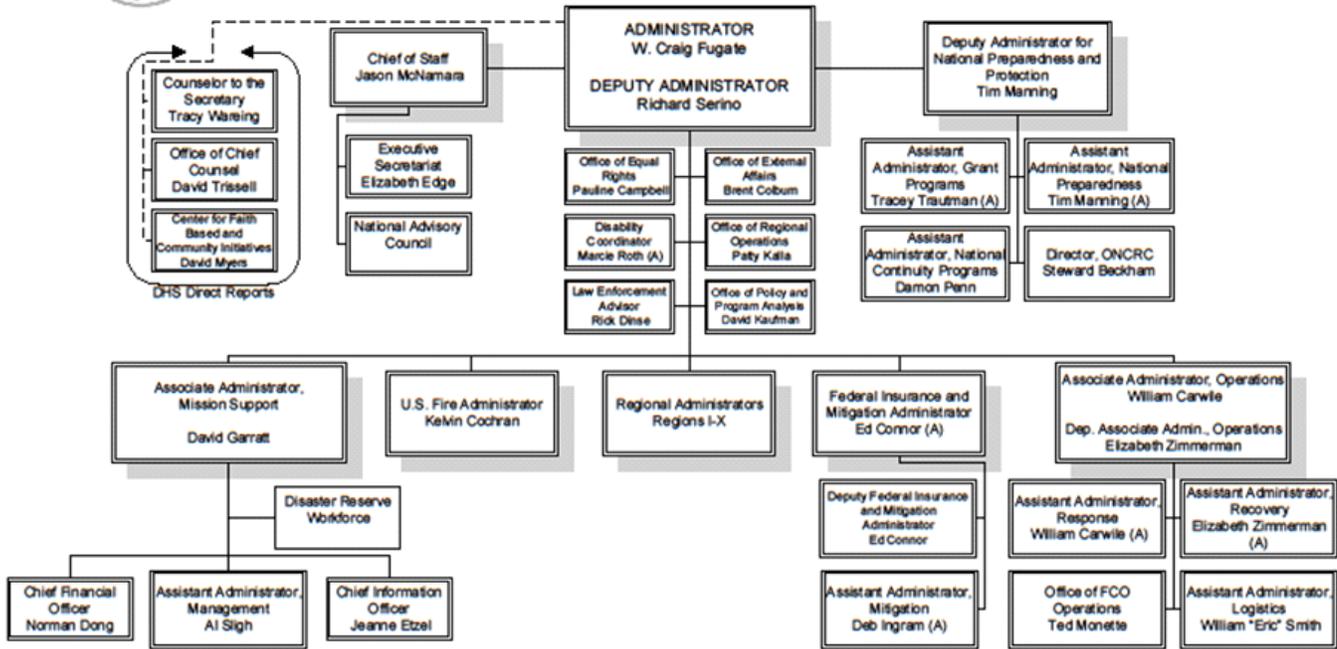
In December 2009, FEMA implemented a new organizational structure designed to help the Agency more effectively achieve its emergency management mandate. As shown in figure one, the new organizational structure reflects the following key components:

- Chief of Staff (for Office of the Administrator)
- National Preparedness and Protection
- Operations
- Federal Insurance and Mitigation
- U.S. Fire Administration
- Mission Support

One primary objective of the FEMA reorganization is for form to follow function. Under this new structure, the Agency will be able to strengthen key functions that had been previously fragmented across multiple organizational divisions. By establishing a more rational construct of Agency operations, FEMA will become a better partner in supporting the disaster management efforts of our citizens and first responders.



FEMA



Effective 12/3/2009

(A) denotes acting incumbent

Note: Mission Support has been further organized into the Office of Associate Administrator, the Office of the Chief Financial Officer, the Office of the Chief Information Officer, the Office of the Chief Human Capital Officer (which includes the Disaster Reserve Workforce Division), the Office of the Chief Procurement Officer, the Office of the Chief Security Officer, and the Office of the Chief Administrative Officer (which includes the Facilities and Support Services Division, the Records Management Division, and the Occupational Safety, Health, and Environment Division).

Operations:

- **Recovery Directorate (formerly Disaster Assistance Directorate)**

The Recovery Directorate ensures that individuals and communities affected by disasters of all sizes, including catastrophic and terrorist events, are able to return to normal with minimal

suffering and disruption of services. Program activities focus on improving efficiency and expediting delivery of disaster assistance to eligible individuals, to State, local, Tribal governments, and to eligible private nonprofit organizations. Key programs include, but are not limited to: The Individual and Households Program; the Public Assistance Program; Other Needs Assistance; the Crisis Counseling Assistance and Training Program; Disaster Unemployment Assistance; Disaster Legal Services; donations management; voluntary agency coordination; and management of the National Processing Service Centers. Recovery Directorate is FEMA's agent in the implementation of the National Disaster Housing Strategy, the National Disaster Framework, the National Catastrophic Infrastructure Recovery Plan, Emergency Support Function (ESF) #6 (Mass Care, Emergency Assistance, Housing, and Human Services), and Emergency Support Function (ESF) #14 (Long-Term Community Recovery). FEMA is engaging its stakeholders to develop a National Disaster Recovery Framework which will serve as a companion to the National Response Framework and will guide the Recovery Directorate's approach to managing recovery assistance in future years.

- **Response Directorate (formerly Disaster Operations Directorate)**

The Response Directorate provides the core federal disaster response capabilities necessary to save lives, minimize suffering, and protect property in communities throughout the Nation that have been overwhelmed by the impact of a major disaster or an emergency, regardless of cause. Response Directorate develops operational all-hazards disaster operations plans, coordinates Federal disaster operational, planning activities, executes disaster response programs, integrates Federal, State, Tribal, local government and non-government disaster response programs, and ensures disaster emergency communications capabilities. Core Federal disaster response capabilities are executed by the Response Directorate through three primary program areas: Field Operations, Operations Management and Disaster Emergency Communications. Disaster Operations is responsible for several activities such as sustaining situational awareness; managing a command, communication and coordination system comprised of national and regional command and coordination centers; and maintaining national and regional rapid support and disaster response teams. Response Directorate is also responsible for the Incident Management Assistance Teams (IMATS).

- **Logistics Directorate (formerly Logistics Management Directorate)**

Logistics Directorate is the major program office responsible for policy, guidance, standards, execution and governance for logistics support, services and operations. LD's focus is to institutionalize command and coordination of strategic logistics planning, operations and management while pushing operational control and execution down to the most effective level of execution. LD plans to move the agency beyond simply providing commodities (i.e. meals, water, and tarps) but toward a holistic management approach.

- **Office of Federal Coordinating Officer (FCO) Operations (formerly part of Office of Administrator)**

The mission of the Office of FCO Operations is to lead, train, equip, and manage FEMA's Federal Coordinating Officers to ensure their availability for rapid deployment in response to any disaster; to deliver training to develop and sustain FCO professional competencies; and to coordinate FCO assignments to meet the on-scene needs of FEMA and its emergency management partners.

Federal Insurance and Mitigation Directorate (formerly Mitigation Directorate)

The mission of the Mitigation Directorate is to protect lives and prevent property loss from natural hazard events. Activities are designed to promote sound risk management decisions by individuals, private and public sector entities, State, local, and Tribal governments, and Federal agencies. This is accomplished through three core competencies and one support activity: (1) Analyzing Risk through identification and assessment; (2) Reducing Risk through land use, building codes, and the Hazard Mitigation Grant Program; (3) Environmental Planning and Historic Preservation; (4) Regional and Disaster Support activity.

National Preparedness and Protection Programs - National Continuity Programs (NCP)

FEMA's NCP is the lead agent for preparing for and implementing Executive Branch continuity programs, including continuity of government, continuity of operations, and national contingency plans. Today's changing threat environments and recent emergencies, including localized acts of nature, accidents, technological emergencies, and military and/or terrorist attack-related incidents, including the potential for terrorist use of weapons of mass destruction (WMD), have emphasized the need for continuity capabilities and plans that ensure continuity of mission essential functions across the Federal Executive Branch in any crisis or emergency.

Administrator:

- **Office of the Administrator**
 - Center for Faith-Based and Community Initiatives
 - Law Enforcement Advisor
 - Office of the Executive Secretariat
 - National Agency Coordination (NAC)

- **Office of External Affairs**
 - International Affairs
 - Public Affairs
 - Legislative Affairs
 - Private Sector Initiatives
 - Ready Campaign

- **Disability Coordinator**
- **Office of Regional Operations**
- **Office of Policy and Program Analysis**
- **Office of Equal Rights**
- **Office of Chief Counsel**

Office of Mission Support:

- **Office of Associate Administrator**
- **Office of the Chief Financial Officer**
- **Office of the Chief Information Officer**

- **Office of the Chief Human Capital Officer**
- **Disaster Reserve Workforce Division**
- **Office of the Chief Procurement Officer**
- **Office of the Chief Security Officer**
- **Office of the Chief Administrative Officer**
- **Facilities and Support Services Division**
- **Records Management Division**
- **Occupational Safety, Health, and Environment Division**

B.2 National Capital Region Coordination (NCRC)

The Office of National Capital Region Coordination (NCRC) provides leadership in integrating homeland security activities in the National Capital Region (NCR). NCRC also has a critical role in events (e.g., 2009 Presidential Inauguration), drills, and exercises that occur in the NCR. The work of NCRC and its regional partners often serves as a model for multi-jurisdictional efforts across the country.

B.3 Urban Search and Rescue

The Urban Search and Rescue National Response System and the Task Forces across the country provide coordinated, national, and all-risk capability for locating, extricating, and stabilizing victims of structural collapse resulting from natural and man-made causes, including those involving terrorism and weapons of mass destruction. The Urban Search and Rescue Task Forces are among the many specialized teams managed by the Response Directorate.

C – Budget Request Summary:

The FY 2011 M&A budget request reflects the amounts required to sustain basic core mission functionality and efficacy, as well as continue funding the recent-year improvements to both operational response and internal operating capacity (most recently funded in FY 2009) , and to support the Agency’s priorities Through this requested funding level, the Agency will continue to strengthen its ability to support all hazards preparedness, protection, response, recovery, and mitigation requirements; to support State and local emergency management functions, and to enhance internal structures and systems required to effectively support FEMA’s ability to fulfill its emergency management mission.

Staffing

In FY 2010, the FEMA budget request sought to rectify a structural pay issue and to provide full funding for all of the positions established within the M&A appropriation. The Administration recognizes and appreciates the support of the Congress in helping FEMA build and maintain the internal staffing capacity required to fulfill its emergency management mandate. Building on this foundation, FEMA is now aggressively conducting a strategic workforce planning initiative

that will position the Agency to determine the skills and staffing levels required to support the organizational capacity it is working to achieve.

In the wake of Hurricane Katrina, FEMA expanded its temporary workforce of Cadre On-Call Response Employee (CORE) employees to support both new mission requirements and expanded mission requirements, including programs supporting logistics management, individual assistance to disaster survivors, and disaster telecommunications, as well as business support functions across the workforce. These temporary but full-time employees have been paid for in the Disaster Relief Fund both through direct charge disaster and non-disaster specific allocations. These positions are essential to the way FEMA meets its mission and as such most appropriately should be funded in the M&A appropriation, which supports the base funding requirements across all of FEMA's mission areas. As such, FEMA has proposed to move 233 full-time temporary CORE positions to full-time permanent federal positions, with 213 of those going into the M&A appropriation. After this action is completed, FEMA will no longer use its temporary CORE workforce or base FEMA programs. Only the direct-disaster charging CORE FTE will remain in the Disaster Relief Fund.

The President's FY 2010 request for M&A allowed for funding at 85 percent staffing level, and relied upon a transfer of \$35 million from the Disaster Relief Fund to provide the incremental funding required for full staffing. This transfer mechanism is eliminated in FY 2011 as the requested budget authority within the M&A appropriation would fully support this appropriation's base staffing requirements.

Facilities

In FY 2010, the FEMA budget request sought to rectify a structural pay issue and to provide full funding for all of the positions established within the M&A appropriation. The Administration recognizes and appreciates the support of the Congress in helping FEMA build and maintain the internal staffing capacity required to fulfill its emergency management mandate. Building on this foundation, FEMA is now aggressively conducting a strategic workforce planning initiative that will position the Agency to determine the skills and staffing levels required to support the organizational capacity it is working to achieve.

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The FY 2010 Enacted for M&A relied upon a transfer of \$105.6 million from the Disaster Relief Fund to provide the incremental funding required for full staffing. This transfer mechanism is eliminated in FY 2011 as the requested budget authority within the M&A appropriation would fully support this appropriation's base staffing requirements.

Mount Weather Emergency Operations Center

The President's FY 2011 budget request reflects \$12 million in funding for Mount Weather Emergency Operations Center of which \$11.068 million is for capital improvements, a reduction of \$24.3 million from the FY 2010 enacted budget. The Administration remains committed to accelerating the pace of implementation of projects consistent with the capital improvement plan. But in making this request, the Administration also recognizes that more than \$100 million in current and prior-year funding remains to be executed for Mount Weather Capital Improvements. As a result, the Administration will be able to accelerate project implementation into FY 2011 even with a lower amount of funding for the fiscal year.

Management and Administration: FEMA requests \$902.996 million, 3,521 positions, and 3,275 FTE. This represents a net increase of \$105.346 million, and an increase of 1,208 positions, and 1,205 FTE as compared to FY 2010. The change from FY 2010 is explained by a series of adjustments as described below.

(1) PPA – Operating Activities: FEMA requests \$867.947 million, 3,493 positions, and 3,248 FTE. This represents a net increase of \$109.792 million, 1,208 positions, and 1,205 FTE as compared to FY 2010. The 1,208 positions represent the movement of CORE positions into this appropriation and the annualization of FTE supported in FY 2010 by DRF transfer. The FTE increase accounts for those corresponding positions, the annualization of prior year positions, and the annualization of an FY 2010 contractor to PFT conversion. Program changes include \$5.9 million for continued data center migration, \$23.3 million for the facilities initiative, a reduction of \$24.3 million from the Mount Weather Emergency Operations Center, and a reduction of \$4.5 million from the Urban Search and Rescue Program.

(2) PPA – National Capital Region Coordination: FEMA requests \$7.049 million, 20 positions, and 19 FTE. This represents a net increase of \$0.054 million, 0 positions, and 0 FTE as compared to FY 2010.

(3) PPA – Urban Search and Rescue: FEMA requests \$28 million, 8 positions, and 8 FTE. This represents a net decrease of \$4.5 million, 0 positions, and 0 FTE as compared to FY 2010.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration**
Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Operating Activities	2,793	1,022,970	2,043	758,155	3,248	867,947	1,205	109,792	-	4,900	1,205	104,892
Office of National Capital Region Coordination	16	6,315	19	6,995	19	7,049	-	54	-	-	-	54
Urban Search and Rescue	8	32,096	8	32,500	8	28,000	-	(4,500)	-	(4,500)	-	-
Subtotal, Enacted Appropriations and Budget Estimates	2,817	1,061,381	2,070	797,650	3,275	902,996	1,205	105,346	-	400	1,205	104,946
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	2,817	1,061,381	2,070	797,650	3,275	902,996	1,205	105,346	-	400	1,205	104,946

III. Current Services Program Description by PPA

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Operating Activities
Program Performance Justification
(Dollars in Thousands)**

PPA: Operating Activities

	Perm. Pos	FTE	Amount
2009 Actuals	2,937	2,793	1,022,970
2010 Enacted	2,285	2,043	758,155
2011 Adjustments-to-Base	1,208	1,205	104,892
2011 Current Services	3,493	3,248	863,047
2011 Program Change	-	-	4,900
2011 Total Request	3,493	3,248	867,947
Total Change 2010 to 2011	1,208	1,205	109,792

FEMA requests \$867.947 million, 3,493 positions, and 3,248 FTE. This represents a net increase of \$109.792 million, 1,208 positions, and 1,205 FTE as compared to FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION

The following activities directly support FEMA’s primary mission to reduce the loss of life and property and protect the Nation from all hazards, including natural disasters, acts of terrorism, and other man-made disasters, by leading and supporting the Nation in a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation. FEMA Operating Activities will continue to build on FY 2009 and FY 2010 successes in the areas of:

- Creating “engaged partnerships” with State and local governments.
- Facilitating and supplying an effective unified command across all levels of government.
- Engaging hurricane-prone States to gain a better understanding of their vulnerabilities.
- Improving logistics and communications capabilities to improve response.
- Enhancing disaster assistance capabilities for recovery efforts.

The Operating Activities PPA also includes the Office of the Administrator and FEMA-wide Administrative Management who: coordinate between Headquarters and Regional Offices all policy, managerial, resource, and administrative activities; maintain programs to address public information issues; and build partnerships with and among State and local governments, non-governmental organizations, businesses, and industries.

M&A provides FEMA with basic mission funding, which is complemented by disaster-specific and readiness resources from the Disaster Relief Fund and other program-specific appropriations.

1. Operations:

• **A) Recovery Directorate (formerly Disaster Assistance Directorate):**

The following Recovery Directorate programs/functions receive core staffing and operating expenses support from the M&A appropriation. Disaster readiness and direct victim assistance requirements are funded from appropriations for the Disaster Readiness and Support Activities account, the Disaster Relief Fund, and the Disaster Assistance Direct Loan Program. Funding is also provided for the Emergency Food and Shelter Program, also under Recovery Directorate's domain of responsibilities.

Recovery Programs FY 2011 Funding Summary

(\$ in 000s)

<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Executive Oversight	1,575	5,257	6,832	41	38
Program Coordination Planning	1,500	2,978	4,478	23	21
Public Assistance (Pa) Operations	2,600	13,121	15,721	117	109
Individual Assistance	9,475	14,941	24,416	128	118
Disaster Assistance Support Center	950	3,225	4,175	27	25
National Processing Service Centers	2,703	29,638	32,341	302	281
Declarations Unit	8	631	639	6	6
National Disaster Housing	335	424	759	4	4
Regional Administration	1,511	0	1,511	0	0
National Disaster Recovery Framework	<u>1,636</u>	<u>0</u>	<u>1,636</u>	<u>0</u>	<u>0</u>
Subtotal	22,293	70,215	92,508	648	602

• **Program Coordination, Planning and Support**

Program coordination, planning, and support activities include, but are not limited to:

- National Disaster Recovery Framework (NDRF)
- Exercise coordination
- Disaster After Actions Reviews (AAR) and Remedial Management Program (RAMP)
- Continuity of Operations (COOP)
- Analysis and reporting
- Mobile Response Team development
- Innovation and Technology development
- Contract management
- Policy and general inquiry correspondence
- Human Resources and administration
- Professional development
- Logistics, resource management, and strategic planning
- Finance and budgeting
- Equipment

- Regional funding to support recovery activities

On September 29, 2009, the President requested the Secretaries of Homeland Security (DHS) and Housing and Urban Development (HUD) to co-chair a White House Long-Term Disaster Recovery Working Group composed of the Secretaries and Administrators of more than 20 departments, agencies, and offices. The objective of this high-level, strategic initiative is to provide current operational guidance for disaster recovery organizations as well as make recommendations for future strategic improvements to the Nation's approach to disaster recovery management.

An intensive multimedia stakeholder outreach effort was launched during the months of October, November, and December involving State, local, and Tribal government representatives, as well as a wide array of private organizations and private non-profit organizations from across the Nation to inform this unprecedented initiative. As Stakeholder Forums and other outreach efforts continue through mid December, the process of analyzing the data that has been collected over the last two months is already underway. The final report will be transmitted to Congress in June.

FEMA has been actively engaged in Catastrophic Disaster Planning for its Disaster Assistance programs for a number of years. FEMA has made significant progress in the last six years, and particularly after Hurricane Katrina and the enactment of the Post Katrina Emergency Management Reform Act, in increasing its capability to provide assistance to individuals and public organizations after a large or catastrophic event. FEMA's experience with the very active 2004 and 2005 Hurricane Seasons highlighted a number of critical planning and capability requirements for Disaster Assistance, which are the focus of current and planned catastrophic disaster planning initiatives. Key areas of recent and ongoing Individual Assistance program improvements include mass care and emergency assistance procedures and capabilities, donations and volunteer management procedures, registration intake systems, applicant processing, identity and occupancy verification, controls to limit fraud and abuse, coordination with other agencies, and evaluation and testing of alternative housing solutions. We continue to further develop and implement priority elements of the National Disaster Housing Strategy. During this time, we have also made strides in interagency planning and coordination to assist communities with long-term recovery, to address contaminated debris, debris volume estimation, and streamlining the Public Assistance Program processing for very large events through planning, training, and technology improvements. We continue to develop, test, and refine the above improvements, as well as continue contingency planning for delivering all types of disaster assistance during and after chemical, biological, radiological, nuclear, pandemic influenza, and cyber events.

Because the delivery of disaster assistance programs depends on a seamless working relationship with State and local governments, consistent interaction with these stakeholders is essential. To that end, Recovery staff participates in a number of annual conferences, meetings, workshops, and training venues with internal and external partners on a wide range of initiatives, including activities related to, for example, ESF#6, ESF #14, the National Shelter System, the National Reunification Family Locator System, the PA Pilot, and Donations Management.

- **FY 2009 Accomplishments:**

- Began training Regional, Federal, State, local, and non-governmental stakeholders on new ESF #6 mass care, sheltering and feeding tools. This included implementation of a mass care sheltering and feeding operational strategy for use at the local level.
- Implemented a cooperative agreement with the National Center for Missing and Exploited Children.

- **FY 2010 Planned Accomplishments:**

- By April 1, 2010, the White House Long-Term Disaster Recovery Working Group will provide the President with a Report containing strategic recommendations (budgetary, organizational, legislative...etc.) to improve long-term catastrophic disaster recovery management. The Report will include a final draft National Disaster Recovery Framework. The Framework will articulate operational guidance to achieve a more effective coordination, and more timely delivery of recovery assistance under current authorities. An intensive national review process will follow culminating with the publication of the final version of the National Disaster Recovery Framework by June 1, 2010. The final Framework published on June 1, 2010 will include an implementation plan with deliverables for the next several years.

- **FY 2011 Planned Accomplishments:**

- FEMA will continue implementation of the National Disaster Recovery Framework, including development of Standard Operating Procedures and training for new Recovery Support Functions.
- FEMA will test overarching National Disaster Recovery Framework structures and principles in the National Level Exercise 2011 and begin development of a Recovery only exercise for implementation in FY 2013.

- **Public Assistance Program (PA) M&A Budget**

The PA Grant Program provides assistance to States, local governments, and certain nonprofit organizations to alleviate suffering and hardship resulting from major disasters or emergencies declared by the President. It provides reimbursement for debris removal, emergency protective measures and the repair, replacement, or restoration of disaster-damaged, publicly owned facilities and the facilities of certain private non-profit organizations.

- **Fire Management Assistance Grant Program (FMAGP)**

FEMA provides Fire Management Assistance Grants to State and local governments, including Tribal nations, to minimize immediate adverse effects, and to manage and control wild land-fires that threaten to cause major disasters. FMAGP provides a 75 percent federal cost-share reimbursement to States for actual costs.

- **Community Disaster Loan Program**

FEMA provides Community Disaster Loans to any local government or other political subdivision of the State that has suffered a substantial loss of tax or other revenues because of a major disaster. Communities can use the loans to maintain existing governmental functions or to expand such functions to meet disaster related needs.

- **FY 2009 Accomplishments:**

- The Public Assistance Division completed the draft of the PA Catastrophic Disaster Recovery Concepts of Operations
- The Public Assistance Division received 127 second appeals in FY09 and adjudicated 74 appeals
- Processed 24 Community Disaster Loans totaling \$60,547,400:

- **FY 2010 Planned Accomplishments:**

- Implement and deliver special needs training to State partners to ensure life sustaining assistance is provided to disaster victims in congregate care facilities.
- Procure up to four (4) new PA Technical Assistance Contracts (TACs) to provide continued architect-engineer, consultant, and other related professional services in support of the PA Program and the PA Division's other programs, which include the Fire Management Assistance Grant Program and the Community Disaster Loan Program.
- Procure up to two new PA Appeals contract to assist Headquarters and Regional staff with the adjudication of 1st and 2nd appeals
- Implement the PA Program Quality Assurance/Quality Control Plan and accompanying tool to enable the PA Division to monitor 10 critical metrics at the JFO, Regional, and National levels to ensure productivity and quality.

- **FY 2011 Planned Accomplishments:**

- Improve and sustain operation of the EMMIE system for the efficient processing of an annual average of over \$2.5 billion in Public Assistance funding.
- Revise and streamline Public Assistance Program guidance to reflect lessons learned from recent disaster activity, and ensure Grantees and Sub-Grantees have clear and consistent guidance for efficient and effective program implementation after major disasters and emergencies.
- Implement the PA Program Quality Assurance/Quality Control Plan and accompanying tool to enable the PA Division to monitor 10 critical metrics at the JFO, Regional, and National levels to ensure productivity and quality.
- Sustain operation of newly awarded PA Technical Assistance Contracts to provide critical support to disaster field operations in implementing the Public Assistance Program.

- **Individual Assistance Programs (IA)**

Individual Assistance ensures that individuals and families that have been affected by disasters have access to the full range of FEMA programs in a timely manner and that the best possible level of service is provided to applicants in the administration of these programs. IA programs and functions include:

- The Individual and Households Programs
- Other Needs Assistance
- Disaster Unemployment Assistance
- Crisis Counseling and Training Program
- Disaster Legal Services
- National Family Reunification Locator System
- National Emergency Child Locator System
- Donations Management
- Voluntary Agency Coordination
- Joint Housing Solutions Group
- National Disaster Housing Strategy
- Case Management
- National Shelter System

- **FY 2009 Accomplishments:**

- Improved FEMA's plans and capabilities for managing mass evacuations and the resulting displaced populations, including additional State and local plans and development and expansion of evacuee tracking systems.

- Launched the FEMA National Shelter System. Implementation will begin at the State level. System will have enhanced data sharing capabilities and will provide expanded, accurate data to Federal, State, and local users.
 - Piloted a new in-person recertification protocol for individual assistance. This new protocol will reduce or eliminate the need for often-confusing and less reliable recertification via the postal system, and increase the reliability and surety of the process.
- **FY 2010 Planned Accomplishments:**
 - Begin development of the Emergency Assistance Information System (EAIS), which will integrate existing mass care software and information systems and will enable States to manage mass care information requirements (NSS, NECLC, and NEFRLS) through one system.
 - Enhance the National Mass Evacuation Tracking System (NMETS) to establish more fulsome electronic capabilities and deliver training to State and local emergency managers.
 - Develop an interagency agreement with the U.S. Army Corps of Engineers (USACE) to provide FEMA with USACE technical expertise in the areas of emergency preparedness, construction, temporary roof repair, cost-estimating, electrical engineering, public works, design and site engineering, mission assignment development and oversight, NEPA compliance, mass care, contract management and other areas of USACE proficiency.
 - **FY 2011 Planned Accomplishments:**
 - Complete implementation of E-Signature, which captures disaster survivors' signatures electronically to allow for faster and more efficient process applications for assistance as well as improving data storage.
 - Begin Phase One of the E-Correspondence project, which includes the development of incoming and outgoing e-mail correspondence with disaster survivors through NEMIS and the addition of links to view documents through the internet. Electronic correspondence accelerates information exchange with disaster survivors and decreases delays in providing financial assistance by reducing time constraints associated with generating paper correspondence and using standard mail delivery.

- **Disaster Assistance Support Center**

The Disaster Assistance Support Center (DASC) is responsible for supporting headquarters, the Disaster Assistance Directorate, regional disaster assistance offices, and field units. DASC is composed of three branches: Analysis, Reports and Technology Solutions (ARTS), Strategic Resources Management (SRM) Branch, and Correspondence. The DASC centralizes and manages the support operations for FEMA's Recovery Directorate. Core functions include analysis, innovation, strategic thinking, and operational effectiveness.

- **National Processing Service Centers (NPSC)**

The NPSC's are FEMA's disaster assistance processing facilities and are responsible for: registering applicants for disaster assistance, verifying losses through on-site inspections; processing applications to determine assistance eligibility; and responding to applicant inquiries. In FY 2009, approximately 300 temporary positions became full time positions in the NPSCs. Funding from the M&A appropriation supports these positions as well as other activities, such as technology requirements needed to maintain a call center, equipment, and training.

FY 2009 Accomplishments:

- Completed the advertisement, review, selection, and hiring process for 280 out of 284 Permanent Full Time (PFT) positions. The addition of these permanent positions provides greater stability to NPSC operations.
- Conducted a sixth formal assessment of FEMA's Individuals and Households Program as part of the requirements of the Improper Payments Information Act of 2002 to determine if improper payments occurred, to assess the reasons for improper payments, and to develop Corrective Action Plans (CAP) to mitigate the risk of future occurrence of erroneous payments. The review of IHP payments made in FY 2008 yielded an estimate of improper payments of 1.86 percent of the total population, which is below the 2.5 percent error rate standard.
- Established the Appeals and Recoupment Groups and established the new Audit Group. These groups are in response to IG, GAO and internal FEMA Lessons Learned to isolate these activities and establish a unit whose primary responsibility would be to follow up with all audit recommendations from other groups and conduct internal audits that result from those processes.
- Implemented the Disaster Assistance Improvement Project (DAIP), which is a high priority project to attempt to combine disaster registration processes for different Federal agencies.

• FY 2010 Planned Accomplishments:

- Modify the DARAC (Direct Assistance) portion of NEMIS to implement previously deferred changes, increase usability of the Recertification and Setup Work Order processes, connect to the Logistics system in order to reduce reliance on manual entry of unit information and decrease the reliance on developer intervention during disaster operations. Additional planned enhancements include data reliability, increase usability of the Unit Assignment, Site Map/Inspection and Maintenance Work Order processes.
- Create a link between NSS and Registration Intake (RI) so applicants can access shelter referrals and call center agents can choose the shelter an applicant is living in during the RI process. This will improve FEMA's ability to locate evacuated disaster victims.
- Complete implementation of electronic call recording software, which will allow the QC Department to increase the number of calls they monitor and help improve the employee coaching experience.

- Implement secure, pen-based e-signature software to replace paper-based process of obtaining applicant's signatures on the 90-69 B and D forms. It will ensure quick response and avoid delays in payments and further action on behalf of the applicant.

- **FY 2011 Planned Accomplishments:**

- Complete implementation of the E-Signature initiative, which captures disaster survivors' signatures electronically to allow for faster and more efficient process applications for assistance as well as improving data storage.
- Complete Phase 1 of E-Correspondence project which includes the development of incoming and outgoing e-mail correspondence with disaster survivors through NEMIS and the addition of links to view documents through the internet. Electronic correspondence accelerates information exchange with disaster survivors and decreases delays in providing financial assistance by reducing time constraints associated with generating paper correspondence and using standard mail delivery.

- **Disaster Declarations Unit**

The Declarations Unit is responsible for processing a myriad of Gubernatorial requests for Presidential major disaster or emergency declarations and all other related actions to include appeals and cost share adjustments under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. §§ 5121-5207 (the Stafford Act). Our mission each Fiscal Year (FY) is to ensure that each Gubernatorial request is processed as expeditiously as possible.

Each Fiscal Year, the number of requests for major disaster declarations, emergency declarations, cost share adjustments, and Fire Management Assistance Grants increases from the previous Fiscal Year. FY 2010 will be no different. Since the beginning of this fiscal year, we have not only been processing multiple requests for severe storms, flooding, tornadoes, earthquakes, tsunamis, fires, hurricane, and drought, but have also been gearing up for the potential of processing 57 requests in response to an outbreak of human influenza pandemic in the United States and its' Trust Territories.

- **National Disaster Housing Task Force (NDHTF)**

The NDHTF assess the need for housing in affected communities and identify available rental properties and other options. The National Task Force also works to resolve policy issues, conflicting authorities, and opposite regulations. Its overall goal is to remove barriers and impediments to the delivery of housing for disaster victims

- **Executive Oversight**

Resources include Salaries & Benefits and management oversight justification.

- **B) Response Directorate (formerly Disaster Operations Directorate):**
 FEMA's Response Directorate, formerly known as the Disaster Operations Directorate, provides and coordinates the core Federal operational capabilities needed to save lives, minimize suffering, and protect property in a timely and effective manner in communities overwhelmed by acts of terrorism, natural disaster, or other emergencies. Response encompasses the following programs.

Response Programs FY 2011 Funding Summary

(\$ in 000s)

	<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Office of Assistant Administrator for Operations		12,492	5,121	17,613	45	42
	Operations Division	7,849	34,903	42,752	307	285
	Planning Division	27,748	11,154	38,902	98	91
Disaster Emergency Communications		17,344	31,070	48,414	273	254
	Business Management	<u>2,967</u>	<u>2,731</u>	<u>5,698</u>	<u>24</u>	<u>22</u>
	Subtotal	68,400	84,979	153,379	747	694

NOTE: When a disaster threatens or occurs, many costs associated with program functions are supported through the Disaster Relief Fund.

- **Office of the Assistant Administrator for Operations**
 The Office of the Assistant Administrator consists of a small support staff that provides direct support to the Assistant and Deputy Assistant Administrators for Response in their daily tasks, as well as a Policy Office and a Training, Exercise, and Doctrine Office.

Assistant Administrator for Operations Programs FY 2011 Funding Summary

(\$ in 000s)

	<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Assistant Administrator for Operations		202	1,366	1,568	12	11
	Policy Office	20	1,024	1,044	9	8
	Training Unit	3,790	797	4,587	7	7
	Exercise Unit	2,591	341	2,932	3	3
	Doctrine Unit	4,298	455	4,753	4	4
	Regional Support	<u>1,591</u>	<u>1,138</u>	<u>2,729</u>	<u>10</u>	<u>9</u>
	Subtotal	12,492	5,121	17,613	45	42

- **Policy Office**
 The Directorate's Policy Office enables the successful execution of Response Directorate programs and activities through the review of existing and development of new policies, guidance, and strategies in coordination with internal and external partners. This Office coordinates strategic planning activities and leads the development of new policies and guidance to ensure that the goals, objectives, and mission of the Directorate are accomplished. In addition to policy development, this Office is responsible for coordinating the Directorate's responses to requirements from external partners including the White House, Congress, General Accountability Office, the Department of Homeland Security, the Office of Inspector General, other Federal Departments and Agencies, and other FEMA components.
- **Training, Exercise, and Doctrine Office**
 The Training, Exercise and Doctrine Office, working for the Assistant Administrator for Response, develops and manages disaster operational training, exercises, and doctrine in order to ensure effective and consistent response to any incident. Key activities of each of the components of the office are described below:

 - **Training Unit**
 Continuously improves Response Directorate Disaster Workforce readiness by training, credentialing and developing professional capabilities and resources aligned with Response Directorate's operational response at the Field, Regional and National level. Enhance FEMA's core capabilities through professional development opportunities for all Response staff and teams. Develops individuals and teams that think joint intuitively and achieves a training unity of effort across teams, organizations and Regions.
 - **Exercise Unit**
 Manages FEMA's planning and participation in national and regional exercises. Ensures the Homeland Security Exercise and Evaluation Program (HSEEP) guidance is followed for exercise planning efforts. Executes FEMA's internal exercise program to test and validate FEMA's ability to accomplish its mission. Supports an evaluation process to identify strengths and areas for improvement observed during exercises.
 - **Doctrine Unit**
 Conducts a comprehensive review and revision of Response Directorate guiding documents; identifies voids and creates new documents in order to develop the materials that guide FEMA response operations at the Incident, Regional and National level. Reviews, revises, updates and/or develops disaster operations doctrinal materials & establishes a hierarchy of doctrine documents. Designs and implements a comprehensive and permanent program for continual development and maintenance of FEMA disaster operations doctrinal materials that guide FEMA response operations at the incident, regional and headquarters level.

- **Regional Support**

The Regional Support initiative will consolidate and quantify to establish baseline funding to the ten FEMA Regional Response organizations. Additionally, centers of excellence will be established in specific regional offices to better prepare response and readiness efforts, identify best practices and establish standard operating policies.

- **FY 2009 Accomplishments: N/A – not in existence in FY 2009**
- **FY 2010 Planned Accomplishments**
 - Conduct review and analysis of Response Directorate's courses to align with new doctrine, and update and/or develop between 10-15 courses based on this review
 - Establish and implement base funding for all regional offices based on operating activity and needs (Facility, Staff, Infrastructure)
 - Initiate Regional Response Coordination Center Working group to design a facility model to be implemented by size need in each region
 - Execute and evaluate 15 operational exercises and 10 discussion based exercises that test and validate our response teams capabilities
 - Participate in National Level Exercise 2010/ Eagle Horizon 2010/ Cyber Storm 2010/ Liberty RadEx 2010
 - Conduct review of existing Response Directorate doctrinal materials to identify gaps
 - Produce 10 Response Directorate doctrinal documents to enhance the capabilities of FEMA staff and the overall emergency management profession
- **FY 2011 Planned Accomplishments**
 - Assess/validate/revise courses developed in 2010
 - Finalize and implement credentialing plans and position task books
 - Implement training, exercise and doctrine polices
 - Execute and evaluate 15 operational exercises and 10 discussion based exercises that test and validate our response teams capabilities
 - Participate in National Level Exercise 2011/ Eagle Horizon 2011
 - Test and validate doctrine developed in FY 2010
 - Revise, maintain and reissue core doctrine based upon lessons learned from real-world events or exercises. Identify areas requiring the development of new doctrinal materials

- **Operations Division**

Through the command and control use of specialized operational centers and teams, the Operations Division manages and coordinates capabilities in support of emergency and disaster response, exercises, and special events to ensure appropriate readiness for response.

Operations Division Programs FY 2011 Funding Summary

(\$ in 000s)

	<u>Activity</u>	<u>Program</u>	<u>S & B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Operations Division Management Office		870	455	1,325	4	4
Response Coordination Branch		15	7,511	7,526	66	61
National Response Coordination Center (NRCC)		426	455	881	4	4
Regional Response Coordination Centers		1,000	7,625	8,625	67	62
Response Watch Center (RWC)		1,335	2,618	3,953	23	21
FEMA Operations Center (FOC)		1,391	2,619	4,010	23	21
Situation Monitoring Unit		625	455	1,080	4	4
Future Operations Section		10	455	465	4	4
Incident Management Assistance Team (IMAT)		2,177	11,609	13,786	102	95
Urban Search and Rescue (US&R) Task Forces		<u>0</u>	<u>1,101</u>	<u>1,101</u>	<u>10</u>	<u>9</u>
	Subtotal	7,849	34,903	42,752	307	285

- **Operations Centers:**

- **Response Coordination Branch (RCB)**

The RCB is responsible for supporting the FEMA Regions by coordinating National level immediate and long term response actions based on maintaining constant awareness of all-hazards events that may affect the citizens of the United States. The RCB is comprised of the Response Watch Center, FEMA Operations Center, NRCC, the Future Operations Section and Situation Monitoring Unit.

- **National Response Coordination Center (NRCC)**
 The NRCC is a multi-agency coordination center that functions as the operational component of the DHS National Operations Center (NOC). The NRCC coordinates Federal disaster response operations and emergency management program implementation for natural and manmade disasters, including catastrophic and significant disaster events. The NRCC supports disaster response and resource planning; monitors potential or developing events that could become significant; supports regional and field component operations; and makes decisions on and coordinates national-level disaster response activities and resource prioritizations and allocations for DHS and FEMA.
- **Regional Response Coordination Centers (RRCC)**
 The RRCCs are regionally-based multi-agency coordination centers that perform a complementary role to the NRCC at the regional level. Operating in the ten FEMA Regions, each RRCC performs a situational awareness mission, identifies and coordinates response requirements, supports response operations, performs capabilities analysis, and reports on the status of Federal disaster response operations. The RRCCs deploy liaison officers and the Incidents Management Assistance Teams (IMATs) to initiate Federal support, facilitate initial delivery of goods and services to save lives and property and stabilize local infrastructures, and facilitate prioritizing “in theater” interagency resource allocation and coordination. The RRCCs can support multiple concurrent disaster operations within their regions.
- **Response Watch Center (RWC)**
 The RWC maintains all-hazard situational awareness links 24/7 with the Regional Response Coordination Centers (RRCC), State Emergency Operations Centers (EOC), selected local EOCs, regional DHS components (HQ and field), National and Regional Department and Agency Emergency Support Functions (ESFs), State Fusion Centers, Joint Terrorism Task Forces, Department of Defense Operations Centers, and other key Federal, State and Local operational nodes.
- **FEMA Operations Center (FOC)**
 The FEMA Operations Center supports FEMA, Executive Branch Departments and Agencies with several classified and unclassified programs. The FOC, in coordination with the National Operations Center, facilitates distribution of warnings, alerts, notifications, and bulletins to the Federal, State and local emergency management community using a wide variety of communications systems such as the National Warning System (NAWAS), the Washington Area Warning System (WAWAS), and the National-level Emergency Notification System (ENS). The FOC supports the NRCC/RWC through the implementation of a myriad of notifications to all Federal Departments and State EOCs as well as activating emergency management staff. The FOC’s multi-faceted communications and operations capabilities enable it to receive, generate, and/or disseminate critical, time-sensitive

information to senior decision makers at all government levels. The FOC receives, analyzes, and disseminates all-hazards information within FEMA and DHS and to other Departments and Agencies as well as to disaster response team members. The FOC executes National Security programs as directed. The FOC serves as the interim National Operations Center (NOC) during times of crisis or emergency situations that degrade or prevent the NOC from functioning.

- **Hurricane Liaison Team**

This team operates at the National Hurricane Center to provide real time analysis and reporting of hurricane and weather-related information and communication among the National Hurricane Center, FEMA headquarters/regions and the Federal, State, Tribal, and local governments' emergency management and disaster response system components, and provides an additional access point for critical interagency technology transfer to enhance the Agency's hurricane disaster response capability.

- **Situation Monitoring Unit**

Established in 2009, the primary mission of the Situation Monitoring Unit (SMU) is to provide situational awareness and information sharing for all-hazard planning and response operations related to counterterrorism, anti-terrorism, counter-intelligence, criminal threats, and operational security.

- **Future Operations Section**

The Future Operations Section serves as a support element to the Regional and National Response Coordination Centers along with the Activation Teams and FEMA senior leadership by providing analysis of threats (both natural and manmade) that present a potential for Federal support and/or assistance. This includes pre-identification of threats, identification of planning requirements (to be passed to Future Planning for development), coordination with internal and external stakeholders and the development of executable operations plan for FEMA leadership's consideration.

- **Operational Teams:**

- **Incident Management Assistance Teams (IMAT)**

The primary mission of an IMAT is to rapidly deploy to an incident or incident-threatened venue, provide leadership in the identification and provision of Federal assistance, and coordinate and integrate inter-jurisdictional response in support of the affected State(s), Tribe(s) or U.S. territory(s). These teams support efforts to meet the emergent needs of State, Tribal and local jurisdictions; possess the capability to provide initial situational awareness for Federal decision-makers; and support the initial establishment of a unified command. Moreover, these teams are able to establish an effective federal presence within 12 hours of notification, support the State, coordinate Federal activities, and provide initial situational

awareness, and are self-sufficient for a minimum of 48-hours to augment potentially scarce local resources.

- **Urban Search and Rescue (US&R) Task Forces**

US&R Task Forces provide the coordinated, national, all-risk capability for locating, extricating, and stabilizing victims of structural collapse resulting from natural and manmade causes, including those involving terrorism and weapons of mass destruction. See the Urban Search and Rescue PPA for more detail. Incident Support Teams (IST) are pre-existing elements that serve as the management cells for US&R Task Forces.

- **FY 2009 Accomplishments:**

- Completed the computer upgrades at the National Response Coordination Center (NRCC)/Watch at primary Coop Site and Audio-Visual (A/V) upgrades in FEMA Headquarters' NRCC conference room
- Completed Phase 1 (Planning) Regional Watch Standardization effort.
- Expanded the Emergency Notification System (ENS) to serve additional DHS components and began installation of the third ENS system in the Denver MERS Operations Center
- Completed Phase 1 (Planning) upgrades to the Special Compartmented Information Facility (SCIF) at FEMA Headquarters and Phase 1 (Planning) upgrades to the SCIF at primary COOP Site
- Deployed IMAT teams in support of disasters and National Security Special Events including the 2009 Presidential Inauguration, the North Dakota Flooding, and the American Samoa Earthquake Tsunami

- **FY 2010 Planned Accomplishments:**

- Complete Phase 2 (Installation) of Regional Watch Standardization.
- Initiate Phase 1 (Planning) for the secure response watch location at primary COOP site and complete Phase 1 (Planning) of Secure Watch / NRCC Construction at FEMA HQ.
- Develop and implement a National Information Management Sharing System and Common Operational Picture.
- Complete Phase 2 (Installation) of the tertiary Emergency Notification System (ENS) in Denver, CO
- Complete Phase 2 (Installation) upgrades to the Special Compartmented Information Facility (SCIF) at FEMA Headquarters
- Complete Phase 3 upgrades to the SCIF at primary COOP Site

- Complete implementation of remaining six Regional IMATs through internal realignment of Response FTE.
- **FY 2011 Planned Accomplishments:**
 - Finalize NRCC/RRCC Standard Operating Procedures
 - Complete Phase 3 of Regional Watch Standardization.
 - Complete initial Regional implementation of the National Information Management Sharing System and Common Operational Picture.
 - Begin Phase 2 (Installation) for the secure response watch location at the COOP site at Mt. Weather and Phase 2 (Installation) of Secure Watch / NRCC Construction at FEMA HQ.
 - Continue to expand the Emergency Notification System (ENS) to eventually include most or all DHS components.
 - Phase 3 (Completion) of the tertiary Emergency Notification System (ENS) in Denver.
 - Implement HLT employee credentialing framework and task books.
 - Complete implementation of National IMAT Team Central through internal realignment of Response FTE.

- **Planning Division:**

Planning Division Programs FY 2011 Funding Summary

(\$ in 000s)

	<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
	CBRNE Branch	601	1,252	1,853	11	10
Improvised Nuclear Device (IND) Resp. & Rec. Program		5,900	0	5,900	0	0
Nuclear Incident Response Team (NIRT)		2,150	0	2,150	0	0
Domestic Emergency Support Team (DEST)		500	0	500	0	0
Pre-Positioned Equipment Program (PEP)		7,000	0	7,000	0	0
Nuclear/Radiological Incident Prevention Program (NRIPP)		450	0	450	0	0
National Planning Branch		1,203	1,366	2,569	12	11
Regional Planning		<u>9,944</u>	<u>8,536</u>	<u>18,480</u>	<u>75</u>	<u>70</u>
	Subtotal	27,748	11,154	38,902	98	91

- **Chemical Biological Radiological Nuclear Explosive (CBRNE) Branch**
The CBRNE Branch provides the program management and oversight for all specialized CBRNE focused response programs and teams within the Response Directorate. In addition, the CBRNE Branch provides specific CBRNE subject

matter expertise to all components within Disaster Response in the areas of training development, policy development, planning support, and emergency response procedures.

- **Improvised Nuclear Device (IND) Response and Recovery Program**
In FY 2010, FEMA will formally establish an IND Response and Recovery Program. The purpose of the program will be to integrate and/or coordinate the activities of multiple Federal departments and agencies to support State and local needs following an IND attack. The program will also focus on the enhancement of capability gaps identified by an assessment conducted by a DHS Requirements Planning Team during FY2008 and will determine the optimal approach for managing them. The Program will also work to align organizational/strategic direction that affects project and program goals and objectives and work collectively with the intra and inter-agency to resolve issues within a structure where roles and responsibilities for response and recovery to an IND incident are shared.
- **Nuclear Incident Response Team (NIRT)**
NIRT teams are specialized teams managed day-to-day by the Department of Energy (DOE) / National Nuclear Security Administration (NNSA) and the Environmental Protection Agency (EPA). They are operationally controlled by DHS/FEMA when activated to provide expert technical advice and support in disaster response operations and other needs involving nuclear weapons incidents, radiological incidents, lost or stolen radioactive material incidents, and acts of nuclear terrorism. The FEMA Administrator also has responsibilities to establish standards and certify when those standards have been met; conduct joint and other exercises and train and evaluate performance; and provide funds to the DOE and the EPA, as appropriate, for homeland security planning, exercises and training, and equipment.
- **Domestic Emergency Support Team (DEST)**
The DEST is a specialized interagency team designed to expeditiously provide expert advice, guidance and support to the FBI On-Scene Coordinator (OSC) during a Weapons of Mass Effect (WME) incident or credible threat. The DEST is comprised of crisis and consequence management components and augments the FBI's Joint Operations Center with tailored expertise, assessment and analysis capabilities. FEMA is identified as the Program Manager for the DEST and also deploys as part of the team.
- **Pre-Positioned Equipment Program (PEP)**
FEMA has hazardous materials response equipment pre-positioned at nine sites across the United States that is used to reconstitute first-responders equipment during emergencies. The program will be expanded to include a tenth site by the end of calendar year 2009. Response Directorate expects to complete the roll-out of an eleventh and final site in calendar year 2011.

- **Nuclear/Radiological Incident Prevention Program (NRIPP)**
 During the Top Officials 4 (TOPOFF 4) exercise in 2007, it became apparent that the Federal Government did not have a defined plan for radiological search/survey operations to respond to a non-specific radiological or nuclear threat within the United States. This planning gap was addressed during the development of the Federal Interagency Improvised Nuclear Device Concept of Operations Plan (IND CONPLAN), which identifies FBI and FEMA as the co-leads for the Survey/Search Coordination Committee. The Survey/Search Coordination Committee will develop an incident specific search/survey plan during a credible radiological or nuclear threat, in coordination with DOJ/FBI, the Office of the Director of National Intelligence, the Department of Energy/National Nuclear Security Administration, and the Department of Defense. In FY10 FEMA will establish NRIPP to develop and maintain a database of radiological detection assets, outline procedures for and facilitate the Survey/Search Coordination Committee, coordinate the development of a search/survey plan during a credible threat period, and maintain situational awareness of the deployment of detection assets.

- **National Planning Branch**
 In depth operational planning encompasses the full spectrum of the planning process, ensuring continuity between long-range planning, current operations planning, and field element incident action planning. The Response Directorate is working to align existing Federal response planning initiatives such as GAP; catastrophic planning, evacuation planning, and emergency communications planning into a coordinated operational planning effort. National Planning efforts include:

 - Detailed and critical current and future disaster response operational analyses, preparation of contingency and concept of operations plans, and crisis action planning to ensure that the agency can lead and improve national all-hazard disaster responses.
 - Provide national and regional operational planning guidance and coordination.
 - Coordinate at the operational level the execution of all hazard contingency plans.
 - Provide forecasting and analysis of potential events.
 - Coordinate with FEMA's National Preparedness Directorate, Recovery Directorate, Mitigation Directorate, and DHS components, including the DHS Office of Operations Coordination and Planning. FEMA will lead the coordinated operational planning for the Federal Government.
 - Special events activities support the readiness capabilities and planning for designated National Special Security Events to ensure an effective response to possible emergencies, to ensure public health and safety, and to protect property against threats or human-caused disasters.
 - Develop and execute operational exercises through response-oriented consultation, advisement, and program expert knowledge as well as coordinating with other agencies to provide critical interaction and participation in National-level response exercises.

- **Regional Disaster Planning**

Develop coordinated and integrated regional plan which link to national all-hazards plans. Regional Planning serves as the point of contact for the regions in the Response Directorate, and often deploy to the regions to further develop pre-event relationships, protocols, response processes, and a mutual understanding of other agencies roles, issues, and needs, including:

- Lead the development of DHS and FEMA hazard-specific contingency plans.
- Mature federal-level catastrophic disaster response plans, in partnership with States and local communities.
- Increase plan action ability to respond with little or no advance notice or warning.
- Mature design and implementation plans reflecting rapid response times with massive support.
- Increase asset caches and implementation plans reflecting the need for a significantly higher level of response assets.
- Fully integrate Federal response efforts with State, Tribal and local governments and private sector and critical infrastructure representatives.
- Initiatives in Florida, California, Hawaii, Guam, and the eight Midwest States of the New Madrid Seismic Zone, will significantly enhance Federal disaster response planning activities by focusing solely on specific types of catastrophic disasters.
- GAP Analysis Program:
 - Perform gap analysis to enhance response and short-term recovery at the Federal, State, and local levels.
 - Further identify and eliminate shortfalls that exist between estimated requirements, standards, and performance measures and the actual response and short-term recovery capabilities maintained at all levels of government and with nongovernmental organizations and the private sector.
 - Engage local, Tribal, and State governments in an on-going process of self-awareness to determine potential disaster requirements and existing capabilities to meet those requirements in pre-defined critical areas.
 - Increase pre-disaster awareness of response and short-term recovery gaps.
 - Facilitate the elimination of response and short-term recovery gaps. Strengthen local, Tribal, and State capabilities, thereby reducing reliance on the Federal Government for immediate disaster response and short-term recovery needs.

- **FY 2009 Accomplishments:**
 - Supported Regional Operational Planners development of plans in accordance with IPS and CPG 101 to include Northern California Catastrophic Earthquake CONPLAN and OPLAN; Hawaii and Pacific Catastrophic Incident CONPLAN and Catastrophic Hurricane OPLAN; FEMA RIV Federal Interim Contingency Guide for Florida Catastrophic Planning; Nevada All-Hazards CONOPS and Northwest Nevada Earthquake Response CONPLAN; and continued in the development of specific State and regional plans to address an incident in the New Madrid Seismic Zone.
 - Completed distribution of the Data Collection and Analysis Tool (DCAT) to all FEMA regions to be used for gap analysis; Improved DCAT based on a crosswalk with Florida catastrophic planning project to identify how DCAT calculations compared to planning efforts already conducted. Enhanced inter-operability of DCAT by supporting and working with existing efforts such as Catastrophic Planning Branch, Disaster Emergency Communications, Search and Rescue, Grant Programs, National Preparedness, Disaster Assistance, Logistics Directorates and external partners.
 - Initiated the NIRT Program and established legislated requirements with DOE and EPA. Initiated 8 projects in the area of improving NIRT equipment, homeland security training, and exercises.
 - Supported planning and participation in National Level Exercise (NLE) 09, a National Intelligence/FBI led national level exercise (Tier I) focused on the prevention of a TUE attack
 - Supported planning and participation in Empire 09, a Tier II, Department of Energy/National Nuclear Security Administration Exercise (DOE/NNSA) designed to evaluate the technical response and management of a domestic Radiological incident
 - Completion of the following plans: Federal interagency Terrorist Use of Explosives CONPLAN (April 2009); Federal Emergency Management Agency Pandemic Influenza Plan (April 2009); Federal Interagency Hurricane CONPLAN (May 2009); Federal Emergency Management Agency Hurricane Plan (July 2009); and Federal Emergency Management Agency 2009-H1N1 Plan (October 2009).

- **FY 2010 Planned Accomplishments:**
 - Develop Federal plans, both Regionally- and Nationally-focused, that synchronize with Urban Area/regional plans developed from the Urban Area Security Initiative's Regional Catastrophic Preparedness Grant Program. Develop joint State-regional Operational Plans (OPLAN) for: (1) Regions IV, V, VI, and VII

for a catastrophic New Madrid Seismic Zone earthquake; (2) Region IX for a catastrophic earthquake in southern California; (3) Region IX Typhoon in Guam; (3) Region VIII Wasatch Fault Earthquake in Utah. Develop regional all-hazard CONPLANS for Region I-X. Initiative development of joint State-regional Hurricane OPLANS for Region's I-VI.

- Support planning and participation in NLE 2010 a Tier I Exercise, designed to evaluate the technical response and management of a domestic Improvised Nuclear Device (IND) incident in an urban environment, and
- Finalize IND National Strategy for Response and Recovery to an IND attack and IND Program Management Plan
- Support planning and exercise participation in NLE 2010, a national level exercise (Tier I) focused on the response and recovery from an improvised nuclear device (IND) attack.
- Develop a Survey/Search Operations Plan by FY 2010 that will minimally address how the interagency will plan and prioritize survey/search operations and exchange situational information relevant to the planning process.

- **FY 2011 Planned Accomplishments:**

- Complete catastrophic planning efforts in Florida, California, Hawaii and Guam, Utah and Hurricane Planning for Region I-VI.
- Support planning and exercise participation in NLE 2011, New Madrid Seismic Zone exercise.
- Complete Review of all National IND Policy and Doctrine
- Review FY10 NIRT tasks and develop a strategy path forward for standardizing and improving the NIRT program both at DOE and EPA
- Identify and prioritize research and development needs for survey/search operations
- Validate the completed local, State and Federal (Regional and National) suite of vertically and horizontally synchronous operational plans to address a catastrophic earthquake across eight Midwest States through the 2011 National Level Exercise (formerly known as TOPOFF), to commemorate the 200th anniversary of the NMSZ earthquake, the greatest seismic event in recorded U.S. history.

- **Disaster Emergency Communications Division**

The Disaster Emergency Communications (DEC) Division develops and implements the capability to provide voice, data, and video communications services before, during, and immediately after an incident in support of emergency managers at all levels of governments. Additionally, the DEC Division provides operations-based

planning and coordination services affecting a broad array of response organizations. These services include support of the Regional Emergency Communications Coordination Working Groups (RECCWG), the Mobile Emergency Response Support (MERS) Program, and Regional and State operational disaster emergency communications planning efforts.

Disaster Emergency Communications Programs FY 2011 Funding Summary

(\$ in 000s)

	<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Disaster Emergency Communications Management Office		915	683	1,598	6	6
Communications Integration Branch (CIB)		100	683	783	6	6
Reg. Emerg. Comm. Coord. Working Group (RECCWG)		410	0	410	0	0
Tactical Emergency Communications Branch		<u>15,919</u>	<u>29,704</u>	<u>45,623</u>	<u>261</u>	<u>242</u>
	Subtotal	17,344	31,070	48,414	273	254

- **Disaster Emergency Communications Management Office**
 DEC Management Office provides business operations and contract management to ensure all programs can effectively meet their missions of operations-based planning and coordination services affecting a broad array of response organizations. These services include support of the Regional Emergency Communications Coordination Working Groups (RECCWG), the Mobile Emergency Response Support (MERS) Program, and Regional and State operational disaster emergency communications planning efforts
- **Communications Integration Branch (CIB)**
 The Communications Integration Branch establishes plans to ensure that the DEC Division is prepared to respond and is well integrated with emergency responders during response and recovery efforts. This section of the DEC Division works to build communications policies that provide the scope and methods for using FEMA capabilities alongside partners and customers. The CIB planners work with the other DEC staff to determine how the actions of external partners might affect communications capabilities and will coordinate plans with external emergency communications providers to build a comprehensive communications support structure.
- **Regional Emergency Communications Coordination Working Group (RECCWG) National Program Oversight**
 As defined in the Title XVIII of the Department of Homeland Security Appropriations Act of 2007, RECCWGs assess emergency communications capabilities within their respective FEMA Regions; facilitates disaster preparedness through the promotion of multi-jurisdictional and multi-agency emergency communications networks; and ensures activities are coordinated with all emergency communications stakeholders within the FEMA Region.

- **Tactical Emergency Communications Branch (TECB)**
The TECB and MERS provide technical influence and oversight for the Response Directorate's emergency communications capability to include fixed, transportable, and mobile equipment and systems. Building on appropriate standards recommended in the National Emergency Communications Plan (NECP) and standards bodies, the TECB establishes emergency communications technical standards to build equipment standardization and system interoperability among the tactical/technical components of DEC Division's capability within and outside the Response Directorate.
- **FY 2009 Accomplishments:**
 - Established all 10 mandated Regional Emergency Communications Coordination Working Groups (RECCWG) that consists of Federal, State, and local representatives, and other non-government agencies to address interoperable emergency communication concerns.
 - Developed 27 State, 15 Emergency Support Functions, and 4 regional emergency communications plans that allow FEMA to be better prepared to preposition and deploy communications resources during catastrophic incidents.
 - Developed 11 Pre-scripted Mission Assignments with the Federal Communications Commission (FCC), National Communications System (NCS), United States Coast Guard (USCG), Department of Defense (DOD), and United States Forest Service (USFS) to facilitate rapid response for communications requirements.
- **FY 2010 Planned Accomplishments:**
 - Develop a communications coordination framework for FEMA Headquarters
 - Develop an effective command and control communications framework for the Administrator and Regional Administrators
 - Support the coordination and delivery of secure communications solutions to headquarters and the Regions
 - Work with States to enhance State and regional emergency communications plans
- **FY 2011 Planned Accomplishments:**
 - Optimize processes and systems to facilitate integration and coordination and improve interaction between the operational components.
 - Enhance integration among the operational components of the Department, using standardized processes that support a unified DHS/FEMA mission.
 - Establish an additional, geographically remote, alternate operations center (FAOC) and complete a robust training program for the center.

- Establish a secure conferencing system capability to support DHS senior leader discussions at the classified level.
- **Business Management Division**
The Business Management Division was established to support three major areas of the Response Directorate: Facilities, Assets, and Contracts Management; Human Resources Management; and Financial Management.

Business Management Programs FY 2011 Funding Summary

(\$ in 000s)

	<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Facilities, Assets, and Contracts Management		943	910	1,853	8	7
Human Resources Management		67	797	864	7	7
Financial Management Branch		<u>1,957</u>	<u>1,024</u>	<u>2,981</u>	<u>9</u>	<u>8</u>
	Subtotal	2,967	2,731	5,698	24	22

- **Facilities, Assets, and Contracts Management Branch**
Facilities, Assets, and Contracts Management Branch (FACMB) provides contract oversight for the Response Directorate, develops and manages pre-scripted Mission assignments, surveys and manages space and moves for all full-time employees (including CORE, Contractor, and PFT), and centrally manages the purchase of equipment and supplies.
- **Human Resources Management Branch**
Human Resources Management Branch serves as the Response Directorate representative for the Human Capital Division in regards to all HR-related issues to include: time and attendance, hiring initiatives, position description and development, and HR policy and procedure advisement.
- **Financial Management Branch**
The Financial Management Branch processes actions such as, program funds transfers, fund allocations, travel obligations, and budget formulation. FMB ensures that actions are completed successfully in accordance with the Response Directorate's mission and core capabilities.

C) Logistics Directorate (formerly Logistics Management Directorate):

The mission of the Logistics Directorate (LD) is to effectively plan, manage and sustain national logistics response and recovery operations, in support of domestic emergencies and special events – to serve as the National Logistics Coordinator (NLC). LD is organized around four core competencies: Logistics Operations; Logistics Plans and Exercises; Distribution Management; and Property Management. LD’s capabilities include the management of resources such as the logistics DAE cadre, supplies, services and equipment needed to respond to an all-hazards event. Many of the commodities purchased for a disaster, as well as the contracts which help FEMA stand ready to support disaster, are funded in the Disaster Relief Fund appropriation (Fund 6).

Logistics Programs FY 2011 Funding Summary

(\$ in 000s)

<u>Activity</u>	<u>Program</u>	<u>S & B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Logistics Management M&A	426	3,496	3,922	27	25
Plans and Exercises	459	1,981	2,440	16	15
Distribution Management	561	9,297	9,858	108	100
Property Management	1,865	3,175	5,040	32	30
Logistics Transformation	5,597	588	6,185	4	4
Business Management	1,225	1,866	3,091	16	15
Operation Activities	<u>1,357</u>	<u>4,626</u>	<u>5,983</u>	<u>51</u>	<u>47</u>
Subtotal	11,490	25,029	36,519	254	236

- **Logistics Management M&A (Office of Assistant Administrator)**
Effectively plans, manages and sustains the National logistics response and recovery operations in support of domestic emergencies and special events – to act as the National Logistics Coordinator (NLC) or Single Logistics Integrator for National incident support. The main activities funded under the Office of Assistant Administrator are establishing National emergency procedures and fostering transparency through collaboration, coordination and technology enhancements to expand Region and State level logistics capabilities.
- **FY 2009 Accomplishments:**
 - Developed reconciliation processes and procedures for inventories of Initial Response Resource (IRR) for commodities which resulted in achieving an average rate of 95% or better.
- **FY 2010 Planned Accomplishments:**
 - Establish an agency-wide Single Point Ordering process, directive and interim tracking system to support disaster response and recovery field operations. This web-based application will be used to request supplies, equipment, services or commodities to include visibility of

the status or location of all requests and orders from the point of inception through the final delivery to the end user.

- **FY 2011 Planned Accomplishments:**

- Implement FEMA's Single Point Ordering process and tracking system to provide support for disaster response and recovery field operations.
- Continue implementing the Logistics Calculator Assessment Tool within the regions to build upon expertise gained and continue building towards States being self-sustaining in disaster planning.

- **Logistics Operations**

Manages and executes national logistics command and coordination, tracking and reporting for all-hazards operations utilizing the National Logistics Coordinator concept. The division operates the Logistics Management Center (LMC), which serves as the central reporting element for the National Response Coordination Center (NRCC) on all logistical operational activities and actions. Logistics Operations manages the storage, maintenance and deployment of Temporary Housing Units (THUs) and Mobile Disaster Recovery Centers (MDRCs) to ensure we are adequately prepared for disaster response. The main activities funded under the Logistics Operations Division are travel for staff to the various THU sites and field offices throughout the country, and management and oversight of the THU and MDRC Program to ensure we are adequately prepared to ship temporary housing units and deploy MDRCs during a disaster. Other activities include daily operations and management of the LMC, which is logistics 24/7 responses, and coordination center, and training and supplies for Logistics Operations PFT staff.

- **FY 2009 Accomplishments:**

- Completed development of virtual Point of Distribution (POD) course for POD operations; 5000 State responders and volunteer organizations have completed training

- **FY 2010 Planned Accomplishments:**

- Dispose of the majority of excess temporary housing units (THUs) and close up to eight THU sites.

- **FY 2011 Planned Accomplishments:**

- Close and deactivate remaining THU storage sites according to the Logistics Operations Division schedule.

- **Plans and Exercises**

Develops and determines strategic baseline planning criteria to provide cohesive and synchronized logistics plans and exercises to achieve both short and long term readiness requirements. The Division ensures deliberate planning efforts and

coordinated CONOPS, OPLANS and Interagency Plans, resulting in repeatable processes that optimize National logistics response and recovery operations in support of domestic emergencies and special events. Plans and Exercises Division is responsible for operations analysis, lessons learned and adaptive planning during incident support. The main activities funded under the Plans and Exercises Division include travel and training related to exercise development and execution, senior staff visits to Regional operations offices and plans meetings on initiatives such as RPAT, RISC, JFO and LMRS. Other activities include training and supplies for Plans and Exercises PFT staff.

- **FY 2009 Accomplishments:**

- Created collaborative planning and operational National Response Framework (NRF) partnerships with other Federal agencies.

- **FY 2010 Planned Accomplishments:**

- In collaboration with EMI and Joint Staff (J4 Logistics)/Army Logistics University (ALU), develop and conduct a 4 ½ day Interagency Logistics Course. This course will primarily introduce key logistics elements to FEMA's disaster logistics mission and exchange of best business practices applicable to disaster operations.

- **FY 2011 Planned Accomplishments:**

- Maintain LD Regional Planning Assistance Teams (RPAT) to assist and support Regional logistics representatives in planning and improving regional logistics plans and refine the Resource Requirements Calculator (RRC) as a support program to RPAT to assist Regional logistics representatives and further support major regional logistics operations.

- **Distribution Management**

Manages a comprehensive supply chain, warehouse, and transportation operation using a strategic alliance of FEMA partner agencies to distribute supplies, equipment and services rapidly, effectively and efficiently to support emergencies. The main activities funded under the Distribution Management Division include travel for staff to the eight distribution centers located throughout the county and overseas, as well as management and oversight of the warehouses and the transportation services to ensure we are adequately prepared to rapidly ship initial response resource (IRR) commodities during a disaster. Other activities include training and supplies for Distribution Management PFT staff.

- **FY 2009 Accomplishments:**

- Effectively and efficiently provided life sustaining commodities such as meals, water, cots, blankets, and Hygiene Kits to disaster survivors

of Hurricane Gustav, the Atlanta flooding and the American Samoa tsunami.

- **FY 2010 Planned Accomplishments:**
 - Transition to a new prototype distribution center (DC) in Atlanta and complete market survey for the selection for the New DC Caribbean.
- **FY 2011 Planned Accomplishments:**
 - Transform LD's distribution centers by completing facility negotiation and build-out, updating standard operating procedures at DCs, facilitating physical facility moves, updating metrics analysis improvement, piloting full operating capability and rolling out a DC model location.
- **Property Management**

Provides management oversight, internal controls, and technical reviews in the areas of property accountability for the Temporary Housing Unit program and the Distribution Centers' property and equipment. The division assists LD's Distribution Management and Logistics Operations Divisions in the reutilization, donation and/or disposal of excess disaster supplies. The main activities funded under the Property Management Division include travel for staff to the various sites (both THU and Distribution Centers) to conduct inventory reviews, as well as supplies and training for PFT staff.
- **FY 2009 Accomplishments:**
 - Supported disasters in Kentucky, Arkansas, Missouri, Oklahoma, North Dakota and other locations in Regions I, IV, V, VI, VII and VIII during the winter Ice Storms and Floods
- **FY 2010 Planned Accomplishments:**
 - Completed rollout of the integrated Logistics Supply Chain Management System (LSCMS) throughout the Regional and Distribution network.
- **FY 2011 Planned Accomplishments:**
 - Lead efforts to integrate the five main elements of supply chain functionality – request, order, fulfillment, shipping and receiving through the Logistics Supply Chain Management System (LSCMS). LSCMS is the supply chain execution and visibility solution for the FEMA Logistics Directorate to provide operational readiness inventory information for the Directorate through near real time system usage by staff, reporting functionality and the ability to provide In Transit Visibility of shipments and assets as they move through the supply chain.

- **Logistics Transformation**

Coordinates and manages emerging transformation initiatives and concepts such as the National Logistics Coordinator (NLC) Concept, Key Readiness Contracts and the Demonstration Program: Logistics Capability Calculator (LCC), as well as Logistics Management Transformation Initiatives (LMTI). LD is the Single Integrator for Strategic Logistics Support and coordinates all domestic emergency logistics planning, management and sustainment capabilities through the NLC Concept. Key Readiness Contracts and Interagency Agreements (IAA) provide an enhanced logistics capability including supplies and services, transportation and asset viability. The Demonstration Program: Logistics Capability Calculator (LCC) is a congressionally-directed program to form innovative public and private logistical partnerships to improve readiness, increase response capacity and maximize the management and impact of homeland security resources. The demonstration program is directed at increasing State logistics planning and execution capabilities and collaboration with the Federal government. The concept addresses the necessary systems (both automated and manual processes) needed to facilitate critical logistics information flow and mutual visibility among Federal, State, Tribal and local governments, EMAC, NGOs and the private sector. Logistics Management Transformation Initiatives (LMTI) is the overarching initiative to help transform LD into a more effective and responsive organization with improved readiness and response capability. LMTI has conducted a comprehensive analysis and assessment of current logistics core competencies and is now supporting numerous transformational initiatives within LD, while ensuring fiscal prudence, accountability and supporting the NLC concept. The main activities funded under the Logistics Transformation Division include contract services in support of Logistics Transformation initiatives, travel to continue demonstration of the LCAT/LCC through March 2010, and travel, training and supplies for PFT staff.

- **Business Management**

Provides comprehensive Logistics-related fiscal, personnel, administrative, and coordination services to achieve optimum mission requirements and capabilities. The Business Management Division consists of the Human Capital and Training Branch, and the Budget, Programs and Analysis Branch. Functions of Business Management include managing and integrating human resources management and strategies into the overall strategic objectives for LD, advising Directorate leadership on human capital requirements and professional training development for operational mission and programs and providing comprehensive financial management services to include budget formulation and oversight and financial document tracking for five divisions and ten regions. The division also manages the headquarters DAE Logistics cadre, which consists of over 500 DAEs, and serves as the National cadre manager for ten regions. In this capacity, the division ensures consistent policies are in place for management and training of DAEs, including oversight and implementation of FEMA's credentialing program. The main activities funded under the Business Management Division include

centralized supply purchases for the entire directorate, payment of Blackberry and copier services for the entire directorate and training and travel for PFT staff.

- **Logistics Regional Operation Activities**

The main activities funded under Logistics Regional Operations include travel for regional logistics PFT staff to attend various conferences and seminars as directed by headquarters, travel throughout regions to conduct planning for disaster events as required by headquarters, and provide IT equipment and supplies for PFT logistics staff.

Management and Administration funds for Disaster Logistics are complemented by disaster readiness support through the disaster-specific resources from the Disaster Relief Fund.

- **D) Office of Federal Coordinating Officer (FCO) Operations (formerly part of Office of Administrator)**

The Stafford Act directs a Federal Coordinating Officer (FCO) to do the following; 1) make an initial appraisal of the types of relief most urgently needed; 2) establish field offices as the FCO deems necessary; 3) coordinate the administration of relief from other organizations, and; 4) take other such action as directed by the President.

Office of the Federal Coordinating Office Programs FY 2011 Funding Summary
(\$ in 000s)

<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>FTP</u>	<u>FTE</u>
FCO Programs	50	0	50	0	0

Upon declaration of a major disaster or emergency, the FEMA Administrator appoints an FCO who is charged with initiating all actions necessary to assure that Federal assistance is provided in accordance with the declaration, applicable laws, regulations and the FEMA-State agreement. This may include designation as Disaster Recovery Manager, exercising all authority to direct DRF funding in response to a disaster.

- **E) Federal Insurance and Mitigation Directorate (formerly Mitigation Directorate):**

The Mitigation Directorate creates safer communities by reducing loss of life and property, and preventing potential disaster losses. This is accomplished through three core competencies and one support activity: (1) Analyzing Risk through identification and assessment; (2) Reducing Risk through land use, building codes, and the Hazard Mitigation Grant Program; (3) Environmental Planning and Historic Preservation; and, (4) Regional and Disaster Support activity.

These core competencies and support activity work jointly to create safer communities by reducing the likelihood of future losses, enabling individuals to recover more rapidly from floods and other disasters, and minimizing the financial

impact on the U.S. Treasury, States, local and Tribal communities in the event of a disaster.

Mitigation Programs FY 2011 Funding Summary

(\$ in 000s)

<u>Activity</u>	<u>Program</u>	<u>S & B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Earthquake	8,977	1,274	10,251	11	10
National Hurricane	2,156	459	2,615	4	4
Dam Safety	10,281	436	10,717	3	3
Mitigation M&A & Building Science	2,042	9,023	11,065	76	71
Environmental & Historic Preservation	1,511	2,618	4,129	21	20
Disaster Management Support	<u>280</u>	<u>8,155</u>	<u>8,435</u>	<u>75</u>	<u>70</u>
Subtotal	25,247	21,965	47,212	190	178

- **Analyzing Risk**

- **National Hurricane Program:** Established in 1985, the National Hurricane Program (NHP) works to improve the Nation’s overall hurricane resilience by optimizing the performance of the comprehensive emergency management system for the risks of hurricanes and tropical cyclones. The NHP has 2 principal areas of focus. First, it builds emergency management capability by facilitating or advocating programs, policies, procedures and general dialog both horizontally across the functional areas of emergency management – preparedness, protection, response, recovery and mitigation – as well as vertically through the levels of government and the private sector. Second, the NHP provides technical information, tools, and products that assist State and local governments in developing effective hurricane emergency management plans. The program is a multi-agency partnership, involving FEMA, the National Oceanic & Atmospheric Association (NOAA), the National Weather Service (NWS), the U.S. Department of Transportation (DOT), the U.S. Army Corps of Engineers (USACE), and other Federal agencies.

The NHP conducts hurricane evacuation studies that guide the decision-making process for protecting the public when a hurricane threatens an area. These studies help State and local communities establish population protection plans by determining the probable effects of a hurricane, analyzing transportation systems, predicting public response to the threat and advisories, identifying appropriate shelters, and providing clearance times for safely sheltering or evacuating the threatened public. NHP uses output from the Sea, Lake, and Overland Surge from Hurricanes (SLOSH) when conducting the hurricane evacuation studies. This computerized model developed by the Federal Emergency Management Agency (FEMA), United States Army Corps of Engineers (USACE), and the National Weather Service (NWS) is able to

estimate storm surge depths resulting from historical, hypothetical, or predicted hurricanes by taking into account a storm's pressure, size, forward speed, forecast track, wind speeds, and topographical data.

- **FY 2009 Accomplishments:**
 - Secured resource support for Post Storm Assessments in Texas, Louisiana, Mississippi and Alabama of the effects of Hurricanes Ike and Gustav. Preliminary reports will be available for these studies before the 2010 hurricane season.
 - Completed the initial update of HURREVAC software, and released a beta version of HURREVAC 2010 and developed (in partnership with the USACE) the HURRIVAC 2010 Conversion Plan.
 - Provided hurricane preparedness training to over 75 local emergency management officials at the National Hurricane Center.
 - Hosted the annual Interagency Coordinating Committee of Hurricanes (ICCOH) and served as facilitator for the Emergency Support Function Leadership Group (ESFLG) Hurricane Tabletop Exercise and Workshop.

- **FY 2010 Planned Accomplishments:**
 - Complete Post-Storm Assessments for Hurricanes Ike and Gustav: These assessments are of the planning assumptions (and underlying methodologies) of the Hurricane Evacuation Studies (HES) for the areas affected by the storms – hazard, vulnerability, behavioral, transportation and sheltering. The results of these studies should be available to update the HES products for the study areas prior to the 2010 hurricane season, and will help update or refine HES methodology for future studies starting in FY 2010.
 - Complete hurricane evacuation studies that affect coastal counties in four States. Study updates are driven by improved understanding of the wind, rain, or surge hazard from hurricane events, population growth in the affected area, significant improvements to the transportation system, and availability of shelters. These studies provide technical information that is used to safely evacuate those coastal populations that may be impacted by potential storm surge inundation from Category 1-5 hurricanes.
 - Work with the National Emergency Management Association to establish a Hurricane Task Force that will support broader “Local, State, Tribal, and Federal Preparedness Task Force” activities.
 - Launch a national non-commercial service announcement (NCSA) hurricane preparedness/awareness campaign in partnership with the Association of State Broadcasters Associations.

- **FY 2011 Planned Accomplishments:**
 - Complete hurricane evacuation studies that affect coastal counties in four additional States based on the need to update hurricane evacuation studies and capture changes in population since the last study. These studies provide technical information that is used to safely evacuate those coastal populations that may be impacted by potential storm surge inundation from Category 1-5 hurricanes.

- **National Dam Safety Program:**

As the lead federal agency for the National Dam Safety Program (NDSP), FEMA is responsible for coordinating efforts to reduce risks to life and property from dam failure throughout the United States. The National Inventory of Dams currently lists approximately 79,500 dams in the United States. Of this, 5 percent are Federally owned, 5 percent are State owned, 20 percent are owned by local government, 2 percent are owned by public utilities and the remaining are privately held. The NDSP is a collaborative effort among States, Federal agencies, private sector, and other stakeholders to secure the safety of these dams through research, training, and public awareness. The NDSP provides financial assistance to States' dam safety programs to support dam safety activities including: inspecting and monitoring dams; training dam safety staff and inspectors; data analysis and research to support the improvement of State Dam Safety Programs; preparation of Emergency Action Plans (EAPs); and public awareness campaigns on the risks associated with dam failure.

- **FY 2009 Accomplishments:**
 - Worked with States to increase their development of Emergency Action Plans with funding provided through the FY 2008 Grant Assistance Program.
 - Established an Interagency EAP Work Group to increase EAP development nationwide.
 - Initiated a unique research project to evaluate the potential impact of increasing public awareness for those who are downstream of high hazard dams and the subsequent impact on EAP development within the States. The increased FY 2009 program funding level enabled State programs to make significant progress in EAP development, increase the number of dam inspections, and support the initiation of State specific public awareness and outreach activities.

- **FY 2010 Planned Accomplishments:**
 - Dam Incident Emergency Interoperability: This collaborative effort between FEMA and NOAA to develop a prototypical operating environment to integrate services and data sharing across Federal agencies. This will improve the ability of the National Weather Service (NWS) to provide real time dam related flooding information to State and local emergency.
 - Development of standard and consistent inundation maps: FEMA will prepare guidelines on the development of standard and consistent inundation maps that will strengthen a key component of the EAP process that impacts the ability of local governments to mitigate and prepare for a dam failure.
 - Dam Hazard Consequences Assessment Pilot Studies: FEMA will fund one pilot study to assess the consequences of a community vulnerable to potential hazards associated with dam failure. The results from this study will be used to develop guidance to help communities execute a dam failure consequence assessment that will enhance their ability to prepare for and mitigate the impact of dam failure. This will ensure a much more involved and prepared public and community at risk from an incident at a dam.
 - Develop a public awareness & outreach strategy and products to support outreach and risk communication to the public who live within the failure inundation area downstream of the dam.
 - Fund two additional Dam Hazard Consequences Assessment Pilot Studies that will be compiled and analyzed with the FY 2010 study for inclusion in a FEMA publication that captures lessons learned, best practices and provides recommendations for a process a community can follow to effectively assess the impacts of dam incidents on life, property and the environment.

- **FY 2011 Planned Accomplishments:**
 - Provide dam safety assistance grants to the States to support the development of EAPs, dam inspections, condition assessments and public awareness and outreach activities.
 - Increase the number of high hazard potential dams that have current EAPs, significantly improving local communities' ability to respond to dam failure and reduce the risks to life and property.
 - Continue to invest in training activities for State dam safety and emergency management officials and expand the use of technologies to increase the public's awareness of and preparedness for the risk of dam failure or operating malfunction.
 - Improve dam safety data collection process and monitoring of State dam safety programs.
 - Develop and implement strategies to uniformly assess the condition of dams in the Nation.

- **Reducing Risk**

- **National Earthquake Hazards Reduction Program**

- Established by Congress in 1977, the National Earthquake Hazards Reduction Program (NEHRP) works to reduce risks to life and property resulting from earthquakes. NEHRP is a collaborative effort among FEMA, the National Institute of Standards and Technology (NIST), the National Science Foundation (NSF), and the United States Geological Survey (USGS). The NEHRP agencies work together to reduce the Nation's vulnerability to earthquakes by researching the causes and effects of earthquakes and using the results to produce technical guidance for developing earthquake resistant design and construction standards. NEHRP also develops techniques to educate the public about earthquake hazards and mitigation.

- FEMA manages initiatives that reduce the risk of loss of life and damage to buildings and other structures as a result of earthquakes. Approximately 50 percent of the requested funds will be used to translate research into technical guidance publications and best practices on seismic safety, building design and construction, building codes and standards, and reducing economic losses. In addition, \$2 million will be used to assist State and local governments in building capabilities for determining potential damage and reducing the effects of earthquakes before they occur. The remaining funds will support FEMA's work with National codes and standards organizations to develop and improve seismic building standards. FEMA will also continue its efforts to educate the public, design professionals, contractors, building regulators and decision makers at all levels about the risks of earthquakes and how to reduce those risks.

- **FY 2009 Accomplishments:**

- Completed the 2009 edition of the NEHRP Recommended Provisions, which are the basis of the earthquake design requirements in the Nation's model building codes.
 - Implemented Quake Smart, an initiative to raise awareness of earthquake risks within the private sector in areas of high-seismic risk. Conducted four business forums in California, Nevada, Indiana and Missouri.
 - Conducted four business forums in California, Nevada, Indiana, Missouri, areas of high-seismic risk, to raise awareness of earthquake risks and encourage mitigation and preparedness in the business community.
 - Re-established a program of State Assistance for 29 States and Territories to support and enhance their State Earthquake Hazard Mitigation Programs related to planning, assessment, and support for building code adoption and enforcement.

- **FY 2010 Planned Accomplishments:**
 - Develop national-level business partnerships as part of an effort to help businesses take action to mitigate earthquake risks to their business, customers and employees through outreach and education campaigns.
 - Expand the Quake Smart business awareness initiative to identify a national or regional corporate partner that will join with FEMA in developing a business mitigation program. This partnership will be a significant step forward from the awareness and outreach activity going on as part of Quake Smart, an initiative that promotes business awareness of the earthquake risk and promotes mitigation actions for businesses in areas of high-seismic risk. The goal of Quake Smart is for these businesses to know their risks, make a plan to address those risks and take action to reduce them.
 - Conduct a series of business forums in selected communities in areas of high-seismic risk to raise awareness of earthquake risks and encourage mitigation and preparedness in the business community.

- **FY 2011 Planned Accomplishments:**
 - Complete the first phase of a comprehensive methodology for performance-based seismic design for new and existing buildings as directed in the National Earthquake Hazards Reduction Program (NEHRP) Reauthorization (P.L. 108-360).
 - Initiate the development of performance-based seismic design criteria. These design criteria will allow building owners, regulators and designers to select the level of seismic performance they can expect from their building based on their level of seismic hazard, improving the performance of their building above code minimum and reducing future earthquake losses. The first phase of this project is the development of a Performance Assessment Methodology, which will allow users to assess the performance of their new or existing building.

- **Environmental Planning and Historic Preservation**

The Office of Environmental Planning and Historic Preservation (OEHP) uses funds to manage FEMA's compliance with all environmental planning and historic preservation laws, executive orders and regulations, across all FEMA programs. Specifically, OEHP is the functional authority on FEMA's environmental and historical preservation (EHP) compliance, and must manage all EHP policy, legal sufficiency, systems, human capital (including the EHP Disaster Workforce), outreach and performance management aspects of these requirements. The mission of the environmental planning and historic preservation program is to help communities reduce the impact that disasters and emergency management decisions and operations have on the Nation's natural and cultural resources.

FEMA's Environmental and Historic Preservation Strategic Plan was developed to strategically address and support the substantial growth in both disaster declarations and overall program growth. In support of the strategic plan, OEHP has focused on performance metrics in two key areas: timeliness of EHP non-disaster project reviews and disaster workforce readiness. The metrics will be expanded to include reliability which consists of legal sufficiency, quality of EHP compliance and impacts on EHP resources, and cost effectiveness. OEHP will use the results of regular compliance audits and assessments to measure this performance.

- **FY 2009 Planned Accomplishments:**

- Completed and implemented environmental management directive, guidance and training for the disaster workforce.
- Completed revisions to its outreach strategy to clearly define and communicate the roles, responsibilities and expectations of its partners in the OEHP compliance process. The outreach strategy establishes an enhanced means of communication, critical issues and talking points to facilitate regular communication and interaction on EHP issues.
- Formed a national level EHP Advisory Committee, which will serve to provide senior-level program management participation and direction in the implementation of the EHP strategic objectives across FEMA.

- **FY 2010 Planned Accomplishments:**

- Development of an EHP Training Strategy: FEMA will build from the existing capabilities and staffing level Gap Analysis to provide new and updated training to OEHP staff and others required to have EHP competencies including Agency officials, Program managers and staff, and FEMA partners. The Strategy will be developed in FY 2010 for implementation in FY 2011.
- Interfacing the Environmental-Historic Preservation Management System (EMIS): The external component of EMIS will be interfaced with FEMA program systems to improve system response time, data volume, and expand the number of concurrent users.
- Implementing Section 106 of the National Historic Preservation Act: OEHP work with the President's Advisory Council on Historic Preservation, the National Conference of State Historic Preservation Officers, and Tribal governments and organizations to develop Nation-wide approaches for review of Agency actions under Section 106 of the National Historic Preservation Act. This is a critical effort toward standardizing and streamlining the Section 106 review process and consultation and documentation requirements for typical Agency actions and grant-funded projects.

- **FY 2011 Planned Accomplishments:**
 - Continue to develop policies, programmatic agreements and protocols to simplify and standardize the EHP compliance process and facilitate compliance. OEHP will implement its strategy to strengthen EHP capabilities with State, Tribal, and territory partners.
- **Regional and Disaster Support**
 The Regional and Disaster Support (RDS) Branch of Mitigation incorporates mitigation and insurance opportunities into catastrophic disaster planning, strengthens regions, standardizes tasks carried out in the Joint Field Offices (JFO). The main goals of Regional & Disaster Support are:

1. Equip the Hazard Mitigation Disaster Workforce with standards, training and job aides to consistently deliver mitigation disaster assistance.
2. Coordinate Mitigation disaster operations, national disaster policy analysis, and crosscutting program and administrative issues in support of the Regions and the Disaster Field organization.
3. Manage the Mitigation Disaster Workforce.

RDS works to ensure a prepared disaster workforce by providing materials used to hire and train personnel. RDS develops performance indicators, prepares qualifying plans for disaster positions, produces job aides, and creates curriculum plans and training courses. Systems integration, information sharing across JFOs, and disaster planning for mitigation operations will increase standardization and maximize the potential of rebuilding stronger and safer communities.

- **FY 2009 Accomplishments:**
 - Established a direct communication system with the Hazard Mitigation (HM) Cadre that allow headquarters to disseminate information that assist members with administrative issues, keeps them up to date on program policy, guidance and training and provides a venue to share best practices for the field.
 - Conducted monthly Disaster Workforce Group meetings to stay abreast of staffing and analyze staffing capacity and readiness. The workforce staffing analysis is coordinated with regional cadre managers to review staff recruitment and retention efforts which are reported quarterly.
 - Completed the update of the Mitigation Field Operations Guide and the Hazard Mitigation Task Books which describes what each of the 25 Mitigation disaster position is required to do in the field.
- **FY 2010 Planned Accomplishments:**
 - Develop the Mitigation Advisor Support Tool (MAST). This automated system will provide mitigation technical recommendations to disaster applicants, increase customer service, integrate program information, and track applicant interest.

- Develop Credentialing Plans: These plans will define the requirements and qualifications specific to the 26 Hazard Mitigation disaster positions and aligned with the skill levels within the HM cadre.
- **FY 2011 Planned Accomplishments:**
 - Use the completed credentialing plans to develop and define the roles and responsibilities of the Disaster Operations positions in the Regions and implement the Field Operations Guide in the Joint Field Offices.
 - Expand the Mitigation Advisory Support Tool (MAST) to include evaluation of outreach efforts in order to document and replicate successes and identify areas for improvement with the overall goal of increasing, implementation of mitigation measures in the post-disaster recovery and rebuilding.
- **Management and Other Activities**
Resources includes Salaries & benefits and management oversight activities

- **F) National Preparedness and Protection Programs – National Continuity Programs**

National Continuity Programs FY 2011 Funding Summary
(\$ in 000s)

	<u>Activity Program</u>	<u>S&B</u>	<u>Total</u>	<u>FTP</u>	<u>FTE</u>
Management & Administration	21,290	1,685	3,369	12	11
Continuity Of Government	12,894	2,767	15,661	21	20
Continuity Of Operations	5,472	3,477	8,949	29	27
Contingency Programs	17,942	2,876	20,818	23	21
Mount Weather Capital Improvement	11,991	0	11,991	0	0
Integrated Public Alert Warning System	<u>16,800</u>	<u>1,431</u>	<u>18,231</u>	<u>11</u>	<u>10</u>
Subtotal	86,389	12,236	98,625	96	89

- **Continuity Planning and Operations**

FEMA leads the effort to coordinate Federal Executive Branch continuity programs to ensure performance of National Essential Functions during a catastrophic emergency. Inherent in FEMA’s role as the lead agent for Executive Branch continuity is the responsibility to formulate guidance for agencies to use in developing viable, executable continuity plans; facilitate interagency coordination; and monitor and assess the status of individual and collective department and agency continuity capabilities across the Executive Branch.

The NCP provides plans, procedures, guidance, training, and evaluation resources to ensure the continuation of the essential functions of the Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA), and Federal Executive Branch departments and agencies in the event key facilities are threatened or become unusable, requiring the relocation of selected personnel and functions. By ensuring these essential government functions continue under all hazard conditions, the program preserves the American way of life.

- **FY 2009 Accomplishments:**

- Performed 10 Regional Continuity Program Assessments to review the region’s ability to activate, mobilize, and perform primary mission essential functions.
- Conducted significant continuity training outreach. This effort included 121 Continuity resident and independent study courses to 42,875 in one year to continuity professionals across the country, including the Determined Accord Tabletop Exercise, which was updated to focus on H1N1 pandemic characteristics. This effort included conducting 42 tabletop exercises across the Nation.
- Completed 39 major continuity exercises (i.e. Eagle Horizon 2009; Determined Sentry 2009 (telework); Vigilant Accord 2009 (devolution). With the onset of the H1N1 outbreak, the Determined Accord (pandemic

influenza) tabletop exercise materials were modified to reflect the current virus and provided to the Federal Executive Branch as the primary training tool for pandemic continuity planning/preparation.

- Developed a new Concept of Operations (CONOPS) to reflect the October 2008 revision to the NSPD-51/HSPD-20. The new CONOPS provides standardized daily operational processes, and requires participating departments and agencies to generate reports that assess the Federal Executive Branch (FEB)'s continuity readiness posture.
- **FY 2010 Planned Accomplishments:**
 - Conduct continuity training outreach to Federal, State, territorial, Tribal, and local government jurisdictions by delivering more than 125 Continuity resident and independent study courses to more than 23,500 professionals across the country. Coordinate FEMA's Continuity of Operations Strategic Planning Conference for States, Territories, and the District of Columbia. This second annual conference will be held March 16-18, 2010, in Galveston, Texas.
 - Develop, coordinate, and conduct a Devolution exercise, as well as, Eagle Horizon 2010 national continuity exercise. Conduct Federal Department and Agency External Assessments of those who participate in Eagle Horizon 2010. This effort is projected to include as many as 62 D/As and over 10,000 participants.
 - Develop virtual or independent study courses for our Devolution, Building Design for Homeland Security, and Planners Workshop courses. By conducting these virtual courses, a greater number of Federal and Non-Federal employees will be provided access to our continuity-based training materials.
 - Finalize Operation Rendezvous (OPRON) CONOPS, which describes the relocation and near real-time geospatial tracking of FEMA officials from the National Capital Region (NCR) to emergency location sites in the event of a disaster. Conduct a series of proof-of-concept studies and exercises of OPRON to examine the effectiveness in communications, coordination, asset tracking functions, and other processes and procedures outlined in the CONOPS. Identify risks and develop mitigation strategies.
- **FY 2011 Planned Accomplishments:**
 - Develop, coordinate, and conduct Eagle Horizon 11 interagency continuity exercise. Conduct Department and Agency Internal Continuity Assessments and FEMA Regional Continuity Assessments based on Continuity objectives included in the exercise.
 - Conduct continuity training outreach to Federal, State, territorial, Tribal, and local government jurisdictions and the private sector by delivering more than 130 Continuity resident and independent study courses to more than 24,000 continuity professionals across the country. (FEMA's March 2011 Continuity of Operations Strategic Planning Conference for States, Territories, and the District of Columbia. This third annual conference is planned for Miami, Florida.)

- Develop virtual or independent study courses all of our continuity-based courses. By continuing to increase the number of virtual courses offered, a greater number of Federal and Non-Federal employees will be provided access to our continuity-based training materials.
 - In conjunction with NCP COOP Division, institute recurring Operations-driven exercises (e.g., OPRON, reconstitution) to evaluate the effectiveness of existing plans to support the various Elements of a Viable Continuity Capability as defined in NSPD-51/HSPD-20.
- **Contingency Programs**
NCP operates and maintains contingency communications and applications designed to assist the Federal Executive Branch departments and agencies' in providing the status of their ability to perform their Priority Mission Essential Functions (PMEFs) in support of the National Essential Functions (NEFs). These resources (RRS, CLS, DACN) are used to conduct assessments and track/test capabilities at all times under all conditions, including natural disasters, man-made incidents, terrorism, and war. These resources will also ensure senior leadership within the Federal Executive Branch (FEB) communicate appropriate situational awareness of all FEB departments and agencies and their ability to perform essential functions.
- **FY 2009 Accomplishments:**
 - Integrated, exercised, and validated the status of the long haul National continuity communication systems during a joint National Level Exercise (NLE) and Department of Defense Interoperability Communications Exercise (DICE).
 - Initiated an upgrade program with the installation of approximately 21 percent of the long range continuity High Frequency (HF) radios systems with FEMA regions, State EOCs and MERS Detachments.
 - Completed the design and testing of the Readiness Reporting System for deployment in early 2010.
 - **FY 2010 Planned Accomplishments:**
 - Perform the installation of an additional 26 percent of the High Frequency (HF) radios systems with FEMA regions, State EOCs, and MERS Detachments.
 - Deploy the Readiness Reporting System to provide state of the art reporting and assessment of the FEB's departments and agencies ability to perform their essential functions.
 - Develop the baseline system for the Internet Protocol Locator system providing significant enhancements through the utilization of updated technology.
 - **FY 2011 Planned Accomplishments:**

- Perform the installation of an additional 26 percent of the High Frequency (HF) radios systems which should finish the update program in 2012.
 - Complete the development, testing, and fielding of the Internet Protocol Locator system and retire the legacy system.
 - Develop an enhanced web based version of the RRS with increased functionality in operational assessment and reporting.
- **Integrated Public Alert & Warning (IPAWS) Emergency Alert and Communication Functions**
 The IPAWS mission is to execute Executive Order 13407, issued on June 2006, which calls for “an effective, reliable, integrated, flexible, and comprehensive system to alert and warn the American people in situations of war, terrorist attack, natural disaster, or other hazards to public safety and well being.” IPAWS is America’s next-generation infrastructure of alert and warning networks expanding upon the traditional audio-only radio and television Emergency Alert System. IPAWS will provide one message over more media to more people before, during, and after a disaster and will ensure that under all conditions the President of the United States can alert and warn the American people. IPAWS will provide integrated services and capabilities to Federal, State and local authorities and enable them to alert and warn their respective communities via multiple communications methods. IPAWS will broaden the percentage of the United States population with resilient emergency alert coverage.
- **FY 2009 Accomplishments:**
 - Formalized Common Alerting Protocol (CAP) v1.2 IPAWS Profile through the Organization for the Advancement of Structured Information Standards and initiated development of the CAP to Emergency Alert System Implementation Guide.
 - Established Conformity Assessment Program to evaluate vendor equipment compliance to CAP v1.2 protocol and the CAP IPAWS profile.
 - Jointly established, with the Alliance for Telecommunications Industry Solutions and Telecommunications Alliance the Commercial Mobile Alerting System interface specifications.
 - **FY 2010 Planned Accomplishments:**
 - Officially adopt the Common Alerting Protocol (CAP).
 - Begin development of the IPAWS Aggregator and Gateway to disseminate alert and warning messages.
 - Commence construction of new Primary Entry Point expansion stations.
 - **FY 2011 Planned Accomplishments:**
 - Deploy initial operational capability of IPAWS Aggregator and Gateway supporting Commercial Mobile Alerting System federal alert testing with cellular industry.

- Complete construction of Primary Entry Point expansion stations facilitating direct alert and warning coverage to 90 percent of the United States population.
 - Incorporate exercise of the National Emergency Alert System into the National Exercise Program
- **Mount Weather Emergency Operations Center (MWEOC)**
The MWEOC facility, located in Mount Weather, VA, provides the infrastructure to support COOP, Incident Management, and all hazards activities for multiple Executive Branch Departments and agencies, to include the DHS/FEMA HQ COOP site. In addition, it provides operational space for FEMA Emergency Relocation Group (ERG) members to perform their essential functions. ERG members serve as the FEMA HQ emergency personnel that are responsible for performing the Agency's mission essential function.
- **FY 2009 Accomplishments:**
 - Awarded the Social Security Administration COOP Building design/construct contract.
 - Began Area A power plant, mechanical infrastructure, and several other classified projects.
 - Designed Health Unit.
 - **FY 2010 Planned Accomplishments:**
 - Complete Area A power plant, health unit, decontamination station, and mechanical infrastructure projects.
 - Begin design and construction of Multipurpose Building, Emergency Services Building, and Logistics Center.
 - Design Maintenance Building.
 - **FY 2011 Planned Accomplishments:**
 - Complete SSA COOP Building, Emergency Services Building, and Logistics Center
 - Complete bullet trap at shooting range.
 - Construct Maintenance Building
- **The MWEOC facility**
Resources include Salaries & benefits, corporate accounts and management oversight activities.

G) Administrator

- **Office of the Administrator**
The Administrator has the ultimate responsibility for providing the leadership and direction that enables FEMA to accomplish its mission, to support our citizens, and first responders to ensure that as a nation we work together to build, sustain,

and improve our capability to prepare for, protect against, respond to, recover from, and mitigate all hazards. The office includes

Office of the Administrator Programs FY 2011 Funding Summary

(\$ in 000s)

	<u>Activity</u>	<u>Program</u>	<u>S & B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Faith-Based and Community Initiatives		868	659	1,527	5	5
Law Enforcement Advisor		150	463	613	3	3
Office of the Executive Secretariat		979	478	1,457	4	4
	M & A	<u>737</u>	<u>3,024</u>	<u>3,761</u>	<u>21</u>	<u>20</u>
Administrator's Programs		2,734	4,624	7,358	33	32

- **DHS Center for Faith-Based and Community Initiatives (Center)**
 Established by Executive Order in March 2006. It is one of 12 such centers across the federal family, each relating to the White House Office of Faith Based and Neighborhood Partnerships. While the Center is located in FEMA, it works across the department’s components and with other Federal partners to foster and empower effective partnerships with faith-based and community organizations. In coordination with FEMA leadership and its relevant directorates, the Center communicates with its stakeholders about FEMA’s programs, essential functions, and activities. The Center provides staffing support to the NRCC, and through ongoing strategic communications, it ensures that faith-based and voluntary organizations can operate efficiently and effectively during a disaster. Through special studies and projects, the Center identifies areas where faith-based and community organizations who serve vulnerable populations can be strengthened so that they can provide more effective and coordinated activities in preparation, response, recovery, and mitigation of all hazards.
- **FY 2009 Accomplishments:**
 - The Center facilitated the inclusion of the Mid America Islamic Council into the Missouri Governor’s Faith-Based and Community Service Partnership for Disaster Recovery initiative.
 - The Center sponsored, with the HHS faith-based center, a region-wide one-day preparedness workshop in San Francisco that was attended by 120 people. The Center promoted the use of faith-based voluntary organizations to rebuild towns and native villages in Alaska devastated by the Yukon River spring floods and ice jam disaster, saving tax payers millions of dollars and contributing to long-term community recovery.
 - The Center initiated the involvement of 35 State and local government liaisons with the White House Office of Faith-Based and Neighborhood Partnerships via a one-day symposium in Washington, D.C.

- The Center reached and educated more than 3,000 faith-based and community groups on H1N1 preventative practices through distribution of electronic and hard copies of the HHS *H1N1 Guide for Community and Faith-Based Groups*; issue-specific conference calls with HHS/CDC; speaking engagements; and periodic email communications.
- **FY 2010 Planned Accomplishments:**
 - In FY 2010, the Center will have developed relationships with State Voluntary Organizations Active in Disasters (VOADs) in all 10 FEMA regions. This will include: developing a plan, in partnership government, faith-based, community, and private sectors to strengthen State VOADs; complete Phase I and begin Phase II of its “Building Resiliency with Diverse Communities” project in Miami-Dade County; conduct two regional preparedness workshops for faith-based and community organizations; and participate in the development of the Long Term Disaster Recovery Report to the President and the Long Term Disaster Recovery Framework.
- **Law Enforcement Advisor**
Enhances communication and coordination between FEMA and State, local, and Tribal law enforcement. The Law Enforcement Advisor is an integral part of FEMA’s senior leadership team – participating in planning meetings and consequence management during a crisis.
- **Office of the Executive Secretariat (OES)**
Serves as the primary point of contact for FEMA’s Office of the Administrator for coordinating departmental tasking, briefing material, and official correspondence. The OES is the central coordination point within FEMA responsible for ensuring proper and expeditious action on all tasks and correspondence addressed to and from FEMA.
- **Other Activities**
Provide Agency oversight and management including communication with elected officials and citizens. The National Advisory Council (NAC) advises the Administrator of the Federal Emergency Management Agency (FEMA) on all aspects of emergency management. The National Advisory Council incorporates State, local, Tribal, and private sector input in the development and revision of a number of FEMA programs and documents, including the National Incident Management System (NIMS), the National Response Framework (NRF) and other related plans and strategies. To assist in developing this advice to the Administrator, the NAC forms subcommittees to review issue areas. Currently there are seven NAC Subcommittees: NIMS, NRF, Post-Disaster Housing, Stafford Act, Special Needs, Public/Private Partnerships, and Target Capabilities List.

- **FY 2009 Accomplishments:**

- In FY 2009, the NAC held three meetings in Dallas, Texas; Washington, DC; and Grand Forks, North Dakota that helped the NAC make 44 recommendations during FY 2009.
- Of the 26 of recommendations finalized, FEMA has accepted all and is currently working to implement 11 recommendations in the near future. The topics of these recommendations includes: Stafford Act Public Assistance and Individual Assistance regulatory and policy issues, NRF, Public/Private Partnership, Urban Search and Rescue, enhancing support to Special Needs populations, Post-Disaster Housing, and NIMS.

- **FY 2010 Planned Accomplishments:**

- In FY 2010, the NAC will hold their first meeting after the start of the new calendar year (January or February 2010). In the interim, the NAC Subcommittees will continue to meet and follow up on issues previously identified. FEMA anticipates several issues will evolve in new recommendations at the NAC's first meeting in FY 2010. The number of council recommendations has increased each year since its establishment.

- **FY 2011 Planned Accomplishments:**

- NAC will continue to meet and address issues identified in PL 109-295 and by FEMA's Administrator.

- **Office of External Affairs**

The Office of External Affairs provides leadership, message coordination, internal communication, analyses, outreach/relationship building, external affairs training and decision-making support on Agency policies, plans, programs, key initiatives, and actions that affect stakeholders and the American public. The OEA provides operational services to FEMA's mission for Intergovernmental Affairs, International Affairs, Legislative Affairs, Private Sector Initiatives, and Public Affairs.

Office of External Affairs Programs FY 2011 Funding Summary

(\$ in 000s)

<u>Activity</u>	<u>Program</u>	<u>S & B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Intergovernmental Affairs	45	1,520	1,565	13	12
International Affairs	630	583	1,213	4	4
Public Affairs	2,500	4,923	7,423	38	35
Legislative Affairs	370	2,279	2,649	17	16
Private Sector Initiatives	220	901	1,121	7	7
Ready Campaign	2,093	377	2,470	3	3
Management and Other Activities	<u>1,308</u> ■	<u>2,284</u> ■	<u>3,592</u>	<u>17</u> ■	<u>15</u>
Subtotal	7,166	12,867	20,033	99	92

- **Intergovernmental Affairs**

Serves as FEMA’s primary national-level liaison for Tribal, State, and local officials and the associations that represent their interests. The division supports senior FEMA leadership by coordinating meetings and communication with intergovernmental partners and facilitates partner participation in the FEMA policy development process.

- **International Affairs**

Supports information exchanges (technical assistance and other subject matter expertise) with: foreign emergency management agencies and multilateral organizations; offers and receives best practices and solutions following international disasters; implements the agency’s international agreements; manages FEMA’s involvement in the civil side of the North Atlantic Treaty Organization (NATO); supports the resolution of international issues during domestic disasters; facilitates participation in international training and exercises; and supports the U.S. Department of Homeland Security (DHS) in international policy work related to emergency management.

- **Public Affairs**

Coordinates FEMA’s public message and serves as the primary point of contact with the media and the American public to communicate FEMA’s actions, activities, responsibilities, policies, and initiatives. Public Affairs coordinates with all FEMA offices to: disseminate information; track and manage all contacts with the media; maintain FEMA’s public communications, such as press releases and the FEMA Web page; and educate FEMA employees through internal communications and meetings.

- **Legislative Affairs**

Serves as FEMA’s primary liaison to congressional committees, members of Congress, and their staff. The division responds to congressional committee oversight and other inquiries from individual members and their congressional staff; notifies Congress about agency initiatives, policies, and programs;

coordinates the development of congressional testimony and briefings for FEMA senior officials; and develops and implements strategies to advance the FEMA's legislative initiatives and other interests relating to Congress.

- **Private Sector Initiatives**

FEMA's primary liaison to the corporations, trade associations, academia, and other non-governmental organizations that make up the nation's private sector. During all phases of disaster management, the division works to enhance a culture of preparedness by building a private sector network and assisting the development of functional relationships between FEMA and representatives of major private sector organizations. The division advises senior leadership on emergency management issues that are topmost within the private sector. It also supports the identification of private sector ideas and practices that FEMA programs can use to improve agency processes to deliver better service to customers.

- **Ready Campaign**

A national public service advertising campaign designed to educate and empower Americans to prepare for and respond to emergencies including natural disasters and potential terrorist attacks. Launched in 2003, the goal of the campaign is to get the public involved and ultimately to increase the level of basic preparedness across the Nation. The campaign works closely with the Citizen Corps program, which is the local-level effort to increase the preparedness of the American public and businesses.

- **Management and Other Activities**

Administers External Affairs' business operations, Disaster Operations, and Cadre Management (DO) to include salaries & benefits, staff development, corporate accounts and management oversight activities. DO provides leadership, training, coordination, and support of FEMA's External Affairs function during incidents requiring a Federal response to fully execute all functional responsibilities necessary to lead public disaster communications in a unified manner. DO also supports External Affairs' cadre management to include recruiting and training, as well as provides staffing support and communications coordination during disaster operations.

- **FY 2009 Accomplishments:**

- Broadened outreach to traditionally underserved communities by holding 4 constituency leader conference calls with over 542 participants total. The subject of the calls ranged from an introduction of Administrator Fugate and his vision for FEMA to specific information on declared disasters and how to access federal assistance.

- Implemented and executed a five year US-Mexico Work Strategy and a US-Canada Work Strategy that builds capacity for emergency preparedness and response.
 - Organized a Social Media conference to build relationships and share best practices to improve emergency information operations. This conference established FEMA as a federal leader in social media, information sharing best practices, exchanging subject matter contact information, and developing new social mediums among the Federal government partners, to include but not limited to YouTube, Facebook, Flick'R, MySpace, Twitter and Blogs.
 - As part of the Ready Campaign, FEMA expanded web capabilities by creating two new online tools: (1) an interactive widget that provides users with updates on emergency situations, local emergency contact information, an instructional video, emergency kit checklists, and guidelines on how to better prepare for an emergency; (2) the Ready Classroom through a partnership with Discovery Education that provides elementary and middle school teachers with resources to integrate natural disaster preparedness information into their curriculum.
- **FY 2010 Planned Accomplishments:**
 - Host meetings and listening sessions with National groups whose constituencies are often-times adversely affected by disaster. FEMA will Host FEMA 101 Summit with the Black Leadership Forum, scheduled for winter 2010. Engage Tribal Nations by holding listening sessions to better understand the issues that face tribes during disasters. These sessions will then aid to revise FEMA's Tribal policy to comply with the Presidential Memorandum on Tribal Consultation (IGA has the Agency's only Tribal liaison at headquarters).
 - Migrate all FEMA Web sites to a single content management system to improve usability of the FEMA website, and develop disaster-specific sections to better serve disaster survivors and impacted communities.
 - Sponsor National Preparedness Month (NPM) and get schools, businesses and communities involved in promoting emergency preparedness in order to better prepare their stakeholders. The Ready Campaign will actively promote the September awareness month through its web site, listserv, Twitter account, FEMA Facebook page, and various internal offices. The Campaign will also create a toolkit that includes tools, resources, and templates to assist organizations in promoting emergency preparedness. Finally, the Campaign promotes emergency preparedness during NPM through events and media opportunities.

- **FY 2011 Planned Accomplishments:**

- Conduct a cross border knowledge exchange with Canada to promote mutual aid and emergency preparedness efforts along the U.S./Canada border (October 2010)
- Redesign web intranet pages to create a two-way dialogue with employees, soliciting ideas, and feedback in a user-friendly forum.
- As part of the Ready Campaign, develop PSAs targeted for small and medium sized businesses.

- **Disability Coordinator**

The Disability Coordinator provides guidance and leadership to the Agency, Federal partners, and States on integrating the access and functional needs of children and adults with disabilities. This includes all efforts associated with preparing for, protecting against, responding to, recovering from and mitigating all hazards. Access and functional needs include physical, communications and programmatic access and assistance to maintain independence and preserve health and safety.

Disability Coordinator Programs FY 2011 Funding Summary

(\$ in 000s)

<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>FTP</u>	<u>FTE</u>
Disability Coordinator	150	0	150	0	0

Guidance and leadership is provided via two way communication utilizing email to a distribution list of over 300 constituency leaders in all 50 States and territories as well as meetings with partners and stakeholders to discuss information to improve integration of planning response and recovery for children and adults with disabilities.

- **FY 2009 Accomplishments:**

- Developed a national database of over 300 disability issue stakeholders and constituent group leaders to improve communication and increase successful integration of the preparedness, response and recovery needs of children /adults with disabilities in every community.
- In September 2009, constituent leaders, States, and Federal partners drafted Guidance to States on Providing Functional Need Supports and Services to States for General Population Shelters to assist States in complying with their obligations under the Americans with Disabilities Act, Rehabilitation Act, Fair Housing Act, Stafford Act, and other applicable laws. This document will guide States and local governments as they develop emergency plans to meet the needs of all of their citizens.
- In an effort to support FEMA's 10 Regional Offices, conducted monthly teleconferences with regional disability points of contact to identify

requirements for the availability and distribution of durable medical equipment including mobility, sensory, communications, pediatric, service animal, and other equipment which supports the access and functional needs of children and adults with disabilities

- **FY 2010 Planned Accomplishments:**

- Establish Disability Advisory Working Group for monthly discussions of disability issues via teleconference. Additionally, establish an annual face-to-face meeting to provide a forum for stakeholders on disability issues to identify priorities and gaps in meeting the access and functional needs of children/adults with disabilities and the communities they live in. This forum is also used to create solutions that are driven by the needs of those individuals and their communities.
- Establish a Training Working Group which will meet via teleconference to identify priorities for the development of training for FEMA and non-FEMA emergency managers, first responders, and others on integrating the access and functional needs of children and adults with disabilities wherever appropriate.
- Revise and distribute guidance to States on integrating the access and functional needs of children and adults with disabilities into community preparedness guidance. Additionally, complete functional needs sheltering guidance for States.

- **FY 2011 Planned Accomplishments:**

- Work with Disability Advisory Working Group to identify strategies to expand outreach and communication with stakeholders to increase individual and community preparedness, response and recovery outcomes.
- Work with Agency leads on developing and prioritizing training and guidance to integrate the access and functional needs of children and adults with disabilities across all agency functions.
- Provide training on community preparedness and functional needs sheltering utilizing guidance developed and distributed to States, local communities and other stakeholders.

- **Office of Regional Operations**

Serves as the Agency's office through which all policy, managerial, resource, and administrative actions that affect or impact the Regions receive effective coordination between Headquarters and the Regional offices. The Office of Regional Operations (ORO) also ensures that FEMA policies, programs, administrative, and management guidance are implemented in the regions in a manner consistent with the Agency's overall goals

Office of Regional Operations FY 2011 Funding Summary

(\$ in 000s)

	<u>Activity</u>	<u>Program</u>	<u>S & B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Headquarters	Liason Office	1,785	746	2,531	6	6
	Region 1	906	1,076	1,982	8	7
	Region 2	903	1,068	1,971	8	7
	Region 3	500	588	1,088	4	4
	Region 4	1,089	1,248	2,337	9	8
	Region 5	489	610	1,099	4	4
	Region 6	922	878	1,800	8	7
	Region 7	550	590	1,140	4	4
	Region 8	734	978	1,712	7	7
	Region 9	407	1,228	1,635	8	7
	Region 10	<u>800</u>	<u>1,012</u>	<u>1,812</u>	<u>8</u>	<u>7</u>
	Subtotal	9,085	10,022	19,107	74	68

- **FY 2009 Accomplishments:**

- Enhanced Senior Leadership communication between FEMA Headquarters and the 10 Regional Offices.
- Expanded FEMA's capability to work with State partners on operational planning capabilities.
- Initiated and supported professional development focused on senior staff within each Regional Office.

- **FY 2010 Planned Accomplishments:**

- Serve as the centralized source of information needed by Headquarters and Regional partners regarding the organization, staffing, personnel, facilities, priorities, and activities of the Regional Offices.
- Support the Regional Offices in budget-program integration through development and administration of regional budgets and regional performance measures.
- Establish a process to ensure the Regional Offices have visibility of and an equal opportunity to participate early in the development and review of draft policies, programs, administrative, and management guidance for the Agency.

- **FY 2011 Planned Accomplishments:**

- Expand ORO’s ability to serve as the centralized source of information needed by Headquarters and Regional partners regarding the organization, staffing, personnel, facilities, priorities, and activities of the Regional Offices.
- Establish a centralized means for any FEMA employee to view online the current delegation of authority memos and signature authority forms for all ten Regions.
- Support Regional forums for interagency and intergovernmental coordination, information sharing, and planning.

- **Office of Policy and Program Analysis (OPPA)**

OPPA provides leadership, analysis, coordination, and decision-making support on Agency policies, plans, programs, and key initiatives. Additionally, the Office of Policy and Program Analysis (OPPA) supports and strengthens overall Agency performance by providing objective planning and analysis that ensures FEMA policies and programs are continuously improved and integrated to effectively meet current and future challenges.

Office of Policy and Program Analysis Programs FY 2011 Funding Summary

(\$ in 000s)

	<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>FTP</u>	<u>FTE</u>
OPPA Programs		5,144	4,046	9,190	27	25

- **Policy**

The mission of the Policy Division is to lead and coordinate development of policies that support effective and efficient delivery of Agency programs across the full spectrum of preparedness and emergency management, and represent agency interests in departmental, national, and international policy making. Key functions include:

- Support Agency leadership in the identification, development, and implementation of the Agency's policy priorities including leading major policy efforts such as development of national strategies, frameworks, or doctrine as directed.
- Develop, oversee, and coordinate the Agency policy process.
- Represent the Agency on Department of Homeland Security (DHS)-level policy matters.
- Chair the FEMA Policy Working Group involving representatives from all FEMA Offices and Directorates used to coordinate policy development.
- Coordinate, track, and analyze Agency responses to GAO and OIG reports and recommendations.

- Provide policy oversight and input for Agency testimony/responses to legislative report requirements, questions, and correspondence.

- **Program Analysis & Evaluation**

The mission of the Program Analysis & Evaluation Division is to give the agency an independent analysis and evaluation capability that enhances decision making, program performance transparency, and accountability. Key functions include:

- Analyze and evaluate resource requests to identify programmatic alternatives and priorities for resource allocation consistent with strategic and long-range planning goals and objectives.
- Work with FEMA programs to ensure their budget planning submissions to the Chief Financial Officer (CFO) reflect FEMA's budget planning guidance.
- Support the CFO's presentation and defense of budgetary and programmatic estimates to DHS, the Office of Management and Budget (OMB), and Congress by ensuring they are linked to quantifiable performance measures.
- Conduct analyses as required by the Administrator to evaluate program initiatives and provide recommendations regarding the efficacy of initiatives.
- Coordinate activities among FEMA programs and DHS Program Analysis and Evaluation Division to develop information related to OMB programmatic reviews and management initiatives, e.g., OMB's Program Assessment Rating Tool (PART) and the President's Management Agenda.
- Track performance against annual and strategic objectives.
- Conduct economic impact analyses of FEMA regulations.
- Provides the agency's leadership with objective, comprehensive analyses of current and proposed FEMA programs and provides recommendations concerning program operations and alignment of objectives and resources with strategic priorities.

- **Strategic Planning**

The mission of the Strategic Planning & Analysis Division is to help the agency make innovative and informed decisions about FEMA's long-term direction, and to facilitate integrated strategic planning, analysis, and decision-making. Key functions include:

- Establish and maintain a strategic risk assessment framework to inform Agency planning and programming and ensure linkage to the DHS-level framework.
- Lead development of the Agency's strategic plan and annual planning guidance and ensure alignment with DHS' strategic plans and priorities.
- Provide assistance to Directorates and Offices within FEMA for the development and implementation of program-level strategic plans that support the Agency's strategic direction.

- **Defense Production Act Program**

The mission of the Defense Production Act (DPA) Program Division of the Office of Policy and Program Analysis is to provide guidance and support to DHS and other Federal agencies to develop plans and programs to expedite and expand the supply of critical resources from the private sector for homeland security, emergency preparedness, response, recovery and mitigation activities and critical infrastructure protection and restoration. The DPA Program is responsible for implementing FEMA's DPA responsibilities, which include:

- Advising the National and Homeland Security Councils on issues of National security resource preparedness and on the use of DPA authorities.
- Providing for the central coordination of DPA plans and programs by Federal departments and agencies.
- Providing DPA guidance and procedures under the DPA for Federal departments and agencies
- Establishing procedures to resolve conflicts and issues that may arise in implementing DPA authorities and functions.
- Reporting periodically to the President concerning DPA program activities.

- **FY 2009 Accomplishments:**

- Coordinated full implementation of the restructuring of FEMA including allocating staff resources in FEMA Headquarters and the Regions.
- Launched a comprehensive analysis of the Grant Programs Directorate to determine the funding level the Directorate requires to operate. Have received initial report – will expand analysis.
- Completed a comprehensive review of Disaster Operations Directorate's Mobile Emergency Response Support (MERS) Program/Detachments to help ensure that service delivery of the MERS Detachments is provided to relevant emergency management personnel effectively and efficiently during times of National disasters. This review has enabled FEMA to better understand the MERS programs strengths and weaknesses which in turn will help FEMA in capitalizing on the strengths and mitigating the weaknesses.

- **FY 2010 Planned Accomplishments:**

- Update the FY 2008-2013 Strategic Plan to address administration priorities and continue to instill strategic thinking throughout FEMA.
- Launch new "Policies Portal" on the FEMA website to increase visibility of FEMA policies and make it easy for stakeholders to access FEMA policies.

- Formalize the Risk Management Group to: develop a common approach for addressing risk management with a focus on natural hazards; establish a FEMA doctrine, strategy, and governance structure for managing risk; and link the risk strategy to the FEMA Strategic Plan goals and objectives, as well as understand impacts of their recommendations on the budget process.
- Expand analysis that produces economic analysis of proposed new/ revised public and individual assistance rules and regulations that will allow FEMA to support disaster and emergency victims effectively.

- **FY 2011 Planned Accomplishments:**

- Monitor implementation of FEMA Strategic Plan and priorities within the component strategic plans, and update the Plan as necessary to ensure a clear strategic direction for resource allocation and decision making.
- Continue to support development of voluntary agreements by FEMA and other DHS components to facilitate private sector involvement in emergency preparedness planning and response activities and critical infrastructure protection and restoration.

- **Office of Equal Rights**

The Office of Equal Rights (OER) serves the Agency and the Nation by promoting affirmative employment, and a discrimination-free workplace, and equal access to FEMA programs and benefits. OER encompasses the following activities and elements:

Office of Equal Rights Programs FY 2011 Funding Summary

(\$ in 000s)

	<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>FTP</u>	<u>FTE</u>
Equal Rights Programs	699	2,656	3,355	26	24	

- **Federally Assisted and Federally Conducted Programs and Investigations**

Entitles any person eligible to receive disaster aid or other services from FEMA receives those benefits without discrimination. The Civil Rights Program provides Technical Assistance and Complaints Resolution services. Technical assistance is provided through policy guidance to the agency in meeting Civil Rights mandates. In disaster operations, the staff works closely with community organizations to resolve tensions and eliminate potential complaints. The office also provides assistance to FEMA and the national emergency management community in the effort to make publications, programs, and facilities accessible to people with disabilities. Complaints resolution is provided for anyone who believes they have been discriminated against in receiving services or benefits from FEMA.

- **Equal Employment Opportunity (EEO) Program**

The EEO Program enforces all Federal discrimination laws that cover all FEMA personnel, including DAEs and applicants for employment. Through the EEO program, OER provides a variety of services: including equal rights training for managers, supervisors, and employees; developing and maintaining an informal and formal EEO discrimination complaint process; investigating formal complaints of discrimination, increasing resolution of complaints through Alternative Dispute Resolution (ADR); and proactively recruiting employees and Special Emphasis programs.

- **Executive Oversight**

Resources include Salaries & benefits, corporate accounts and management oversight activities.

- **FY 2009 Accomplishments:**

- Launched an independent study course for managers/supervisors that included disability awareness training with a focus on reasonable accommodations.
- Initiated manager/supervisor two day EEO course covering reasonable accommodations and management responsibility regarding harassment and retaliation training, across the Agency.
- Maintained capabilities and skills of all EEO investigators, EEO counselors, and Equal Rights Officers through required annual training that provided the trainee with the most current developments in EEO practice, law, and guidance, as well as enhanced and developed counseling skills.

- **FY 2010 Planned Accomplishments:**

- Expand the scope of the independent study training to include Title Six (external civil rights) awareness to managers/supervisors and employees. Further enhance training offered on diversity and harassment.
- Develop a one-day training class for supervisors in a field setting that focuses on supervisory accountability and integrity, managing a temporary workforce, resolving conduct and performance issues, and managing personnel during demobilization..
- Develop a plan of action and conduct compliance reviews focusing on a specific disaster from a previous year to assess implementation of policy and procedures in a non-discriminatory manner in the IA Program.

- **FY 2011 Planned Accomplishments:**

- Enhance audit plans and conduct compliance reviews focusing on a specific disaster from a previous year to assess and strengthen policy and procedures that focuses on an element of agency programs.
- Implement newly developed Title Six, diversity and harassment training to supervisors and employees.

- **Office of Chief Counsel**

The Office of Chief Counsel (OCC) provides professional legal services to the Administrator, FEMA senior leadership, and the DHS General Counsel on all legal and policy matters before the Agency and its organizational elements to support and facilitate the mission and reduce obstacles to the achievement of DHS and FEMA goals. OCC provides legal assistance to the Agency’s diverse mission elements including: services related to acquisition, grants, and property management; budgetary and fiscal law; ethics, anti-fraud and contractor integrity; human capital management, labor relations, and equal opportunity; information, intellectual property and privacy matters; legislation and regulations and policy coordination; and litigation and claims. FY 2009 litigation and claims activity included, but was not limited to: 24 GAO protests; 6 Contract Disputes Act appeals before the Civilian Agency Board of Contract Appeals and 4 appeals before the U.S. Court of Federal Claims; 19 claims filed with the Merit System Protection Board; 23 unemployment compensation cases in various States; 1,271 general tort claims under the Federal Tort Claims Act (FTCA) and over 60,000 formaldehyde-related administrative tort claims; and over 917 cases in Federal courts involving Equal Employment Opportunity (EEO), the National Flood Insurance Program, FTCA, Stafford Act, contract, Endangered Species Act, historic preservation, Freedom of Information Act, and fraud). OCC provides legal assistance to Joint Field Offices through its Disaster Field Attorney Cadre, to Gulf Coast transitional recovery offices through CORE attorneys, and to FEMA regional offices with staff in Washington, DC. FEMA’s Alternative Dispute Resolution program is also a part of the OCC.

Office of Chief Counsel Programs FY 2011 Funding Summary

(\$ in 000s)

<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Counsel Programs	547	9,070	9,617	60	56

- **FY 2009 Accomplishments:**

- Established an electronic shared workspace (ESW) to support OCC operations. This web-based application will be used to provide cross-division/office coordination and access to work product and research applications, including work among the field and regional counsel

offices, in furtherance of strengthening FEMA's internal business support systems.

- OCC staff completed over 6,100 hours of training or more than 82 hours per capita representing a 35 percent increase from FY 2008 in furtherance of building out FEMA's core competencies and professional development of the FEMA workforce.

- **FY 2010 Planned Accomplishments:**

- OCC continues implementation of ESW through the creation of data management systems for litigation, tort claims, and all OCC correspondence/matters. The development of these new systems will allow increased visibility by staff and management of OCC work product and avoid duplication, ensure consistency and timely delivery of legal advice.
- Increase permanent full-time staff from 47 positions to 51 positions, an increase of 8 percent, in furtherance of building out FEMA's core competencies and establishing an adequate workforce baseline.

- **FY 2011 Planned Accomplishments:**

- OCC continues implementation of ESW through the creation of data management systems for litigation, tort claims, and all OCC correspondence/matters. The development of these new systems will allow increased visibility by staff and management of OCC work product and avoid duplication, ensure consistency and timely delivery of legal advice.

H) Office of Mission Support:

- **Office of Associate Administrator**

The Office of Associate Administrator provides operational services and leadership oversight to FEMA’s mission.

Office of Associate Administrator Programs FY 2011 Funding Summary

(\$ in 000s)

<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Executive Offices	5,266	6,347	11,613	48	45
Subtotal	5,266	6,347	11,613	48	45

- **Office of the Chief Financial Officer**

The Office of the Chief Financial Officer supports the FEMA mission by providing financial management information, fiscal services, and financial policy support to FEMA’s management and oversight organizations. The OCFO is comprised of two line operating divisions: the Budget Planning and Analysis Division and the Financial Management Division. The operating divisions are supported by five staff functions: Risk Management and Compliance; Financial Policy; Appropriations Liaison; Financial Systems and Management Reporting; and Business Operations. The OCFO also has oversight of FEMA payments to the DHS Working Capital Fund and Permanent Change of Station (PCS) moves.

Chief Financial Officer Programs FY 2011 Funding Summary

(\$ in 000s)

<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Financial Programs	32,194	24,988	57,182	223	206
Centrally Managed/Working Capital	39,013	0	39,013	0	0
Subtotal	71,207	24,988	96,195	223	206

- **Financial Management**

This Division performs all accounting services for 115 FEMA Appropriations. It reconciles accounts and ensures accuracy of trial balances for the preparation of financial statements and accompanying footnotes. It also manages debt collection activities. Division personnel perform the invoice approval and payment processes for all mission assignments, reimbursable activities, and other intergovernmental payments. They ensure timely and accurate recording of grant obligations and process final closeouts in the financial system, as well as coordinating with internal and external entities to

ensure compliance with DHS/FEMA policies, legislation and directives related to financial controls.

- **Budget Planning, Analysis, and Appropriations Liaison**

This Division performs an ongoing role in the planning, formulation, justification, analysis, and execution of FEMA's operating, mitigation and disaster budgets. Budget has the primary responsibility for making recommendations to the Administrator and presenting FEMA's budget proposal to the Department, OMB, and Congress. After budgets are approved by the Congress and signed into law by the President, Budget monitors the Agency's execution activities for conformance with executive and legislative intent. It provides assistance to the House and Senate Appropriations Committees in fostering visibility and understanding of FEMA's budget request for future year funding and budget execution as well as program management and oversight of current year and prior year funding.

- **Financial Systems and Reporting Division**

Provides technical support to implement and maintain the OCFO financial management systems/interfaces. The staff also furnishes accurate, relevant, and timely financial information to clients across the Agency, the Department, and Congress.

- **Financial Policy Unit**

Financial Policy develops agency-wide policies, procedures and standards for all financial areas and promulgates these and related government-wide financial management requirements throughout the Agency.

- **Risk Management and Compliance Unit**

This Division is responsible for developing and implementing the Agency's Internal Controls program as defined by OMB Circular A-123. The Staff manages the Agency's Audits and liaisons across the Agency through the Internal Controls Board.

- **Administration Unit**

This function supports the day-to-day operations of the OCFO through coordination and execution of strategic planning, knowledge management, human capital management, Continuity of Operations (COOP) activities, leadership and staff development, procurement, and management of the OCFO operational budget.

- **FY 2009 Accomplishments:**

- Led the FEMA effort to establish an Internal Controls Board and to remediate known material weaknesses identified in the FY 2008 financial statements audit, reducing from four material weaknesses to two, and resulting in receiving the DHS Chief Financial Officer's

Award for Excellence to recognize FEMA as the DHS Agency achieving the most improvement in remediation of audit issues.

- Improved the manpower management process by strengthening management controls for hiring actions in the Agency. Led an Agency-wide data reconciliation effort to establish an accurate database of all positions within FEMA, which provided the basis for directorate level staffing plans that are now linked to funding.
- Streamlined processes and procedures for OCFO approval of personnel actions (SF-52s) resulting in reduction in the time to process the actions from more than 12 days to less than three days.
- Published 17 financial management policy directives and standard operating procedures to improve efficiency and controls of the OCFO

- **FY 2010 Planned Accomplishments:**

- Broaden implementation of the RM Online automated budget tool across program offices and regions to assist in the interpretation and application of program/organizational requirements in the formulation and execution of the budget process.
- Complete the merger of the two instances of the FEMA financial system (IFMIS) to improve the quality of financial information and strengthen internal controls.
- Complete the implementation of the first phase of the new FedTraveler travel system.
- Lead the FEMA effort to strengthen financial accountability by remediating any material weaknesses identified in the FY 2009 financial statements audit and promoting a more proactive approach to audit readiness throughout the Agency.
- Conduct pilot project with Region IV to enhance financial controls and increase financial management and budget execution capabilities in the Regions.

- **FY 2011 Planned Accomplishments:**

- Enhance the agency budget tool to provide an interactive collaborative environment where the system, leveraging powerful web agents, provides enhanced analytical capabilities giving managers and analysts the tools they need to better manage resources, analyze trends, make educated choices, and effect tangible changes.
- Expand the regional financial management pilot project to roll out financial management controls and enhance financial management and budget execution capabilities across the Regions.
- Establish a program to develop a project plan for implementation of a new financial management system.
- Enhance the financial data warehouse and increase capabilities for Federal Funding Accountability and Transparency Act (FFATA)

reporting. The enhancements will allow FFATA reporting from a single data source.

- **Office of the Chief Information Officer**

The Office of the Chief Information Officer supports FEMA’s mission by maintaining and enhancing the Agency’s Information Technology (IT) infrastructure and developing and enhancing key systems to support operating programs. The requested funding supports mission operations that provide operations and maintenance support for applications and programs across FEMA; IT governance and administrative support for programs and office across the FEMA enterprise; and Information Security support and oversight for programs and offices across the enterprise. Funding also supports FEMA plans to build on its FY 2010 successes of consolidating two production data centers (SAVVIS and Plano, TX) into the DHS Enterprise Data Center in Southern VA.

FEMA will continue to work towards the migration of all enterprise application systems from the FEMA Mount Weather Facility and two other commercial data centers that are currently hosting FEMA mission support applications. FEMA will continue to migrate enterprise support services to the planned DHS service offerings (email and shared workspace) environments accomplishing economies of scale. These efforts along with the accomplishments from FY 2010 will reduce the cost associated with maintaining and operating multiple disparate data centers and improve the support of the FEMA mission by providing enterprise class services.

Chief Information Officer Programs FY 2011 Funding Summary

(\$ in 000s)

	<u>Activity</u>	<u>Program</u>	<u>S & B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Information Technology Programs		71,076	45,255	116,331	359	334

- **FY 2009 Accomplishments:**

- Strengthened the security of FEMA’s IT environment by achieving and maintaining a FISMA score of 90 percent for each reporting period, one of only three DHS components to achieve this goal with a final score of 92 percent.
- Provided reliable, integrated, and secure communication and information systems by maintaining 99.9 percent critical system uptime.
- Improved FEMA’s IT infrastructure by implementing all FEMA/DHS agreed milestones for transitioning to OneNet, and establishing two new test environments to improve software testing.

- **FY 2010 Planned Accomplishments:**

- Implement new mission systems and enhance existing systems, to improve delivery of services across FEMA in both disaster and non disaster environments to provide improved connectivity, enhanced audio visual support and video teleconferencing and prevent data loss or theft.
- Continue consolidation to DHS data centers as determined by DHS and other stakeholders

- **FY 2011 Planned Accomplishments:**

- Deploy new business systems completed in FY 2010 to address identified weaknesses and deficiencies.
- Deploy new mission systems completed in FY 2010 to improve underlying IT foundation FEMA wide.
- Continue system and application migration to the two DHS Enterprise Data Centers for central DHS management.

- **Office of the Chief Human Capital Officer**

The Office of the Chief Human Capital Officer plays a critical role in managing the Agency’s most important asset -- its people. Human Capital Management is responsible for a broad range of activities focused on building, developing, and retaining a high performing, diverse workforce. The Human Capital Division’s FY 2011 budget will support mission accomplishment by acquiring top notch talent and developing employees through building engagements, supporting managers, building partnerships, incentivizing employees through a strong labor relations program, provide performance awards and recognitions supporting a work life program that includes benefits and retirement counseling, maintaining an employee assistance program, implementing a telework program, and various other programs.

Chief Human Capital Officer Programs FY 2011 Funding Summary

(\$ in 000s)

	<u>Activity</u>	<u>Program</u>	<u>S & B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
	Human Capital Programs	5,858	17,089	22,947	151	140
	Disaster Reserve Workforce	<u>458</u>	<u>3,435</u>	<u>3,893</u>	<u>30</u>	<u>28</u>
	Subtotal	6,316	20,524	26,840	181	168

Human Capital Programs

Human Capital is responsible for a broad range of activities, including identifying and recruiting the best available talent, and partnering with managers to retain, develop and motivate FEMA’s people to reach their fullest potential. Human Capital Management encompasses workforce planning, employment and recruitment, pay and performance, training, organizational development,

employee and labor relations, awards, leave, workplace programs, employee grievances and appeals.

Disaster Reserve Workforce Division

Disaster Reserve Workforce Division (DRWD) was established in March 2008 to transform the legacy Disaster Assistance Employee (DAE) program into an all-hazard Disaster Reserve Workforce and was recently moved under OHC. DRWD coordinates policy affecting the Disaster Reserve Workforce (DRW) and oversees the Agency-wide deployment tracking process and credentialing of all FEMA employees deployed for disaster response and recovery operations. It also coordinates and implements the Surge Capacity Force Concept of Operations Plan as mandated by section 624 of the Post Katrina Emergency Management Reform in coordination with the Disaster Operations Directorate and DHS. DRWD's personnel are funded in the M&A appropriation, while the vast majority of the program is funded in the DRF appropriation. Accomplishments for the program are thus exhibited in both Congressional Justifications.

- **FY 2009 Accomplishments:**

- Executed the first full year of the "BEST Workforce" initiative to improve employee engagement, by performing action planning in work group sessions across FEMA. Based upon the results of the Q12 survey, Human Capital trained 200+ managers through the Great Manager Program, and through the Strengths Performance Coaches to educate FEMA employees and managers on applying employees' strengths to help them work more effectively, efficiently, and enjoyably.
- Worked to standardize DRW cadre-specific credentialing plans to be National Incident Management Systems (NIMS) -compliant. Six plans were approved and five in are in the final approval process awaiting executive signature.
- Implemented major Disaster Reserve Workforce compensation policy changes to include: (1) granting employees, for the first time, sick leave access and compensation; (2) granting and clarifying holiday compensation reimbursement; (3) issuing over 29 administrative policy guidance documents enhancing the work environment for Disaster Reservists. .

- **FY 2010 Planned Accomplishments:**

- Complete the first phase of the strategic workforce planning initiative, with an engagement with the Homeland Security Studies and Analysis Institute (HSSAI) to define the baseline workforce of the current FEMA workforce. This baseline assessment is intended to quantify the current workforce in terms of numbers, locations, work performed, and some assessment of capabilities of the current workforce.
- Continue the "BEST Workforce" initiative employee engagement which directly affects individual and organizational performance in achieving

FEMA's mission. Specifically, train managers in senior levels of leadership across the agency down to division directors through the Great Manager Program, provide the StrengthsFinder Assessment to employees across the Regions, train additional Strengths Performance Coaches to educate employees and teams on how to use their strengths to be more effective at work, conduct the second annual Q12 survey to assess employee engagement, and facilitate impact planning at the work group level across the agency to make improvements and increase employee engagement and organizational performance.

- Migrate the new credentialing framework to the remaining DRW of 23 Cadres to include, seven additional Cadre Specific Planning sessions; 20 Cadre Migration Reviews; 16 initial Cadre Review Boards; nine first level annual cadre reviews; and six second level Cadre Reviews Boards.
- Complete the hiring of DRW staff to full-operating capability representing a 50 percent increase in the full-time staffing level of the program achieving a fully on-going operational capability for the program.

- **FY 2011 Planned Accomplishments:**

- Complete subsequent phases of the strategic workforce planning initiative, which will focus on recording required mission capabilities, identification of manpower requirements to achieve these capabilities and the development and execution of workforce strategies to realize the manpower requirements and capabilities articulated.
- Continue the "BEST Workforce" initiative to improve employee engagement which directly affects individual and organizational performance in achieving FEMA's mission (Goal of increasing Employee Engagement by 10 percent from FY10 to FY11).
- Commence the development of planning to extend the Agency-wide Credentialing Program to include full time employees.
- Maintain and support a constant level of Disaster Reservist training to ensure advancement through credentialing proficiency levels.
- Develop and codify implementing guidance for the FEMA SURGE Capacity Force (SCF).
- Introduce the next-generation FEMA automated deployment and reporting system.

- **Office of the Chief Procurement Officer**

The Office of the Chief Procurement Officer is organized to provide a full range of acquisition services and business solutions to FEMA's programs, partners and stakeholders. The Office of the Chief Procurement Officer is responsible for all contracting and related activities to fulfill the Agency's mission. As one of the business organizations of the Agency, Acquisition Management supports the procurement and contract management programs' policies, procedures, operations, contract planning, awards, administration, and closeouts. Also, Office of the Chief Procurement Officer manages FEMA's Commercial Services

Management analyses (the successor to the Competitive Sourcing Program), including the annual FAIR Act inventory and Business Process Re-engineering Reviews. This funding request provides funding for the acquisition staff, program, and operational support of the division. The funding will allow the Division to focus on such things as contract award and contract close out—an important FEMA initiative, the development and management of a new electronic procurement system, and conduct contract data and verification analysis.

Chief Procurement Officer Programs FY 2011 Funding Summary

(\$ in 000s)

	<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Procurement Programs		4,461	22,930	27,391	189	176

• **FY 2009 Accomplishments:**

- Sustained and improved business processes by leveraging e-business technologies such as Automated Acquisition Management System (AAMS), the Federal Business Opportunities (FBO) website portal, the electronic Subcontracting Reporting System (e-SRS), the Eligibility Procurement Listing System (EPLS), as well as the reverse auctioning service, popularly referred to as FedBid. In FY 2009, FEMA avoided costs of over \$2.5 million on 266 transactions. It should also be noted that small businesses get a large percentage of the purchase resulting from this method (33 percent in FY 2009).
- Established a tiered Contracting Officer Technical Representative (COTR) development program, offered six courses, and graduated 18 DHS-certified COTRs to Tier II and III to match COTR competencies to contract complexity.
- Awarded in excess of 97 percent of the hurricane contracts before hurricane season, giving the Agency greater flexibility and speed of response with ready resources for responding to disasters.

• **FY 2010 Planned Accomplishments:**

- Complete automation of the Procurement Request (Form 40-1) contract financing and processing project.
- Realign the reporting chain of field contracting specialists in accordance with DHS directives.
- Develop an automated IT system and begin migration of contract files to an electronic contract file management system as recommended by the DHS OIG.
- Continue to expand the Acquisition Disaster Assistance Employee (DAE) cadre to a total of at least 60 members in keeping with OIG recommendations.

- **FY 2011 Planned Accomplishments:**

- Refine the composition and role of the Disaster Acquisition Response Team (DART) based on practical experience.
- Complete the implementation of the electronic contract file system as recommended by the DHS OIG.
- Establish commodity councils (Integrated Project Teams) to explore the benefits of streamlining processes in order to acquire commodities and services for the Agency at the most cost-effective pricing

- **Office of the Chief Security Officer**

The Office of the Chief Security Officer provides professional and comprehensive security services in support of all FEMA personnel, external customers, fixed facilities, and disaster operations nationwide. Also designs programs and activities to protect FEMA personnel, facilities, information, and equipment in accordance with national security requirements. Office of the Chief Security Officer encompasses the following elements: Physical Security, Personnel Security, Disaster Security Operations, Technical Security Countermeasures Program, Administration Security Services, Information Security, Operations Security, Special Security Programs, Internal Security & Investigations, and Security Training. These security services support all FEMA personnel, external customers, fixed facilities, and disaster operations nationwide. It also includes two employees assigned to the North American Treaty Organization (NATO) support programs.

Office of the Chief Security Officer Programs FY 2011 Funding Summary

(\$ in 000s)

	<u>Activity Program</u>	<u>S&B</u>	<u>Total</u>	<u>FTP</u>	<u>FTE</u>
Security Programs	10,513	7,980	18,493	77	72

- **FY 2009 Accomplishments:**

- Initiated the deployment plans for Contingency Credentialing Readiness to support Disaster sites by deploying to pilot regional sites and pilot disaster deployment.
- Conducted over 200 investigations into allegations of FEMA employee misconduct involving both criminal and administrative actions being taken against those whose cases were substantiated.

- **FY 2010 Planned Accomplishments:**

- Develop and deploy Contingency Credentialing Readiness Mobile Issuance Centers to provide large scale badge issuance support

(PIV and FAC) to short or long-term gatherings of FEMA employees and contractors (i.e. training, conferences, etc.).

- Develop Fixed Facility Visitor Access Control System that validates Contingency Credentialing Readiness PIV (Smartcard) from FEMA partners and other government agencies to assure Personal Identity Verification and integration into the FEMA PACS.
- Implementation of Credit Bureau Reports in July 2010 for Adjudications Unit, providing faster service for Entry on Duty (EOD) process.

- **FY 2011 Planned Accomplishments:**

- Continue Physical Access Control System (PACS) upgrade for all FEMA facilities to meet Contingency Credentialing Readiness requirements.

- **Office of the Chief Administrative Officer**

Office of the Chief Administrative Officer Programs FY 2011 Funding Summary

(\$ in 000s)

<u>Activity</u>	<u>Program</u>	<u>S&B</u>	<u>Total</u>	<u>Pos.</u>	<u>FTE</u>
Facilities and Support Services	49,398	8,069	57,467	80	74
Records Management	197	3,210	3,407	32	30
OSHE	920	2,497	3,417	21	20
Business Management	<u>6,030</u>	<u>3,660</u>	<u>9,690</u>	<u>29</u>	<u>27</u>
Subtotal	56,545	17,436	73,981	162	151

- **Facilities and Support Services Division (FSSD)**

The Facilities and Support Services Division works to acquire and maintain adequate facilities and space and to provide support services that enable staff to effectively complete their work to achieve FEMA's mission for the National Capital Region (NCR) and Regional Operations. The work of FSSD encompasses the following activities: Customer Service; Facilities Operations and Maintenance; Repairs and Alterations; Regional Facility Acquisition and Capital Planning Support; Space Management; Real Property Asset Management; Personal Property; Fleet Management; Publishing; Reproduction and Graphics; Mail Operations; Develop Space Requirements; and Plan Space Optimization Projects.

- **FY 2009 Accomplishments:**

- Developed an Energy Conservation Program in accordance with the Energy Policy Act of 2005, EISA 2007, DHS 120 Day

Efficiency Review, and Executive Order 13423 & 13514—Federal Leadership in Environmental, Energy, and Economic Performance.

- Completed Phase II in constructing the National Exercise Simulation Center (NESC).
- Developed a five-year capital plan for relocating Regions 2, 4, 6, 8, 9, and 10.

- **FY 2010 Planned Accomplishments:**

- Manage the equipment, inventory, and shelter-in-place supplies for the Occupant Emergency Planning (OEP) for all NCR facilities in accordance with CFR 41-102-74.230. The OEP manager is responsible for developing, implementing, and maintaining OEP Plans.
- Define the program of requirements and costs for development of projects listed in the five year plan for relocating/consolidating Regions 2, 4, 6, 8, 9, and 10.
- Define space needs and determine preliminary requirements for consolidating NCR facilities including planning for the DHS St. Elizabeth's facility.

- **FY 2011 Planned Accomplishments:**

- Perform the market survey and submit formal solicitation for offers in preparation for building out facilities for Regions 2, 4, 6, 8, 9, and 10.
- Define space needs and determine final requirements for consolidating NCR facilities including planning for the DHS St. Elizabeth's facility.
- Introduce the next-generation FEMA deployment and reporting system

- **Records Management Division**

The Records Management Division administers the Agency's statutory programs that include Records Management, Privacy Act, Freedom of Information Act, Information Quality Act, Paperwork Reduction Act, and Federal Advisory Committee Act (FACA). This Office administratively supports programs such as Correspondence Management, Forms Management, Directives Management, Research Service, and the National Archives and Records Administration (NARA) Reimbursable Program. It also administers the enterprise systems for the collection, preservation, management, safeguarding of records, correspondence, and historical research material.

- **FY 2009 Accomplishments:**
 - Modeled the Agency's General Records Schedule to the Federal Enterprise Architecture (FEA).
 - Implemented the FOIA Backlog Reduction System (FBRS)
 - Assisted Directorates in developing a file plan to implement FEMA's Enterprise Records Management System (FERMS).

- **FY 2010 Planned Accomplishments:**
 - Improve the Personal Identifying Information (PII) breach assessment and response process by providing agency wide training and developing process to be used to monitor internal office moves.

- **FY 2011 Planned Accomplishments:**
 - Continue to improve the Personal Identifying Information (PII) breach assessment and response process.
 - Revise the FEMA Vital Records Program.

- **Occupational Safety, Health, and Environment Division**
Occupational Safety, Health, and Environment Division supports and enhances Agency operations by providing leadership, oversight, guidance, and support in the protection of human health and the environment to FEMA programs, facilities, and operations throughout the country. This is accomplished through the management and deployment of the National Safety Cadre, Collateral Duty Safety Officer Training, Management Evaluation Technical Assistance Reviews, Life Safety and Fire Engineering Plan Reviews, and Environmental Regulatory Compliance Review.

- **FY 2009 Accomplishments:**
 - Updated the National Safety Cadre credentialing plan to support the disaster workforce credentialing plan.

- **FY 2010 Planned Accomplishments:**
 - Reduce FEMA's backlogged FOIA requests by 40 percent of current legacy (requests received prior to August 2008) and 50 percent current backlog.
 - Finalize and implement mandatory employee and supervisor safety training.
 - Increase the National Safety and Health Disaster Cadre workforce by 50 percent to maintain a fully-staffed Cadre.

- **FY 2011 Planned Accomplishments:**

- Conduct a 100 percent inventory of FEMA record assets.

- **Office of Business Management**

The Office of Business Management (OBM) was established in FY 2009 to assist Program Offices within the former Management Directorate organization in applying program and project management principles and techniques, as well as with business process reengineering, and information management. Among its objectives:

- Further mature FEMA's business processes
- Create a FEMA project management center of excellence
- Align FEMA business systems with DHS policy and procedures by drafting the "FEMA Acquisition Policy, Directive and Guidebook" in compliance with DHS Directive 102-01 and DHS Instruction Guidebook 102-01-001
- OBM established the Environmental program management office. The Environmental office manages the Storage Tank Management program by:
 - Responding to EPA Information Requests
 - Terminating liability by "closing" non-operational tanks
 - Reducing liability of operational tanks by designing and implementing a life-cycle storage tank management program

- **FY 2009 Accomplishments:**

- The Environmental PMO designed and implemented life-cycle management methodologies, practices, tools, techniques, templates, standards and processes for the Storage Tank Management Program (STMP).
- Established governance structure to ensure stakeholder involvement and accountability.

- **FY 2010 Planned Accomplishments:**

- The Environmental PMO will continue efforts to design and implement life-cycle management methodologies, practices, tools, techniques, templates, standards and processes for the STMP by:
 - Provide periodic updates on the status and resource contingent plans to complete the final 40 CFR Part 280 regulated storage tanks historic and current information request action in the 4th Quarter.

- Terminating liability by beginning tank closure efforts on 14 high priority underground tanks and increasing closure research activity to encompass non-operational AST's
 - Reduce liability of operational tanks by expanding baseline equipment assessments to include the remaining UST's, AST's and Rolling Stock, implementing recurring/ periodic assessment of equipment in accordance with a regulatory requirements, and implementing a long-term emergency response and contamination response capacity
- **FY 2011 Planned Accomplishments:**
 - Execute the next iterative steps in the process of design and implementation of the Storage Tank Management life-cycle methodologies, practices, tools, techniques, templates, standards and processes by:
 - Closing out the US EPA Information Request
 - Terminating liability by securing regulatory "closure" for the remaining non-operational tanks.
 - Reduce liability of operational tanks by designing and implementing a life-cycle storage tank management program that: plans to focus equipment assessments to periodic/recurring assessments and testing efforts; maintain a long-term emergency response and contamination response capacity; continue to identify needed repairs of operational tanks, continue to provide a robust quality assurance and government inspection program; and iteratively install a permanent inventory and life-cycle data management schematic for all operational storage tanks.
 - The STMP plans to close-out and transition various life-cycle sustainment products to the functional owners to include
 - Complete closure and US EPA RFI on underground storage tanks containing regulated hazardous materials.

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Office of National Capital Region Coordination
Program Performance Justification**
(Dollars in Thousands)

PPA: Office of National Capital Region Coordination

	Perm. Pos	FTE	Amount
2009 Actuals	18	16	6,315
2010 Enacted	20	19	6,995
2011 Adjustments-to-Base	-	-	54
2011 Current Services	20	19	7,049
2011 Total Request	20	19	7,049
Total Change 2010 to 2011	-	-	54

FEMA requests \$7.049 million, 20 positions, and 19 FTE. This represents a net increase of \$0.054 million, 0 positions, and 0 FTE as compared to FY 2010.

CURRENT SERVICES DESCRIPTION

Established by Congress in the Homeland Security Act of 2002, the Office of National Capital Region Coordination (NCRC) provides leadership in integrating homeland security activities in the National Capital Region (NCR). NCRC's responsibilities include organization and participation in multi-jurisdictional coordination activities with Federal, State, local, regional, private sector and nonprofit partners. Key NCRC activities are described below.

- **Strategic and Catastrophic Planning:**

NCRC supports State and local efforts to maintain, evolve and implement their priorities including catastrophic planning in the NCR and surrounding jurisdictions. Additionally, NCRC continues efforts with regard to the coordination of Federal planning; various gap analyses; and, the integration of Federal plans with State and local efforts (working with FEMA Region III where appropriate). NCRC will continue to participate in and leverage the numerous exercises and events (e.g., NSSEs, July 4th, demonstrations, State funerals) that occur annually in the NCR to enhance planning and "lessons learned" efforts.

- **Federal Coordination:**

The high concentration of Federal Government facilities, assets, and personnel in the NCR makes the coordination of Federal activities especially important. NCRC will

continue its crosscutting work within FEMA/DHS and with other Federal partners from the Legislative, Judicial and Executive branches to allow for a more coordinated Federal response to no-notice events in the National Capital Region. This effort enables unity of effort, provides decision support, facilitates the sharing of regional situational awareness and enhances integrated planning, thereby addressing significant gaps identified by DHS and FEMA leadership, our NCR security partners and Congress.

- **Multi-jurisdictional Interoperability and Information Sharing:**

NCRC organizes and supports efforts to ensure integration and interoperability between key Federal, State, regional and local authorities and security partners. The focus of NCRC and its homeland security partners is situational awareness -- voice and data interoperability supporting program efforts -- and identity management processes. In addition to supporting the credentialing efforts of State and local partners, NCRC will continue supporting broader FEMA efforts to credential Federal Emergency Response Officials (F/EROs) per P.L. 110-53.

- **Regional Risk:**

NCRC will continue providing information, analysis and management support for regional risk reduction that will assist NCR leaders in making sound risk decisions, building on its earlier groundbreaking development of a risk Wikipedia for use by homeland security partners.

- **Regional Governance Participation and Coordination:**

The NCRC Director actively participates in the region's unique governance structures and processes, representing the DHS Secretary and FEMA Administrator as a principal member of the Senior Policy Group (SPG), for example, and coordinating regularly with Regional Emergency Support functions, the Metropolitan Washington Council of Governments and its related committees, and others to improve preparedness in the NCR. (The SPG is the senior regional decision-making body for homeland security, and is comprised of the Homeland Security Advisors and Directors of Emergency Management from Virginia, Maryland and the District of Columbia (DC).

On the Federal level, the NCRC Director chairs the Joint Federal Committee (JFC), which represents the Legislative, Judicial and Executive Branches and serves as an important means to develop, coordinate, and implement inter-agency activities and plans for the NCR. NCRC also leads the JFC First Responder and Emergency Manager Subcommittees, which support coordination and outreach with Federal Emergency Managers and First Responders.

- **FY 2009 Accomplishments:**

- Played an unprecedented role in the planning for the 2009 Presidential Inauguration, leading key consequence management planning activities including a Planning Assumptions Workshop; synchronization and gap analysis planning between FEMA and the District of Columbia, Maryland and Virginia; a Table Top Exercise (TTX) with over 100 participants from the NCR; development and implementation of the Interagency Consequences Management CONPLAN; and,

- an After Action Report with an improvement plan and the first ever Inaugural NSSE Consequence Management Standard Operating Procedure manual to help the next planning effort.
- Strengthened interoperability by integrating additional Federal (DHS) situational awareness and information sharing systems and instituting better direct communications between the District of Columbia and FEMA's operations centers.
 - Initiated the NCR pilot program (as FEMA's Executive Agent) for credentialing of Federal Emergency Response Officials (F/EROs), from which FEMA will build its broader national effort in FY 2011, and continued providing technical support to State and local partners in the NCR.
 - Completed the annual report to Congress, per Homeland Security Act of 2002, Section 882, and quarterly reports on the status of NCR/West Virginia/Pennsylvania evacuation planning.
- **FY 2010 Planned Accomplishments:**
 - Assess and integrate Federal Preparedness initiatives (e.g., JFC Emergency Managers Subcommittee and National Preparedness Month) and other activities within the NCR, and support and coordinate NCR catastrophic planning, H1N1 planning integration and various gap analyses.
 - Continue to strengthen interoperability, supporting NCR partners in requirements development for various State, local and regional initiatives and providing Federal coordination to enhance their interoperability with DHS systems and other Federal systems.
 - Increase Federal participation in key NCR systems (e.g., DC Net).
 - Complete the NCR F/ERO pilot program, to inform broader FEMA efforts to credential Federal Emergency Responders in FY 2011 (per P.L. 110-53).
 - **FY 2011 Planned Accomplishments:**
 - Continue development of more robust NCR-specific situational awareness and coordination capabilities (Federal Coordination Center; ISAVE) and provide Agency Representatives to various operations centers when needed (e.g., NSSEs, July 4th and other special events).
 - Support FEMA in implementing P.L. 110-53 with regard to credentialing of Federal Emergency Response Officials nationwide (per P.L. 110-53).

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Urban Search and Rescue
Program Performance Justification**
(Dollars in Thousands)

PPA: Urban Search and Rescue

	Perm. Pos	FTE	Amount
2009 Actuals	8	8	32,096
2010 Enacted	8	8	32,500
2011 Current Services	8	8	32,500
2011 Program Change	-	-	(4,500)
2011 Total Request	8	8	28,000
Total Change 2010 to 2011	-	-	(4,500)

FEMA requests \$28 million, 8 positions, and 8 FTE. This represents a net decrease of \$4.5 million, 0 positions, and 0 FTE as compared to FY 2010.

CURRENT SERVICES DESCRIPTION

The National Urban Search and Rescue (US&R) system is comprised of 28 task forces that provide a coordination, national, all-risk capability to assist State and local governments in responding to structural collapse incidents when the President declares a major disaster emergency under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act). These task forces are highly trained and possess the necessary expertise to extricate and medically treat victims in heavy rescue situations.

Each task force consists of two 35-person teams, four canines, and comprehensive equipment cache. US&R task force members work in four areas of specializations: Search, to find victims trapped after a disaster; Rescue, which includes safely digging victims out of tons of collapsed concrete and metal; Technical, made up of structural specialists who make rescues safe for the rescuers; and Medical, which cares for the victims before and after a rescue.

In addition to search-and-rescue support, FEMA provides hands-on training in search-and-rescue techniques and equipment, technical assistance to local communities, and in some cases Federal grants to help communities better prepare for urban search-and-rescue operations.

- **FY 2009 Accomplishments:**

- Conducted six Operational Readiness Evaluations to ensure the readiness of the 28 US&R Task Forces.
- Distributed approximately \$28 million in readiness grants to the US&R Task Forces to provide the USAR system crucial funding for equipment and training.
- Developed and delivered 12 functional US&R courses.
- Activated the Red IST and Two US&R Task Forces in support of the Presidential Inauguration. Two additional US&R Task Forces were placed in Alert status.

- **FY 2010 Planned Accomplishments:**

- Conduct six Operational Readiness Evaluations to ensure the readiness of the 28 US&R Task Forces.
- Distribute approximately \$28 million in readiness grants to the USAR Task Forces to provide the US&R system crucial funding for equipment and training.
- Develop and deliver 11 functional US&R courses.

- **FY 2011 Planned Accomplishments:**

- Conduct six Operational Readiness Evaluations to ensure the readiness of the 28 US&R Task Forces.
- Distribute approximately \$24 million in readiness grants to the US&R Task Forces to provide the US&R system crucial funding for equipment and training.
- Develop and deliver 8 functional US&R courses.

IV. Program Justification Changes

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Operating Activities
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Data Center Migration
PPA: Operating Activities
Program Increase: Positions 0.0, FTE 0.0, Dollars \$5900.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	-
Total Request	-	-	-	-	-	-	-	-	-

Description

FY 2011 data center development funding, to be managed through the DHS Working Capital Fund (WCF), will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2011. This includes:

- Discovery, migration planning, and scheduling activities specifically related to systems/applications that will transition to the DHS Data Centers in FY 2010
- Purchase of new equipment for placement in the DHS Data Centers as part of migration/transition efforts
- Installation of equipment racks at the DHS Data Centers
- Migration-related build-out of DHS Data Center infrastructure
- Transition of disaster recovery/backup/COOP (Continuity of Operations) capability to DHS Data Centers
- Installation of infrastructure support as part of system migrations at the DHS Data Centers
- Migration of USCIS hardware, systems/applications to occupy rack space at the DHS Data Centers.

Justification

The Data Center consolidation efforts will standardize IT resource acquisitions across DHS Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Operating Activities
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 2: Facilities Initiative
PPA: Operating Activities
Program Increase: Positions 0.0, FTE 0.0, Dollars \$23300.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	23,300
Total Request	-	-	-	-	-	-	-	-	23,300

Description of Item

The Federal Emergency Management Agency (FEMA) mission is to support our citizens and first responders to ensure that as a nation we work together to build, sustain and improve our capability to prepare for, protect against, respond to, recover from and mitigate all hazards. FEMA accomplishes this mission by leading and supporting the Nation in a risk-based comprehensive management system of preparedness, protection, response, recovery, and mitigation.

One of FEMA’s critical functions is to build and maintain an operational capacity for emergency response and to increase the overall preparedness of the country. This function is met by retaining and recruiting a diverse and talented workforce and acquiring the facilities needed to support and accomplish the preparedness mission. An integral component of mission success is providing safe, secure, and mission enabling facilities, and supporting core competencies, such as operational planning and incident management.

Justification

In the past several years, FEMA has responded to an average of 60 or more emergencies or major disasters per year. It is critical that adequate resources are appropriated to maintain and repair the facilities that are vital to the success of the mission. Without appropriately sized and located facilities, mission effectiveness is greatly reduced. Towards that end FEMA requires \$187.6 million over the five-year period from FY 2011 (\$23.3 million) through FY 2015 for regional facilities acquisitions and repairs, and capital improvements to FEMA’s entire real estate portfolio.

Regional Facilities (\$11.435 million):

FEMA needs additional facilities to provide adequate space for staff that has increased from 2,131 permanent full time (PFT) employees to 4,443 in FY 2009, with a significant emphasis on increasing the number of staff in regional offices and enhancing mission capability. FEMA regional staff currently works in crowded offices, and nationwide FEMA's facilities require improvements to meet safety requirements and support core mission functions. The lack of adequate and safe facilities will impair FEMA's ability to attract and retain the talented staff required for its mission, thereby compromising its ability to meet its overall mission.

The enhancements to FEMA's mission capability required an increase to staffing levels to support the new capabilities and different types of facility space required to support assigned mission functions. The large staff increase has placed extreme stress on FEMA's existing facilities portfolio.

The regional staff increases have resulted in space shortages in all the regions since the current offices were acquired to house a much smaller number of staff. Five of the 10 Regional Offices already are, or soon will be, housed in more than one facility.

FACILITIES ACQUISITION						
FACILITY	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	5 Yr. Total
Philadelphia, PA (Regional Office Relocation)	\$8,200,000					\$8,200,000
Kansas City, MO (Close-out Cntr /COOP/Warehouse)	\$1,235,000					\$1,235,000
TBD (New COOP)	\$2,000,000					\$2,000,000
Atlanta, GA (New consolidated Regional Office)		\$33,750,000				\$33,750,000
Thomasville, GA (Construction of MERS Vehicle Storage)		\$300,000				\$300,000
Denver, CO (New Regional Office/MERS)		\$11,220,000				\$11,220,000
Oakland, CA (New Regional Office)		\$9,854,000				\$9,854,000
Hato Rey, PR (Convert to Standard Lease)		\$2,526,000				\$2,526,000
Denton, TX (Construct 10,000 SF owned office building)		\$3,600,000				\$3,600,000
New York, NY (New Regional Office)			\$9,350,000			\$9,350,000
Seattle, WA (New Regional Office)				\$9,350,000		\$9,350,000
Facility Acquisition Total:	\$11,435,000	\$61,250,000	\$9,350,000	\$9,350,000	\$0	\$91,385,000

Facilities Repairs and Capital Improvements (\$11.849 million):

FEMA performs facility condition assessments on at least ten percent of its portfolio, on a square footage basis, every fiscal year to generate estimated costs for repair needs. FEMA-owned facilities have a condition assessment at least every five years. For leased facilities, FEMA requests and uses Building Evacuation Report (BER) generated by GSA to determine the level of funding required to properly repair and maintain GSA-leased facilities, although it performs condition assessments on leased facilities as well. The condition assessment reports and BER reports for leased and owned facilities generate repair projects and cost estimates that are entered into the Real Property Management System (RPMS) database. The RPMS is actively managed to track the status of repair projects, document their completion, and to develop funding requests for out-years.

Based on the repair estimates documented in RPMS, FEMA projects it can raise its FCI ten percentage points between FY 2011 to FY 2015 with the funding requested in the five

year PDO document. . FEMA requires additional resources above its current base funding to address critical infrastructure requirements and an historic lack of facility investments.

Allowing for inflation and with the facilities acquisitions ultimately increasing the Agency real estate portfolio, this request for facilities repairs and capital improvement funding should allow funding to remain within the accepted business practice range of two to four percent of the agency’s real estate portfolio.

REPAIRS and CAPITAL IMPROVEMENTS						
REGION	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	5 Yr. Total
Region 1	\$3,475,427	\$394,542	\$496,446	\$1,099,065	\$2,103,901	\$7,569,381
Region 2	\$100,000	\$150,000	\$250,000	\$250,000	\$250,000	\$1,000,000
Region 3	\$100,000	\$250,000	\$250,000	\$250,000	\$250,000	\$1,100,000
Region 4	\$694,400	\$394,084	\$462,182	\$418,084	\$3,002,316	\$4,971,066
Region 5	\$100,000	\$200,000	\$250,000	\$250,000	\$250,000	\$1,050,000
Region 6	\$552,673	\$361,775	\$372,629	\$2,785,318	\$2,995,255	\$7,067,650
Region 7	\$100,000	\$150,000	\$250,000	\$250,000	\$250,000	\$1,000,000
Region 8	\$150,000	\$300,000	\$550,000	\$1,000,000	\$350,000	\$2,350,000
Region 9	\$100,000	\$250,000	\$250,000	\$200,000	\$150,000	\$950,000
Region 10	\$247,243	\$2,416,762	\$1,006,723	\$1,270,170	\$1,875,004	\$6,815,902
Regions Subtotal:	\$5,619,743	\$4,867,163	\$4,137,980	\$7,772,637	\$11,476,476	\$33,873,999
CDP/Noble	\$3,134,551	\$5,719,679	\$6,137,648	\$4,082,382	\$3,767,074	\$22,841,334
National Emergency Training Center	\$3,094,900	\$3,153,600	\$3,588,200	\$6,869,400	\$4,510,800	\$21,216,900
Total:	\$11,849,194	\$13,740,442	\$13,863,828	\$18,724,419	\$19,754,350	\$77,932,233

Impact on Performance (Relationship of Increase to Strategic Goals)

DHS strategic objective 5.3.2 of the DHS Strategic Plan “Ensuring Resilience to Disasters”

This initiative directly supports FEMA’s mission to provide enhanced preparedness capability to handle its all hazards responsibility related to natural and man-made disasters. Failure to fund this initiative will directly impact FEMA’s mission by reducing preparedness in several ways.

Failure to provide adequate funding for Agency facilities will result in both increased workplace health and safety risks for FEMA employees (especially from Priority 1 facility issues) and increase out-year repair and maintenance costs as major building systems fail.

Also, a shortage of quality, professional office space makes it more difficult for the Agency to attract and retain the diverse and highly skilled workforce is needs to support mission enhancements. In addition, a dispersed facilities footprint for regional offices causes operational inefficiency, loss of productive hours, and does not support cohesion among staff and organizational components, issues that would not exist if each office consolidated into a single facility. Without replacing outdated and non-efficient mechanical equipment and architectural building components, equipment, major facility systems, and building components will have a higher rate of failure and will not provide the facility infrastructure needed to support training programs and critical emergency response capability.

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Operating Activities
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 1: Mount Weather Capital Improvements
 PPA: Operating Activities
 Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-24309.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	36,300
Program Decrease							-	-	(24,309)
Total Request	-	-	49,500	-	-	36,300	-	-	11,991

Description of Item

The MWEOC facility, located in Mount Weather, VA, provides the infrastructure to support COOP, Incident Management, and all hazards activities for multiple Executive Branch Departments and agencies, to include the DHS/FEMA HQ COOP site. In addition, it provides operational space for FEMA Emergency Relocation Group (ERG) members to perform their essential functions. ERG members serve as the FEMA HQ emergency personnel that are responsible for performing the Agency’s mission essential function.

Justification

The Mount Weather Capital Improvement Fund has approximately \$100 million of balances that would finance planned capital improvement projects through FY 2011. Given these high balances and the inability for the fund to execute a significant amount of budget authority beyond those balances in FY 2011, the reduction from FY 2010 enacted would bring this fund to a level of new budget authority it could execute in FY 2011 of \$11.9 million.

Impact on Performance (Relationship of Increase to Strategic Goals)

DHS strategic objective 5.3.2 of the DHS Strategic Plan “Ensuring Resilience to Disasters”

This request will not slow the pace of projects through FY 2011.

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Urban Search and Rescue
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 2: Reduction to Urban Search and Rescue
PPA: Urban Search and Rescue
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-4500.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							8	8	32,500
Program Decrease							-	-	(4,500)
Total Request	-	-	-	-	-	-	8	8	28,000

Description

The Urban Search and Rescue is reduced by (\$4.5) million programmatically in FY 2011 from FY 2010. The total decrease equals (\$4.5) million from the FY 2010 enacted level.

Justification

The reduction in the Urban Search and Rescue Program is based on several factors including the substantial level of funds awarded over the past five years and a reprioritization of FEMA resources. Even at the reduced level, FEMA will continue to improve the programs' effectiveness as a national program to enhance overall preparedness.

Impact on Performance (Relationship of Increase to Strategic Goals)

DHS strategic objective 5.3.2 of the DHS Strategic Plan "Conduct effective disaster response operations"

The Urban Search and Rescue Program currently support the strategic goal to build a nimble, effective emergency response system and a culture of preparedness. The reduction in funding will result in a minimal impact on the overall Urban Search and Rescue Program performance.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Management and Administration
Appropriation Language**

For necessary expenses for management and administration of the Federal Emergency Management Agency, [\$797,650,000] **\$902,996,000**, including activities authorized by the National Flood Insurance Act of 1968 (42 U.S.C. 4001 et seq.), the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.), the Cerro Grande Fire Assistance Act of 2000 (division C, title I, 114 Stat. 583), the Earthquake Hazards Reduction Act of 1977 (42 U.S.C. 7701 et seq.), the Defense Production Act of 1950 (50 U.S.C. App. 2061 et seq.), sections 107 and 303 of the National Security Act of 1947 (50 U.S.C. 404, 405), Reorganization Plan No. 3 of 1978 (5 U.S.C. App.), the Homeland Security Act of 2002 (6 U.S.C. 101 et seq.), and the Post-Katrina Emergency Management Reform Act of 2006 (Public Law 109-295; 120 Stat. 1394): Provided, That not to exceed \$3,000 shall be for official reception and representation expenses[: Provided further, That the President's budget submitted under section 1105(a) of title 31, United States Code, shall be detailed by office for the Federal Emergency Management Agency]: Provided further, That of the total amount made available under this heading, not to exceed [\$36,300,000] **\$12,000,000** shall remain available until September 30, [2011] **2012**, for capital improvements at the Mount Weather Emergency Operations Center: Provided further, That of the total amount made available under this heading, [\$32,500,000] **\$28,000,000** shall be for the Urban Search and Rescue Response System, of which not to exceed \$1,600,000 may be made available for administrative costs; and [\$6,995,000] **\$7,049,000** shall be for the Office of National Capital Region Coordination[: Provided further, That for purposes of planning, coordination, execution, and decision-making related to mass evacuation during a disaster, the Governors of the State of West Virginia and the Commonwealth of Pennsylvania, or their designees, shall be incorporated into efforts to integrate the activities of Federal, State, and local governments in the National Capital Region, as defined in section 882 of Public Law 107-296, the Homeland Security Act of 2002].(Department of Homeland Security Appropriations Act, 2010.)

Explanation of Change:

No significant changes are proposed.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	2,963	2,817	1,061,381
FY 2010 Enacted	2,313	2,070	797,650
Adjustments-to-Base	-	-	-
Increases	-	-	-
2011 Pay Increase	-	-	3,154
Annualization of 2010 Pay Raise	-	-	3,021
Annualization of FTE Funded by Prior Year DRF Transfer	995	925	105,600
Annualization of Prior Year Part Year Funding	-	5	649
DHS Balanced Workforce Strategy	-	77	-
GSA Rent	-	-	2,085
Technical Adjustment of Non-Disaster Specific CORE to PFT	213	198	-
Total Increases	1,208	1,205	114,509
Decreases	-	-	-
Data Center Migration	-	-	(5,900)
Termination of One-Time Costs	-	-	(3,654)
Total Decreases	-	-	(9,554)
Total, Adjustments-to-Base	1,208	1,205	104,955
FY 2011 Current Services	3,521	3,275	902,605
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Data Center Migration	-	-	5,900
Facilities Initiative	-	-	23,300
Mount Weather Capital Improvements	-	-	(24,309)
Reduction to Urban Search and Rescue	-	-	(4,500)
Total, Program Changes	-	-	391
FY 2011 Request	3,521	3,275	902,996
FY 2010 to FY 2011 Total Change	1,208	1,205	105,346

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	2,963	2,817	1,061,381
FY 2010 Enacted	2,313	2,070	797,650
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	1,208	1,205	114,509
Decreases	-	-	(9,554)
Total, Adjustments-to-Base	1,208	1,205	104,955
FY 2011 Current Services	3,521	3,275	902,605
Program Changes	-	-	-
Total, Program Changes	-	-	391
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	3,521	3,275	902,996
Total Change 2010 to 2011	1,208	1,205	105,346

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Operating Activities	2,285	2,043	758,155	3,493	3,248	867,947	1,208	1,205	109,792	-	-	4,891	1,208	1,205	104,901
Office of National Capital Region Coordination	20	19	6,995	20	19	7,049	-	-	54	-	-	-	-	-	54
Urban Search and Rescue	8	8	32,500	8	8	28,000	-	-	(4,500)	-	-	(4,500)	-	-	-
Subtotal, Estimates Program Project Activity	2,313	2,070	797,650	3,521	3,275	902,996	1,208	1,205	105,346	-	-	391	1,208	1,205	104,955
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	2,313	2,070	797,650	3,521	3,275	902,996	1,208	1,205	105,346	-	-	391	1,208	1,205	104,955

D. Summary of Reimbursable Resources

Department of Homeland Security Federal Emergency Management Agency Operations, Management, and Administration Summary of Reimbursable Resources (Dollars in Thousands)

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Department of Agriculture, DAIP	-	-	697	-	-	711	-	-	709	-	-	(2)
Department of Commerce, DAIP	-	-	61	-	-	61	-	-	30	-	-	(31)
Department of Defense, DAIP	-	-	61	-	-	61	-	-	134	-	-	73
Department of Education, DAIP	-	-	307	-	-	307	-	-	195	-	-	(112)
Department of Energy, DAIP	-	-	476	-	-	49	-	-	49	-	-	-
Department of Health & Human Services, ASRP	-	-	1,684	-	-	2,063	-	-	2,063	-	-	-
Department of Housing & Urban Development, DAIP	-	-	697	-	-	697	-	-	772	-	-	75
Department of Interior	-	-	50	-	-	125	-	-	125	-	-	-
Department of Interior, DAIP	-	-	61	-	-	61	-	-	49	-	-	(12)
Department of Justice, DAIP	-	-	75	-	-	75	-	-	134	-	-	59
Department of Labor, DAIP	-	-	449	-	-	449	-	-	434	-	-	(15)
Department of State, DAIP	-	-	697	-	-	61	-	-	-	-	-	(61)
Department of State, USAID	-	-	355	-	-	-	-	-	-	-	-	-
Department of Transportation, DAIP	-	-	75	-	-	61	-	-	-	-	-	(61)
Department of Treasury, DAIP	-	-	294	-	-	294	-	-	148	-	-	(146)
Department of Veterans Affairs, DAIP	-	-	279	-	-	279	-	-	110	-	-	(169)
Environmental Protection Agency	-	-	50	-	-	-	-	-	-	-	-	-
Office of Personnel Management, DAIP	-	-	61	-	-	61	-	-	49	-	-	(12)
Small Business Administration, DAIP	-	-	204	-	-	204	-	-	628	-	-	424
Social Security Administration, DAIP	-	-	279	-	-	279	-	-	176	-	-	(103)
Department of Defense	-	-	235	-	-	239	-	-	243	-	-	4
Department of Homeland Security	-	-	4,364	-	-	27,264	-	-	28,359	-	-	1,095
Department of Justice	-	-	240	-	-	245	-	-	250	-	-	5
Department of State	-	-	208	-	-	12	-	-	12	-	-	-
Total Budgetary Resources	-	-	11,959	-	-	33,658	-	-	34,669	-	-	1,011

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
Operating Activities	-	-	11,959	-	-	33,658	-	-	34,669	-	-	1,011
Total Obligations	-	-	11,959	-	-	33,658	-	-	34,669	-	-	1,011

E. Summary of Requirements by Object Class

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	238,983	190,716	283,581	92,865
11.3 Other than full-time permanent	1,260	1,002	1,446	444
11.5 Other personnel compensation	10,699	8,511	8,875	364
12.1 Benefits	68,187	54,407	113,072	58,665
21.0 Travel	16,810	19,708	16,448	(3,260)
22.0 Transportation of things	711	1,640	1,640	-
23.1 GSA rent	30,599	32,605	40,514	7,909
23.2 Other rent	60	48	50	2
23.3 Communications, utilities, and misc. charges	20,412	21,746	18,921	(2,825)
24.0 Printing	1,813	4,223	4,247	24
25.1 Advisory and assistance services	108,373	39,562	33,433	(6,129)
25.2 Other services	145,855	90,786	74,871	(15,915)
25.3 Purchases from Gov't accts.	86,356	81,497	62,118	(19,379)
25.4 O&M of facilities	5,026	6,978	22,792	15,814
25.5 R&D of contracts	231	184	184	-
25.6 Medical care	117	124	124	-
25.7 Operation and maintenance of equipment	10,362	14,308	7,558	(6,750)
25.8 Other services	21	22	22	-
26.0 Supplies and materials	10,024	15,076	7,258	(7,818)
31.0 Equipment	42,548	58,480	65,977	7,497
32.0 Land & structures	93,246	59,287	42,760	(16,527)
41.0 Grants/Subsidies/Contributions	157,729	65,942	62,436	(3,506)
Total, Direct Obligations	1,049,422	766,852	868,327	101,475
Transfers from other accounts	101,006	-	-	-
Adjustment to Expiring Accounts	(3,349)	-	-	-
Reimbursements	11,959	(2,860)	34,669	37,529
Unobligated Balance, start of year	(108,835)	33,658	-	(33,658)
Unobligated Balance, end of year	2,860	-	-	-
Recoveries of Prior Year Obligations	(949)	-	-	-
Unobligated Balances Expiring	(8,610)	-	-	-
Offsetting Collections	17,877	-	-	-
Total, Adjustments	11,959	30,798	34,669	3,871
Total Requirements	1,061,381	797,650	902,996	105,346

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	57	55	55	-
GS-15	283	235	315	80
GS-14	648	533	761	228
GS-13	762	529	799	270
GS-12	885	618	957	339
GS-11	124	134	298	164
GS-9	68	76	135	59
GS-8	40	51	83	32
GS-7	78	66	96	30
GS-6	8	7	10	3
GS-5	6	6	8	2
GS-4	3	2	3	1
GS-3	1	1	1	-
Total Permanent Positions	2,963	2,313	3,521	1,208
Unfilled Positions EOY	297	-	-	-
Total Permanent Employment EOY	2,666	2,313	3,521	1,208
Full Time Equivalents	2,817	2,070	3,275	1,205
Headquarters	1,883	1,560	2,658	1,098
U.S. Field	1,080	753	863	110
Foreign Field	-	-	-	-
Total, Location	2,963	2,313	3,521	1,208
Average ES Salary	153,301	158,207	161,371	3,164
Average GS Salary	89,082	96,729	89,741	(6,988)
Average Grade	13	13	13	-

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Operating Activities
Funding Schedule
(Dollars in Thousands)**

PPA: Operating Activities	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	236,244	187,921	280,743	92,822
11.3 Other than full-time permanent	1,260	1,002	1,446	444
11.5 Other personnel compensation	10,699	8,511	8,875	364
12.1 Benefits	67,442	53,647	112,300	58,653
21.0 Travel	16,605	19,510	16,250	(3,260)
22.0 Transportation of things	661	1,590	1,590	-
23.1 GSA rent	30,309	32,315	40,224	7,909
23.2 Other rent	60	48	50	2
23.3 Communications, utilities, and misc. charges	20,357	21,691	18,866	(2,825)
24.0 Printing	1,813	4,223	4,247	24
25.1 Advisory and assistance services	108,373	39,562	33,433	(6,129)
25.2 Other services	140,482	84,578	69,060	(15,516)
25.3 Purchases from Gov't accts.	85,616	80,757	61,378	(19,379)
25.4 O&M of facilities	5,026	6,978	22,792	15,814
25.5 R&D of contracts	231	184	184	-
25.6 Medical care	117	124	124	-
25.7 Operation and maintenance of equipment	10,362	14,308	7,558	(6,750)
25.8 Other services	21	22	22	-
26.0 Supplies and materials	9,881	14,934	7,141	(7,793)
31.0 Equipment	42,478	58,400	65,897	7,497
32.0 Land & structures	93,246	59,287	42,760	(16,527)
41.0 Grants/Subsidies/Contributions	129,728	37,767	38,338	571
Total, Object Class	1,011,011	727,359	833,278	105,921
Transfers from other accounts	101,006	-	-	-
Adjustment to Expiring Accounts	(3,349)	-	-	-
Reimbursements	11,959	(2,860)	34,669	37,529
Unobligated Balance, start of year	(108,835)	33,658	-	(33,658)
Unobligated Balance, end of year	2,860	-	-	-
Recoveries of Prior Year Obligations	(949)	-	-	-
Unobligated Balances Expiring	(8,610)	-	-	-
Offsetting Collections	17,877	-	-	-
Total, Adjustments	11,959	30,798	34,669	3,871
Total, Operating Activities	1,022,970	758,157	867,947	109,792
Full Time Equivalents	2,793	2,043	3,248	1,205

PPA Mission Statement

Operating Activities includes the essential functions for all of FEMA's major mission organizations and directly supports FEMA's primary mission to reduce the loss of life and property and to protect the Nation from all hazards including natural disasters, acts of terrorism, and other man-made disasters. Operating Activities leads and supports the Nation through a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	236,244	187,921	280,743	92,822

Salaries and Benefits includes costs for 3,248 FTEs. The FY 2011 request includes an increase of \$92,822,000 for FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	1,260	1,002	1,446	444

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	10,699	8,511	8,875	364

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	67,442	53,647	112,300	58,653

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	16,605	19,510	16,250	(3,260)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes a decrease of \$3,260,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	661	1,590	1,590	-

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	30,309	32,315	40,224	7,909

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent-related services. The FY 2011 request includes an increase of \$7,909,000 for inflation and an increase in office space.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	60	48	50	2

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request includes an increase of \$2,000,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	20,357	21,691	18,866	(2,825)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility service. The FY 2011 request includes a decrease of \$2,825,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	1,813	4,223	4,247	24

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes an increase of \$24,000,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	108,373	39,562	33,433	(6,129)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes a decrease of \$6,129,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	140,482	84,576	69,060	(15,516)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The 2011 request reflects a decrease of \$15,516,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	85,616	80,757	61,378	(19,379)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request reflects a decrease of \$19,379,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	5,026	6,978	22,792	15,814

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$15,814,000 in support of the facilities initiative.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	231	184	184	-

Research and Development includes costs for contracts for the conduct of basic and applied research and development.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	117	124	124	-

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	10,362	14,308	7,558	(6,750)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$6,750,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	21	22	22	-

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	9,881	14,934	7,141	(7,793)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes a decrease of \$7,793,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	42,478	58,400	65,897	7,497

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes an increase of \$7,497,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	93,246	59,287	42,760	(16,527)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to building, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request includes a decrease of \$16,525,000 due to the increased support for facilities upgrades and maintenance (please see program change).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	129,728	37,767	38,338	571

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request includes an increase of \$571,000.

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Office of National Capital Region Coordination
Funding Schedule
(Dollars in Thousands)**

PPA: Office of National Capital Region Coordination	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	2,052	2,094	2,126	32
12.1 Benefits	558	569	578	9
21.0 Travel	35	28	28	-
25.2 Other services	3,577	4,202	4,215	13
26.0 Supplies and materials	23	22	22	-
31.0 Equipment	70	80	80	-
Total, Object Class	6,315	6,995	7,049	54
Total, Office of National Capital Region Coordination	6,315	6,995	7,049	54
Full Time Equivalents	16	19	19	-

PPA Mission Statement

National Capital Region Coordination (NCRC) program advances homeland security, including all hazards preparedness, in the National Capital Region (NCR). The program serves as a model for other regions of the country. NCRC focuses on developing and refining a common regional approach to homeland security that result in the integrated strategies and interoperability among Federal, State, local, regional and private/non-profit stakeholders. NCRC's primary responsibilities include coordinating and participating in programs and initiatives aimed at enhancing the homeland security posture of the region. NCRC also plays valuable roles in events, drills, and exercises that occur annually in the NCR. NCRC also serves as a principal in the NCR's regional governance structure and coordinates with the NCR's Regional Emergency Support Function (R-ESFs) to improve preparedness in the NCR.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	2,052	2,094	2,126	32

Salaries and Benefits includes costs for 20 FTEs. The FY 2011 request includes an increase of \$41,000 for the FY 2011 pay increase costs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	558	569	578	9

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	35	28	28	-

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	3,577	4,202	4,215	13

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes an increase of \$14,000 for adjustment to base.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	70	80	80	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Urban Search and Rescue
Funding Schedule
(Dollars in Thousands)**

PPA: Office of National Capital Region Coordination	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	2,052	2,094	2,126	32
12.1 Benefits	558	569	578	9
21.0 Travel	35	28	28	-
25.2 Other services	3,577	4,202	4,215	13
26.0 Supplies and materials	23	22	22	-
31.0 Equipment	70	80	80	-
Total, Object Class	6,315	6,995	7,049	54
Total, Office of National Capital Region Coordination	6,315	6,995	7,049	54
Full Time Equivalents	16	19	19	-

PPA Mission Statement

The National Urban Search and Rescue System is comprised of 28 task forces that provide a coordinated, national, all-risk capability to assist State and local governments in responding to structural collapse incidents when the President declares a major disaster or emergency under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act). These task forces are highly trained and possess the necessary expertise to extricate and medically treat victims in heavy rescue situations. Funding is used to operate and train the existing task forces, maintain the equipment caches, and replace/repair equipment that has been used in training and actual disasters.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	687	701	712	11

Salaries and Benefits includes costs for 8 FTEs. The FY 2011 request includes an increase of \$14,000 for the FY 2011 pay increase costs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	187	191	194	3

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	170	170	170	-

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	50	50	50	-

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	290	290	290	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	55	55	55	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility service.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	1,796	2,008	1,596	(412)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes a decrease of \$412,000 due to program change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	740	740	740	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	120	120	95	(25)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes a decrease of \$25,000 due to program change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	28,001	28,175	24,098	(4,077)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request includes a decrease of \$4,077,000 due to program change.

I. Changes in Full Time Equivalent

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	2,077	2,817	2,070
INCREASES	-	-	-
Annualizations of Prior year position increases	105	-	-
Complete 4-Year CORE Conversion Program	609	-	-
National Disaster Housing: IT Modernization	26	-	-
Increases	740	-	-
Complete 4-Year CORE Conversion Program	-	171	-
Environmental Planning and Historic Preservation	-	7	-
Annualization of FTE Funded by Prior Year DRF Transfer	-	-	925
Annualization of Prior Year Part Year Funding	-	-	5
DHS Balanced Workforce Strategy	-	-	77
Technical Adjustment of Non-Disaster Specific CORE to PFT	-	-	198
Subtotal, Increases	740	178	1,205
DECREASES	-	-	-
Technical Adjustment of FTE funded by Prior Year DRF Transfer	-	(925)	-
Subtotal, Decreases	-	(925)	-
Year End Actual / Estimated FTEs:	2,817	2,070	3,275
Net Change from prior year base to Budget Year Estimate:	740	(747)	1,205

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration**
FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Operating Activities	10,154	22,062	22,357	295
Total Working Capital Fund	10,154	22,062	22,357	295

Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs



Fiscal Year 2011
Overview
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

State and Local Programs

I. Appropriation Overview

A – Mission Statement for State and Local Programs

Through grants, training, exercises, and other support, State and Local Programs enables FEMA to fulfill its role as the principal component of the Department of Homeland Security (DHS) responsible for assisting state and local governments in prevention, protection against, response to, and recovery from incidents of terrorism and other events. State and Local Programs funds are administered by two different organizations within FEMA: the Grants Programs Directorate (GPD) and the National Preparedness Directorate (NPD).

B – Budget Activities:

In support of the National Preparedness Guidelines and the National Strategy for Homeland Security of 2007, FEMA's FY 2011 budget for State and Local Programs is divided into four major categories: the State and Regional Preparedness Program, which includes the Emergency Management Performance Grant (EMPG) and Firefighter Assistance Grant programs; the Metropolitan Statistical Area (MSA) Preparedness Program; the Training, Measurement, and Exercise Program; and Management and Administration (M&A) of the State and Local Program, which is a percentage of the other three program categories.

Grant Programs Directorate (GPD)

GPD is responsible for administering the State and Regional Preparedness Program and the Metropolitan Statistical Area (MSA) Preparedness Program.

State and Regional Preparedness Program:

The State and Regional Preparedness Program includes four grant programs that provide resources to support preparedness projects that build State and local capabilities as outlined in the National Preparedness Guidelines, the Target Capabilities List, and the National Strategy for Homeland Security of 2007:

- *State Homeland Security Program (SHSP)* - This program awards grants to all 50 States, the District of Columbia, Puerto Rico, and four U.S. territories on the basis of risk and need. In an effort to reform the organization of State and Local Programs, the President's Budget proposes to consolidate some of the smaller grant programs and incorporate them as allowable expenses into several larger

programs. SHSP is one of those larger programs. For instance, investments typical of the Driver's License Security Grant Program, the Citizen Corps Grant Program, and the Interoperable Emergency Communications Grant Program will be treated as allowable expenses within SHSP. In many cases, the investments that are currently permitted under SHSP significantly overlap with what was permitted under the smaller programs.

- *Firefighter Assistance Grants Program* – This program is comprised of Assistance to Firefighter Grants (AFG), Staffing for Adequate Fire and Emergency Response (SAFER) Grants, and Fire Prevention and Safety Grants (FP&S). The combination provides support to fire departments and non-affiliated emergency medical services (EMS) to improve the readiness and capability of local first-responders during all-hazards emergencies including firefighting and EMS operations. Firefighter Assistance Grants are an integral part of the Department of Homeland Security's grant programs that assist States, territories, tribal, and local jurisdictions to protect against, prevent, plan for, and respond to acts of terrorism and other catastrophic events.
- *Regional Catastrophic Preparedness Grant Program (RCPGP)* - The FY 2011 RCPGP is intended to support coordination of regional all-hazard planning for catastrophic events, including the development of integrated planning communities, plans, protocols, and procedures to manage a catastrophic event.
- *Emergency Management Performance Grants (EMPG)* - This program provides grants that address emergency response and recovery activities. The EMPG program provides resources to assist State and local governments to sustain and enhance all-hazards emergency management capabilities.

Metropolitan Statistical Area (MSA) Preparedness Program:

The Metropolitan Statistical Area Preparedness Program includes:

- *Urban Area Security Initiative (UASI)* - This program provides funding to support regional collaboration on enhanced security and terrorism readiness in the Nation's highest-risk urban areas. In an effort to reform the organization of State and Local Programs, the President's Budget proposes to consolidate some of the smaller grants and incorporate them as allowable expenses into several larger programs. UASI is one of those larger programs. For instance, investments typical of the Metropolitan Medical Response System and the Interoperable Emergency Communications Grant Program will be treated as allowable expenses within UASI. In many cases, the investments that are currently permitted under UASI significantly overlap with what was permitted under the smaller programs. UASI will also provide up to \$200 million for those urban areas slated to host terror-related trials. This funding will assist law enforcement and first responders in those effected metropolitan areas, as they will be required to provide additional security for the events.

- *Transit Security Grant Program* The TSGP provides grant funding to support mass transit agencies within the Nation’s key high-threat urban areas in their efforts to enhance security measures for critical transit infrastructure, including bus, rail, and ferry systems. This program also provides funding to Amtrak for continued security enhancements for intercity rail operations between key, high-risk urban areas throughout the United States. A risk-based approach is used to allocate TSGP funding to eligible mass transit and intra-city bus systems on a regional basis to address priorities identified in the National Preparedness Guidelines, the NIPP, and the National Strategy for Transportation Security (NSTS), with particular focus on high-risk and high consequence transit systems.
 - *Port Security Grant Program* – The PSGP provides grant funding to port areas for the protection of critical port infrastructure from terrorism. PSGP funds are primarily intended to assist ports in enhancing port-wide risk management capabilities, enhanced domain awareness, capabilities to prevent, detect, respond to, and recover from attacks involving Improvised Explosive Devices (IEDs) and other non-conventional weapons, as well as training and exercises. PSGP funds are allocated to the Nation’s highest risk port areas to address priorities identified in National Preparedness Guidelines (NPG), the National Infrastructure Protection Plan (NIPP), and the National Strategy for Maritime Security.
 - *Buffer Zone Protection Program* - The BZPP provides funds to build security and risk-management capabilities at the State and local levels that will help protect critical infrastructure from acts of terror. Specifically, the program helps to implement Buffer Zone Plans (BZPs) by providing funds to support planning and equipment acquisition. BZPs help identify preventive and protective measures that make it more difficult for terrorists to conduct surveillance or launch attacks within the immediate vicinity of high-risk critical infrastructure assets. BZPs are developed in cooperation between DHS and State and local officials, and help increase the preparedness capabilities of the jurisdictions responsible for the security of surrounding communities.

National Preparedness Directorate (NPD)

NPD is responsible for administering the Training, Measurement, and Exercise Programs, which include exercises, training, technical assistance, and evaluations. In FY 2011, this will include the National Exercise Programs (NEP), National Domestic Preparedness Consortium, Continuing Training Grants, and Technical Assistance (TA) and Evaluations and Assessment Programs.

Training, Measurement, and Exercise Programs:

Training, Measurement, and Exercise Programs provide resources to support homeland security preparedness activities for State and local capabilities as outlined in the National Preparedness Guidelines and Homeland Security Act of 2002. For FY 2011, there are six programs included in Training, Measurement, and Exercise Programs:

- *National Exercise Program (NEP)* - NEP provides an organized approach to setting priorities for exercises, reflecting those priorities in a multi-year schedule of preparedness-related security exercises that serve the strategic and policy goals of the U.S. Government, and addressing findings from those exercises in a disciplined, interagency process.
- *Continuing Training Grants Program* - This program provides first responders with a comprehensive Weapons of Mass Destruction (WMD) training program that improves their capacity to prevent, protect against, respond to, and recover from acts of terrorism.
- *National Domestic Preparedness Consortium* – Including the Center for Domestic Preparedness, this program identifies training needs for all response disciplines responsible for terrorism and other catastrophic event prevention, deterrence, and incident response. The Consortium specifically focuses on enhancing first responders' capability to prepare for, respond to, protect against, and recover from incidents involving chemical, biological, radiological, nuclear, or explosive (CBRNE) agents.

Technical Assistance (TA) and Evaluation and Assessment Program - The TA portion is a capabilities-based program structured to build and sustain State and local capacity in priority preparedness activities. The TA services developed and delivered to State and local homeland security personnel address the full spectrum of the goals, priorities, and capabilities outlined in the National Preparedness Guidelines. The Evaluations and Assessment portion provides for the successful performance of preparedness policy, planning, and assessments to synchronize and integrate the preparedness activities conducted across the Federal government and among the State and local stakeholders.

C – Budget Request Summary:

In FY 2011, FEMA requests 664 positions, 616 FTE, and \$4,000,590,000 for State and Local Programs, excluding AARA emergency funding provided in P.L. 111-5. This represents a decrease of \$164,610,000 from FY 2010. While the proposed budget reflects a decrease for certain grant programs, it provides significant Federal funding to support state and local government programs that help prevent or respond to threats or incidents of terrorism and other events.

Proposed funding levels for specific PPAs are as follows:

PPA 1 – State and Regional Preparedness Program (\$2,040,000,000): In FY 2011, FEMA requests \$2.040 billion for Homeland Security Prevention and Protection Programs, which includes the State Homeland Security Program (SHSP), Emergency Management Performance Grants (EMPG), the Regional Catastrophic Preparedness Grants Program (RCPGP), and Firefighter Assistance Grants (including AFG, SAFER, and FP&S).

PPA 2 – MSA Preparedness Program (\$1,750,000,000): In FY 2011, FEMA requests \$1.750 billion for grants under the Urban Area Security Initiative (UASI), the Port Security Grants Program (PSGP), the Transit Security Grants Program (TSGP), and the Buffer Zone Protection Program (BZPP).

PPA 3 – Training, Measurement, and Exercise Programs (\$210,590,000): In FY 2011, FEMA requests \$210.5 million for Training, Measurement, and Exercise Programs, which include the National Exercise Program (NEP), Continuing Training Grants Program (CTGP), National Domestic Preparedness Consortium (NDPC), and Technical Assistance (TA) and Evaluations and Assessment Program.

PPA 4 – Management and Administration (\$): In FY 2011, FEMA requests that out of the above three PPAs, not to exceed 4.7% be made available for Management and Administration to GPD and NPD to support the full range of grant administration, related preparedness activities, program administration activities, and FEMA's support organizations for infrastructure and administrative activities, including contributions to the Departmental working capital contributions. This amount will be transferred post-enactment to the Management and Administration appropriation.

Totals for State and Local Programs (SLP), Firefighter Assistance Grants (AFG), and Emergency Management Performance Grants (EMPG).		FY 10 Enacted Budget	FY 11 Request
BUDGET ACTIVITY			
1. State and Regional Preparedness Program		\$2,353,700,000	\$2,040,000,000
	State Homeland Security Grant Program	\$890,000,000	\$1,050,000,000
	Regional Catastrophic Planning Grants	\$35,000,000	\$35,000,000
	Medical Surge Grants (Metropolitan Medical Response System)	\$41,000,000	\$0
	Citizen Corps	\$13,000,000	\$0
	Interoperable Emergency Communications Grants	\$50,000,000	\$0
	Real ID Grants	\$50,000,000	\$0
	Assistance Firefighter Grants	\$810,000,000	\$610,000,000
	Emergency Mgmt Performance Grants	\$340,000,000	\$345,000,000
	Operation Stonegarden	\$60,000,000	\$0
	Emergency Operations Centers	\$60,000,000	\$0
	Rural Domestic Preparedness Consortium	\$3,000,000	\$0
	Cybercrime Counter-terrorism Training	\$1,700,000	\$0
2. Metropolitan Statistical Area (MSA) Preparedness Program		\$1,549,000,000	\$1,750,000,000
	UASI	\$887,000,000	\$1,100,000,000
	Buffer Zone Protection Program	\$50,000,000	\$50,000,000
	Port Security Grants	\$300,000,000	\$300,000,000
	Rail & Transit Program	\$300,000,000	\$300,000,000
	Over-the-Road Bus Security Grants	\$12,000,000	\$0
3. Training, Measurement and Exercise Program		\$262,500,000	\$210,590,000
	National Exercise Program	\$40,000,000	\$42,000,000
	Continuing & Emerging Training Grants	\$29,000,000	\$21,590,000
	Center for Domestic Preparedness/Noble	\$62,500,000	\$62,500,000
	National Domestic Preparedness Consortium	\$102,000,000	\$51,500,000
	Technical Assistance	\$13,000,000	\$15,000,000
	Evaluation & Assessment (PPP&A)	\$16,000,000	\$18,000,000
4. Management and Administration		Percentage Transfer	Percentage Transfer
TOTAL SALP, EMPG & AFG		\$4,165,200,000	\$4,000,590,000

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs**
Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program/Project Activity	FY 2009 Actuals		2010 Enacted Budget		FY 2011 Request		Total Adjustments-to-Base					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
State and Regional Preparedness Program	---	\$2,205,960	---	\$2,353,700	---	\$2,040,000	---	\$ (313,700)	---		---	\$ (313,700)
State Homeland Security Grant Program		\$889,941		\$890,000		\$1,000,000						\$ 110,000
Regional Catastrophic Planning Grants		\$34,913		\$35,000		\$35,000						\$ -
Medical Surge Grants (Metropolitan Medical Response System)		\$40,959		\$41,000		\$0						\$ (41,000)
Citizen Corps		\$14,933		\$13,000		\$0						\$ (13,000)
Interoperable Emergency Communications Grants		\$70,000		\$50,000		\$0						\$ (50,000)
Real ID Grants		\$48,575		\$50,000		\$0						\$ (50,000)
Assistance Firefighter Grants		\$667,551		\$810,000		\$610,000						\$ (200,000)
Emergency Mgmt Performance Grants		\$314,433		\$340,000		\$345,000						\$ 5,000
Operation Stonegarden		\$90,000		\$60,000		\$50,000						\$ (10,000)
Emergency Operations Centers		\$33,003		\$60,000		\$0						\$ (60,000)
Rural Domestic Preparedness Consortium		\$0		\$3,000		\$0						\$ (3,000)
Cybercrime Counter-terrorism Training		\$1,652		\$1,700		\$0						\$ (1,700)
MSA Preparedness Program	---	\$1,684,420	---	\$1,549,000	---	\$1,750,000	---	\$ 201,000	---		---	\$ 201,000
UASI		\$837,475		\$887,000		\$1,100,000						\$ 213,000
Buffer Zone Protection Program		\$49,975		\$50,000		\$50,000						\$ -
Port Security Grants		\$399,926		\$300,000		\$300,000						\$ -
Rail & Transit Program		\$374,942		\$300,000		\$300,000						\$ -
Over-the-Road Bus Security Grants		\$11,877		\$12,000		\$0						\$ (12,000)
Trucking Security Grant Program		\$2,225		\$0		\$0						\$ -
Commercial Equipment Direct Assistance Program (CEDAP)		\$8,000		\$0		\$0						\$ -

Training, Measurement, and Exercise Program	--	\$261,961	--	\$262,500	--	\$210,590	---	\$ (51,910)	---	---	---	\$ (51,910)
National Exercise Program		\$39,980		\$40,000		\$42,000						\$ 2,000
Continuing & Emerging Training Grants		\$30,945		\$29,000		\$21,590						\$ (7,410)
Center for Domestic Preparedness/Noble		\$62,218		\$62,500		\$62,500						\$ -
National Domestic Preparedness Consortium		\$101,903		\$102,000		\$51,500						\$ (50,500)
Technical Assistance		\$10,948		\$13,000		\$15,000						\$ 2,000
Evaluation & Assessment (PPP&A)		\$15,967		\$16,000		\$18,000						\$ 2,000
Management and Administration	276	\$0	616	\$0	616	\$0	---	\$ -	---	---	---	\$ -
Subtotal, Enacted Appropriations and Budget Estimates	276	\$4,152,341	616	\$4,165,200	616	\$4,000,590	---	\$ (164,610)	---	\$ -	---	\$ (164,610)
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	276	\$4,152,341	616	\$4,165,200	616	\$4,000,590	---	(\$164,610)	---	\$0	---	(\$164,610)

III. Current Services Program Description by PPA

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
State & Regional Preparedness Program
Program Performance Justification**
(Dollars in Thousands)

PPA: State & Regional Preparedness Program

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	-	-	-
2010 Enacted	-	-	2,353,700
2011 Adjustments-to-Base	-	-	(312,700)
2011 Current Services	-	-	2,040,000
2011 Total Request	-	-	2,040,000
Total Change 2010 to 2011	-	-	(313,700)

FEMA requests \$2,040,000,000 for this activity. This is a decrease of \$313,700,000 from FY 2010. In FY 2011, the Administration proposes to again realign the Firefighter Assistance Grants Program and the Emergency Management Performance Grants Program into the State and Local Programs appropriation.

CURRENT SERVICES PROGRAM DESCRIPTION:

The State and Regional Preparedness Program include four grant programs: the State Homeland Security Program (SHSP), Emergency Management Performance Grants (EMPG), Regional Catastrophic Preparedness Grants Program (RCPGP), Firefighter Assistance Grants Program (including AFG, SAFER, and FP&S).

State Homeland Security Program (SHSP) - \$1,050 billion

The SHSP is a primary funding source for building homeland security capabilities that align with the National Preparedness Guidelines (NPG) at the State and local levels. States and localities use SHSP funds to build a wide range of homeland security capabilities. Most capabilities specific to terrorism are also applicable to large-scale

natural disasters and public health emergencies. Grant allocations are based on an analysis of risk and effectiveness, but each State and territory is assured a minimum allocation. Projects funded under SHSP support building and sustaining capabilities at the State and local levels through planning, equipment acquisition, training, and exercise activities and helps States to implement the strategic goals and objectives included in State homeland security strategies. The SHSP supports activities within all four homeland security mission areas, as well as the National Priorities identified in the National Preparedness Guidelines. In FY 2011, \$50 million of this funding will be used for the Operation Stonegarden Grant Program.

The accelerated funding cycle, under which guidance and applications must be developed and released in a matter of weeks, has impeded the program's ability to require grantees to develop a coordinated grant allocation strategy that can be used to track program resources. This methodology establishes a more deliberate and up-front planning process. As such, greater time is allotted for State application development and review. DHS anticipates making grant awards by the 3rd quarter of FY 2011, similar to FY 2010.

Operation Stonegarden Grant Program (OPSG) (\$50 million)

The OPSG provides funding to designated localities to enhance cooperation and coordination between Federal, State, local, and tribal law enforcement agencies in a joint mission to secure the United States borders along routes of ingress from International borders. Funding for OPSG in 2011 prioritizes State, local, and tribal governments that continue to bear the brunt of the Southwest Border security threat. Local units of government at the county level or equivalent and federally recognized tribes may apply for funding from DHS through the State Administrative Agency (SAA).

Emergency Management Performance Grants (EMPG) - \$345 million

The EMPG program provides resources to assist State and Local governments to sustain and enhance all hazards emergency management capabilities. States have the opportunity to use EMPG funds to further strengthen their ability to support emergency management activities while simultaneously addressing issues of national concern as identified in the National Priorities of the National Preparedness Guidelines. The award allocation method will incorporate risk methodology.

Firefighter Assistance Grants - \$610 million

The Firefighter Assistance Grants program actually consists of three individual programs. The Assistance to Firefighter Grants (AFG) program, the Staffing for Adequate Fire and Emergency Response (SAFER) program, and the Fire Prevention and Safety (FP&S) program are all part of the Firefighter Assistance Grants program.

AFG awards grants directly to fire departments and non-affiliated EMS organizations throughout the United States to support one-year projects improving the effectiveness and safety of the Nation's first-responders in homeland security, firefighting, and EMS operations. Under its authorizing legislation, AFG must also expend a minimum of five percent of appropriated funds for fire prevention activities under FP&S.

FEMA's Grant Programs Directorate (GPD) administers the program, in cooperation with the United States Fire Administration (USFA). The entire AFG process is fully automated in an e-grant system. Applicants apply online, grants are awarded electronically, grantees manage their grants online (payment requests, amendments, etc.), and grants are monitored and closed out electronically.

Regional Catastrophic Preparedness Grants - \$35 million

The Regional Catastrophic Preparedness Grant Program (RCPGP) focuses on highest risk Urban Areas and surrounding regions where its impact will have the most significant effect on our Nation's collective security and resilience. The grant complements ongoing state and urban Area efforts, address Post-Katrina Emergency Management Reform Act mandates, and support initiatives underway within FEMA's Disaster Operations, Disaster Assistance, Mitigation and Logistics Directorates, the DHS Incident Management Planning Team, the DHS Office of Infrastructure Protection and other Federal planning and preparedness agencies.

Recent and Planned Accomplishments

FY 2009 Accomplishments:

In FY 2009 over \$3 billion in grant funding was awarded to our nation's first responders, which included the following programs:

- Over \$1.7 billion for the Homeland Security Grant Program.
- Over \$300 million for the Emergency Management Performance Grant Program.
- \$90 million for Operation Stonegarden Grant Program (includes \$30 million supplemental)
- \$48 million for the Driver's License Security Grant Program.
- \$48 million for the Interoperable Communications Grant Program.
- \$33 million for the Emergency Operations Center.
- \$31 million for the Regional Catastrophic Preparedness Grant Program.
- Brought together more than 100 state and local homeland security experts to evaluate State and Urban area applications.
- Conducted After-Action conferences with grantees to solicit feedback on the FY 2009 grant process.
- Developed a fire station construction program under the America Recovery and Reinvestment Act (ARRA). The \$210 million appropriated funds resulted in 6,025 electronically submitted applications for \$9.9 billion in federal funds. Approximately 90 awards were made from these applications.

FY 2010 Planned Accomplishments

- In conjunction with the National Preparedness Directorate's Task Force, stakeholders and Administration representatives, review all FEMA grant programs for the FY 2011 cycle.
- Work with the FEMA Administrator's Reporting Requirements Working Group to establish how to move forward on measuring grant effectiveness.
- Continue monitoring and enhancement of internal evaluation capabilities to further guide program planning and targeting technical assistance efforts.
- Began implementation and monitoring of ARRA fire station construction grants.

FY 2011 Planned Accomplishments

- As a result of review efforts in FY 2010, release revised program guidance packages that reflect the Administration's priorities, as well as reduce the burden on grantees.
- Continue monitoring and enhancement of internal evaluation capabilities to further guide program planning and targeting technical assistance efforts.
- Initiate a second strategic review of AFG and the AFG strategic plan.
- Implement improvements to the processing of SAFER Grants in order to expedite actions and accelerate grantee management activities.
- Building on the work on the work done by the Reporting Requirements Working Group, establish a comprehensive assessment system with single point of entry for all data collection efforts within FEMA, include the measurement of grant effectiveness.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Metropolitan Statistical Area (MSA) Preparedness Program
Program Performance Justification**
(Dollars in Thousands)

PPA: Metropolitan Statistical Area (MSA) Preparedness Program

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	-	-	1,549,000
2011 Adjustments-to-Base	-	-	201,000
2011 Current Services	-	-	1,750,000
2011 Total Request	-	-	1,750,000
Total Change 2010 to 2011	-	-	201,000

*The table above excludes ARRA funding of \$300 million provided in P.L. 111-5. FEMA requests \$1,750,000,000 for this activity. There is an increase of \$201,000,000 from FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

This PPA is made up of grant programs under the Urban Area Security Initiative (UASI), the Port Security Grants Program (PSGP), the Transit Security Grants Program (TSGP), and the Buffer Zone Protection Program (BZPP).

Urban Area Security Initiative Grants (UASI) - \$1.1 billion

The UASI addresses the unique multi-disciplinary planning, operations, equipment, training, and exercise needs of high-threat, high-density urban areas, and assists them in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats of acts of terrorism. This program provides funding to high-risk urban areas based on risk and effectiveness.

In FY 2011, program participants may use UASI funding to achieve or enhance all of the 37 capabilities outlined in the National Preparedness Guidelines and Target Capabilities List, as long as they enhance the capability to prevent, protect against, respond to, or recover from acts of terrorism. Proposed investments under the UASI program should focus on the National Priorities and the most urgent State and local priorities. In FY

2011, up to \$200 million of this funding will be used for additional security resulting from terror-related trials.

Port Security Grant Program (PSGP) - \$300 million

The PSGP provides grant funding to port areas for the protection of critical port infrastructure from terrorism. PSGP funds are primarily intended to assist ports in enhancing port-wide risk management capabilities, enhanced domain awareness, capabilities to prevent, detect, respond to, and recover from attacks involving Improvised Explosive Devices (IEDs) and other non-conventional weapons, as well as training and exercises.

PSGP funds are allocated to the Nation's highest risk port areas to address priorities identified in National Preparedness Guidelines (NPG), the National Infrastructure Protection Plan (NIPP), and the National Strategy for Maritime Security. The pool of eligible port applicants has been expanded to reflect the changes required by the SAFE Port Act, which states that all entities covered by an Area Maritime Security Plan (AMSP) may submit an application for consideration. PSGP funds support the development of an integrated risk-based decision-making process for each port area patterned after the risk management framework articulated in the NIPP. At the recommendation of the U.S. Coast Guard, in several cases, multiple port areas have been grouped together to reflect geographic proximity, shared risk, and a common waterway.

Rail/Transit Security Grant Program (TSGP) - \$300 million

The TSGP provides grant funding to support mass transit agencies within the Nation's key high-threat urban areas in their efforts to enhance security measures for critical transit infrastructure, including bus, rail, and ferry systems. This program also provides funding to Amtrak for continued security enhancements for intercity rail operations between key, high-risk urban areas throughout the United States. A risk-based approach is used to allocate TSGP funding to eligible mass transit and intra-city bus systems on a regional basis to address priorities identified in the National Preparedness Guidelines, the NIPP, and the National Strategy for Transportation Security (NSTS), with particular focus on high-risk and high consequence transit systems.

Buffer Zone Protection Program (BZPP) - \$50 million

The BZPP provides funds to build security and risk-management capabilities at the State and local levels that will help protect critical infrastructure from acts of terror. Specifically, the program helps to implement Buffer Zone Plans (BZPs) by providing funds to support planning and equipment acquisition. BZPs help identify preventive and protective measures that make it more difficult for terrorists to conduct surveillance or launch attacks within the immediate vicinity of high-risk critical infrastructure assets. BZPs are developed in cooperation between DHS and State and local officials, and help increase the preparedness capabilities of the jurisdictions responsible for the security of surrounding communities.

Recent and Planned Accomplishments

FY 2009 accomplishments: In FY 2009 over \$3 billion in grant funding was awarded to our nation's first responders, including the following programs:

- Nearly \$400 million for the Port Security Grant Program.
- Nearly \$400 million for the Transit Security Grant Program.
- \$48 million for the Buffer Zone Protection Program.
- \$15 million for the Non-Profit Security Grant Program
- Conducted programmatic monitoring on States and Urban Areas.
- Awarded over \$500 million in American Recovery and Reinvestment Act (ARRA) funds for Port Security, Transit Security and Fire Station Construction.

FY 2010 Planned Accomplishments:

- Institutionalize the program alignment, metrics/reporting systems and capabilities based on planned accomplishments from FY 2009.
- Continue monitoring and enhancement of internal evaluation capabilities to further guide program planning and targeting technical assistance efforts.
- Provide additional feedback to state and local partners on the outcome of the Department's risk analysis through customized risk and effectiveness profiles.
- Continue to transition key grant programs and functions to the region and establish the regions as key component in the overall grant process
- Work with the FEMA Administrator's Reporting Requirements Working Group to establish how to move forward on measuring grant effectiveness

FY 2011 Planned Accomplishments:

- In collaboration, with the National Preparedness Directorate, update the existing Homeland Security State/Urban Area strategies as necessary.
- Continue monitoring and enhancement of internal evaluation capabilities to further guide program planning and targeting technical assistance efforts.
- Release revised program guidance packages that may reflect a consolidation of programs, thereby reducing the burden on grantees.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Training Measurement and Exercise Program
Program Performance Justification**
(Dollars in Thousands)

PPA: Training Measurement and Exercise Program

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	-	-	262,500
2011 Adjustments-to-Base	-	-	(51,910)
2011 Current Services	-	-	210,590
2011 Total Request	-	-	210,590
Total Change 2010 to 2011	-	-	(51,910)

FEMA requests \$210,590,000 for this activity. There is a decrease of \$51,910,000 from FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

This PPA consists of grants, exercises, technical assistance, and training programs that includes: the National Exercise Program, Continuing Training Grant Program, National Domestic Preparedness Consortium, and the Technical Assistance and Evaluation and Assessment Program.

National Exercise Program (NEP) - \$42 million

The National Exercise Program (NEP) establishes a national, interagency-wide program to coordinate homeland security preparedness-related exercise activities. The NEP provides an organized approach to set priorities for exercises, reflects those priorities in a multi-year schedule of exercises that serves the strategic and policy goals of the U.S. Government, and addresses findings from those exercises in a disciplined interagency process.

The NEP is based on the following:

- *National Level Exercises:* Cabinet Officers and other key officials will be required to participate in five exercise events annually. One of these will be an

operations-based exercise (i.e., full scale or functional/command post), the National Level Exercise (NLE). NLEs will test existing policies, plans, and capabilities in concert with intergovernmental, private sector, and international partners, where appropriate.

1. Proposed National Level Exercises:

- 1. FY 10 – Domestic Terrorism – Improvised Nuclear Device*
- 2. FY 11 – Domestic Non-Terrorism – Major Earthquake*
- 3. FY 12 – International / Defense Crisis – Cyber Attack*
- 4. FY 13 – Domestic Non-Terrorism – Major Hurricane*

In addition, four discussion-based exercises (i.e., tabletops or seminars), known as Principal Level Exercises (PLE), will be conducted each year to address emerging issues.

- *Interagency Ownership:* The Domestic Readiness Group (DRG) Exercise and Evaluation Sub-Policy Coordination Committee (E&E Sub-PCC) will recommend priorities, schedules, and corrective action issues to the Deputies Committee. A multi-agency NEP Executive Steering Committee, chaired by DHS, will provide day-to-day coordination of the program and frame issues for the full E&E Sub-PCC (and the DRG as appropriate).
- *Five-Year Exercise Schedule:* A multi-year schedule of exercises and exercise topics will be presented to the Deputies no later than June 30 of each year, in advance of the budget call. Existing DHS and Department of Defense (DOD) exercise scheduling conferences will be used. The schedule will be driven by U.S. Government-wide strategic priorities.
- *Corrective Action Program (CAP):* To ensure meaningful exercise outcomes, a NEP CAP process will identify, analyze, prioritize, assign, and track progress on issues identified in NEP exercises.
- *Alignment of Other Exercises:* The NEP does not replace other exercise programs, although some individual Department and Agency exercises may be incorporated into NEP exercises where they align closely with the goals and objectives. With only one NLE (rather than two), more schedule time is available for Department and Agency internal preparatory activities, which may be used to prepare for future NEP events, given the five-year schedule, or to address other organizational priorities.
- *Lessons Learned Information Sharing (LLIS):* LLIS.gov is a web-based tool which serves as the national network of lessons learned, best practices, innovative ideas, and preparedness information for homeland security and emergency response professionals. With a community of over 46,000 members, LLIS.gov is also a network that enables those professionals to share their knowledge and expertise in a secure, online environment.

Recent and Planned Accomplishments

FY 2009 Accomplishments:

- Conducted National Level Exercise 2009 prevention exercise; produced after action documentation
- Implemented the Corrective Action Program (CAP) to identify areas for improvement and assigned agency contacts to track completion.
- Conducted four Principal-Level exercises, over 100 Regional, State and Local exercises.

FY 2010 Planned Accomplishments:

- Conduct National-Level Exercise 2010 and plan Exercise 2011.
- Refine and improve data collection and evaluation processes used during exercises and real world events.
- Continue to analyze and integrate the functionality of the legacy CAP, RAMP, and LLIS systems. Conduct stakeholder meetings to define and prioritize requirements.
- Develop or enhance elements of the new RAMP to address data collection, analysis, reporting, trend analysis, and tracking for exercises and real world events.
- Refine LLIS.gov by identifying enhancements to system functionality and the user interface, and by generating, validating and disseminating Lessons Learned, Best Practices, Good Stories, and Practice Notes.

FY 2011 Planned Accomplishments:

- Conduct National-Level Exercise 2011.
- Reform the National Exercise Program with a focus on smaller-scale, more efficient exercises that are based on validating plans.
- Conduct four Principal-Level Exercises.
- Continue the Regional Exercise Support Program and Terrorism Prevention Exercise Program (NEP Tier IV), promoting regional collaboration.
- Utilize the National Exercise Simulation Center (NESC) for National-level, Regional, State and local exercises.

National Domestic Preparedness Consortium (NDPC) (\$114 million)

The NDPC consists of the following members:

- Center for Domestic Preparedness (CDP), Anniston, AL
- The Energetic Materials Research and Testing Center (EMRTC), New Mexico Institute of Mining and Technology (New Mexico Tech), Socorro, NM.
- The National Center for Bio-Medical Research and Training (NCBRT), Louisiana State University (LSU), Baton Rouge, LA.
- The National Emergency Response and Rescue Training Center (NERRTC) at Texas A&M University, College Station, TX.
- The U.S. Department of Energy's (DOE) Nevada Test Site (NTS)/Counter Terrorism Operations Support (CTOS).

The NDPC provides first responders with a comprehensive Weapons of Mass Destruction (WMD) training program that improves their capacity to prevent, protect against, respond

to, and recover from acts of terrorism. In administering this program, the Training and Exercise Integration (TEI) Division within the National Integration Center oversees, coordinates, and strives to institutionalize the development and delivery of comprehensive training that targets members of the responder community, providing WMD knowledge to enhance their skills and abilities. Ensuring the quality and consistency of training of first responders is a key element in FEMA's preparedness mission.

Each of the NDPC components focuses on development and delivery of products and services according to their institutional expertise. The Consortium specifically focuses on enhancing first responders' capability to prepare for, respond to, protect against, and recover from incidents involving chemical, biological, radiological, nuclear, or explosive (CBRNE) agents. Under this arrangement, the NDPC demonstrated results in the Nation's unified effort to bring all levels of government, business, and the emergency response community to enhanced levels of preparedness.

- **Center for Domestic Preparedness (\$62.5 million).** Funds for the Center for Domestic Preparedness (CDP), a component of FEMA's National Integration Center (NIC), are allocated to provide specialized terrorism preparedness training for State, local, and tribal emergency responders on capability-building skills tied to national priorities, especially those related to Weapons of Mass Destruction (WMD). The CDP maintains a campus of 124 acres and approximately 900,000 square feet of training and support facilities. This one of a kind national asset is the only federally chartered WMD training facility. The CDP offers a unique environment providing advanced, hands-on, all-hazards preparedness training to State, local, and tribal emergency responders. The facilities operated by the CDP offer a unique capability that enables responders to train using toxic nerve agents while ensuring an optimized and safe learning environment for students. Within the funding provided for FY 2011, \$5.5 million is to be used to operate the Noble Training Facility (NTF), which is the only hospital facility in the United States dedicated solely to training hospital and healthcare professionals in disaster preparedness and response operations. In addition to developing and delivering emergency responder training at various levels for a broad range of emergency response disciplines, the CDP also participates in efforts to standardize and decentralize this training for State, local, and tribal responders.

Recent and Planned Accomplishments

FY 2009 Accomplishments

- Conducted 98,970 direct and in-direct course completions. The advanced hands-on training enables responders to prevent, respond to, and recover from real world incidents involving acts of terror, hazardous materials, and manmade disasters.
- Developed a two-day Pandemic Influenza orientation course for delivery to the FEMA Incident Management Assistance Teams in preparation for potential H1N1 response requirements. The course was developed in collaboration with FEMA's

Disaster Operations and distributed to all FEMA regions within a two week expedited cycle.

- Provided training material and certificates in support of NIMS implementation at the state, tribal and local level for 1,872 ICS course deliveries by state and tribal approved authorized trainers to 28,833 state, local, and tribal emergency preparedness professionals.

FY 2010 Planned Accomplishments

- Enhance existing training venues (Noble Training Facility and COBRA Training Facility), by adding advanced CBRNE technology to training programs, enhancing scenarios by incorporating simulations as appropriate, and upgrading realistic training venue environments that further challenge the responder students' planning, decision-making skills, and the implementation of operational tactics.
- Identify and further expand training partnerships internal and external to DHS and FEMA that support the mission of the CDP and other agencies focused on State, local, and tribal emergency response capabilities to incidents of terrorism or natural disaster involving CBRNE or mass casualties.
- Focus mobile training efforts and increase capabilities by providing police academies, fire academies, community colleges, universities, and major metropolitan departments with opportunities to participate in the CDP's mentor program with the goal being to institutionalize CDP training and development of a local training delivery capability through partnerships designed to meet annual refresher and sustainment training requirements.

FY 2011 Planned Accomplishments

- Increase recognition and value of the Center's Noble Training Facility through accreditation, certification, and endorsement of leading healthcare regulatory, accreditation, and credentialing organizations.
- Expand healthcare training opportunities for State, local and tribal agencies by offering two healthcare courses through the Center's mobile training teams and developing two web-based courses for healthcare and public health professionals.
- Develop and implement one advanced performance-oriented CBRNE training course specifically designed for a task force or strike team response to, and mitigation of, hazards associated with terrorism, natural disasters, or accidents that incorporate target capabilities-based training objectives and operational activities within the COBRA Training Facility.
- Implement a quarterly integrated training exercise as a capstone end-of-course event for resident training that incorporates multiple target capabilities, incident command, and daytime and nighttime operational activities based on National Planning Scenarios that covers a minimum of two operational periods.
- Expand non-resident training capabilities by 10% by strategically building partnerships with State Administrative Agency (SAA) and FEMA Region training points of contact for the purpose of providing comprehensive training approaches that meet identified training needs in preparation for National Special Security Events and other risk-based requirements.

Continuing Training Grant (CTG) Program (\$21.5 million) Funds for the CTG are administered through the HSNTP and are managed by the Training and Exercise Integration Division within the National Integration Center (NIC). CTG programs traditionally meet the continuing training needs of responder communities and consist of current training partners that have previously received grant funding to provide training and education. In addition to providing training across various responder disciplines, CTG also includes programs that deliver homeland security curricula in the form of executive education programs and accredited master's degree education, such as the Center for Homeland Defense and Security (CHDS) at the Naval Postgraduate School in Monterey, CA.

Recent and Planned Accomplishments

Training and Exercise Integration (TEI) Division

FY 2009 Accomplishments

- Training Delivery – Through the HSNP, TEI trained 125,943 responders in Fiscal Year 2009 in resident, non-resident, train-the-trainer and blended learning programs, and reached out to more than 151,000 responders with preparedness information through satellite broadcasts. TEI completed reviews of 14 courses, 63 instructor audits and 24 desk audits in FY09. Conducted site visits and/or attended course pilots for 100% of current training providers.
- Learning Management Systems Consolidation and Enhancement - Continued improvement to the Registration and Evaluation System (RES), to include Geographic Information System (GIS) capability, new issue tracking tools, and custom reporting functionality for end users.

FY 2010 Planned Accomplishments

- Learning Management Systems Consolidation & Enhancement - Enhance the Registration and Evaluation System (RES). Implement standardized form usable across FEMA training organizations. Develop a searchable online course catalog for FEMA training and partner with DHS to include FEMA training in an online compendium of homeland security training available across the Nation. Continue working group process to develop documentation on standardized business practices and finalize technical requirements for systems integration for FEMA training entities.
- Training Delivery - Train an additional 110,000 responders in resident, non-resident, Train-the-Trainer and blended learning programs. Develop and deliver an additional 12 live response satellite broadcasts that address relevant FEMA issues and programs. Analyze products from 2009 NDPC Strategy and update as necessary. Conduct course audits in ten percent of TEI approved classes.
- National Training Program Support - Conduct a series of roundtable discussions with senior leaders and training professionals across the Nation about the National

Training Program, define and prioritize requirements, and draft a national training strategy. Continue alignment of existing training courses and development of an appropriate framework for training.

FY 2011 Planned Accomplishments

- Learning Management Systems Consolidation & Enhancement - Continue to enhance and integrate the Registration and Evaluation System (RES). Begin design and development of consolidated learning systems using standardized business practices for FEMA training entities.
- Training Delivery - Train an additional 125,000 responders in resident, non-resident, Train-the-Trainer and blended learning programs. Develop and deliver an additional 12 live response satellite broadcasts that address relevant FEMA issues and programs. Analyze products from 2010 NDPC Strategy and update as necessary. Conduct course audits in ten percent of TEI approved classes. Continue conducting course review and certification of 100% of courses developed by TEI Training Partners.
- National Training Program Support - Finalize national training strategy and begin implementation. Coordinate and publish a series of documents which provides policy, guidance, and smart practices related to training design, development, delivery, and evaluation. Convene meetings with stakeholders to provide ongoing management and maintenance. Continue alignment of existing training courses and development of an appropriate framework for training.

Technical Assistance (TA) and Evaluation and Assessment Program (\$33 million)

The Homeland Security Planning & Technical Assistance Program (HSPTAP) is a capabilities-based program structured to build and sustain State and local capacity in priority preparedness activities. Under this vision, the TA services developed and delivered to State and local homeland security personnel address the full spectrum of the goals, priorities, and capabilities outlined in the National Preparedness Guidelines. As capability gaps are identified, the TA program develops services that can address those needs and build priority capabilities in the most critical areas. Throughout all of the technical assistance programs, planning guidance and support is a common thread. The TA program is designed to be an agile program that addresses present day areas of greatest State and local need.

The program is committed to transferring and institutionalizing knowledge at the State and local level and provides a dynamic menu of services responsive to national priorities. The TA program is performance-based and effectively leverages limited resources. TA support is provided through lessons learned and best practices, planning guidance and templates, and direct support through workshops, subject-matter expert access, and planner support.

Technical assistance support requirements are characterized into three areas:

- Planning Services
- Prevention
- Grants Management

The Technical Assistance Program's processes will also serve as a conduit for direct support from other Directorates within FEMA, and potentially other components within the Department.

Response & Recovery TA – The enhancement of response and recovery capabilities at all levels of government is critical to national preparedness. Planning services are provided in support of all threats and hazards. The programs under this category draw on the subject-matter expertise resident within FEMA and the Department overall, as well as from throughout the emergency response community. The primary focus for this support is on planning for catastrophic events, as well as enhancing overall planning to provide for improved deliberate and crisis action planning at the State and local level. Additionally, these services will support the development of planning guidance and planning standards or measures. Finally, these services will be leveraged to provide support to specialized planning projects, such as the Regional Catastrophic Preparedness Program and the Task Force for Emergency Readiness (TFER).

- **Planning Services TA** – The enhancement of planning and planning capabilities at all levels of government is critical to national preparedness. Planning services are provided in support of all threats and hazards, as well as across all Target Capabilities. The programs under this category draw on the subject-matter expertise resident within FEMA and the Department overall, as well as from throughout the emergency response community. The primary focus for this support is on planning for catastrophic events, as well as enhancing overall planning to provide for improved deliberate and crisis action planning at the State and local level. Additionally, these services will support the development of planning guidance and planning standards or measures. Finally, these services will be leveraged to provide support to specialized planning projects, such as the Regional Catastrophic Preparedness Program and the Task Force for Emergency Readiness (TFER).
- **Prevention/Protection TA** - The establishment of a network of fusion centers to facilitate effective nationwide information sharing is a top priority that requires close collaboration among Federal, State, and local partners. To facilitate the development of a national fusion center capability, the U.S. Department of Homeland Security (DHS) FEMA National Preparedness Directorate (NPD) and the U.S. Department of Justice's (DOJ) Bureau of Justice Assistance (BJA) have partnered to develop the *Fusion Process Technical Assistance Program*. This program has been developed in support of the DHS Office of Intelligence and Analysis (I&A) and in coordination with the Office of the Director of National Intelligence (ODNI); the Office of the Program Manager, Information Sharing Environment (PM-ISE); the Federal Bureau of Investigation (FBI); and experts

from the State and local community—including the Global Justice Information Sharing Initiative (Global), the Criminal Intelligence Coordinating Council (CICC), and the Global Intelligence Working Group (GIWG). The joint DHS FEMA NPD/DOJ Fusion Process Technical Assistance Program provides several direct support and subject matter expert (SME) services focusing on fusion centers. This includes assistance to State and local jurisdictions on developing, implementing, and operating fusion centers. The program also provides support to identifying best practices in integrating protection activities, in partnership with the DHS Office of Infrastructure Protection, with prevention. Finally, the program supports the integration of planning guidance and support to prevention / protection efforts.

- **Grants Management Technical Assistance** - We are requesting that a separate budget line item for Grants Management Technical Assistance (TA) be continued. The *Grants Management Technical Assistance Program* facilitates grants management through focused technical assistance for all FEMA's grantees on pressing issues and concerns faced in the management of FEMA grants. The main objectives of Grants Management TA are to: (1) help participants in developing/revising effective policies, procedures, and practices in critical areas of grants management; (2) facilitate problem-solving in addressing specific grants management issues; (3) apply proven business practices that will create greater efficiency in the use of human capital to meet grants management priorities (i.e., monitoring, strategic planning, organization, program implementation, drawdown, staff training, auditing, and performance measurement); (4) improve participants' ability to conduct successful Federal and State programmatic and financial monitoring; (5) prepare participants for performance and financial audits; (6) improve participants' decision-making skills by focusing on more performance-oriented solutions which are consistent with State strategies and priorities; and (7) improve collaboration among policy, program, and financial staff as an effective means to integrate grants management operations.

Recent and Planned Accomplishments

FY 2009 Accomplishments

- Provided over 120 TA deliveries to States and Localities addressing all topic areas to support capability enhancement.
- Released national planning guidance for State and Local jurisdictions - Comprehensive Preparedness Guide (CPG) 101.
- Co-sponsored the 2009 National Fusion Center Conference, the CIKR Capabilities for Fusion Centers Workshop, and the Regional Fusion Center workshops with the FEMA Regions and I&A.

FY 2010 Planned Accomplishments

- Expand programs and activities to increase planning and technical assistance across all mission areas, to include coordinating prevention and protection information into response, recovery, and mitigation planning.
- Conduct the Nationwide Plan Review and complete five additional CPGs as prioritized to address preparedness requirements.
- Support national fusion center initiatives, including the 2010 National Fusion Center Conference and stand up of the DHS Joint Fusion Center Program Management Office (PMO).

FY 2011 Planned Accomplishments

- Expand available technical assistance programs to provide increasingly specialized support to state and local governments.
- Expand national-level planning guidance across all mission areas. Increase direct support programs to expedite the revision of State Emergency Operations Plans and the development of Regional Base Plans.
- Continue to partner with interagency representatives, to include Emergency Support Function leads, to ensure planning requirements are addressed across all mission areas.
- Continue to partner with interagency partners, including the FBI, DHS Intelligence and Analysis (I&A), and the Office of the Director of National Intelligence (ODNI) to support development and implementation of new services in support of the achievement of baseline capabilities.

The National Preparedness Directorate (NPD) Evaluations and Assessments program works to measure the effectiveness of preparedness programs and develop policy in support of its all-hazards preparedness mission. These efforts gather, analyze, and interpret national and program-specific data in the context of national preparedness strategy and guidance documents, as well as supporting threat, vulnerability, and needs assessments.

- **Comprehensive Assessment System.** In support of various requirements to develop a comprehensive assessment system, in FY 2009 NPD conducted a comprehensive review of six major assessment systems developed by DHS/FEMA in the last decade and collected preparedness data from several FEMA, DHS, and Federal Departments/Agencies. The results of this analysis are being used to inform the development and implementation of a single, nationally-integrated system and process capable of assessing the level of national preparedness. In FY 2010 and FY 2011, the Preparedness Policy, Planning, and Analysis division will expand this work in the development of a comprehensive assessment system using the technical architecture of several legacy assessment systems.
- **National Preparedness Policy.** NPD evaluates and updates existing policies and guidance related to the development and implementation of a National Preparedness System and Goal. Policies and guidance will include, among

others, the National Preparedness Guidelines, the National Planning Scenarios, and supporting documents.

- **Performance Measures and Metrics.** NPD continually tracks data on a large number of program metrics and milestones at the request of DHS, OMB and the Congress. These metrics and milestones are reported quarterly and allow FEMA to demonstrate the effectiveness and efficiency of NPD programs and provide data to inform assessment projects.
- **Reporting Requirements**
 - **Federal Preparedness Report (FPR).** The FPR is an annual report on current national preparedness levels in planning, organization, equipment, training, exercises, and evaluation that includes data drawn from all levels of government. The FPR represents an ongoing effort to conduct a comprehensive assessment of national preparedness at the Federal, State, and local levels. **State Preparedness Report (SPR).** Each State or territory receiving Federal assistance must submit an annual report on its level of preparedness to FEMA. FEMA collects the reports from all 56 States and territories and reviews and analyzes them in order to produce substantive analysis on nationwide trends, identify areas for increased attention, and inform broader assessments of national preparedness.
 - **Additional Reporting Requirements.** The National Preparedness Report (NPR) drafted by NPD in FY 2009 was a first of its kind analytical capstone designed to fulfil five congressionally mandated preparedness reporting requirements while providing a heightened level of preparedness data evaluation. The NPR includes the Federal Preparedness Report, Catastrophic Resource Report, Emergency Support Function (ESF) Report, and Emergency Medical Services (EMS) Report; and includes a summation of the State Preparedness Reports submitted annually by the States to FEMA. The consolidation of the five subordinate reports into one capstone document is intended to allow integration and much improved analysis of the disparate information contained in those reports and to decrease the reporting burden on Federal, State and local respondents. NPD will continue to meet reporting requirements in either a capstone report or in separate reports in FY 2011.
- **Prevention Preparedness Policy and Analysis.** It is a critical priority for the Nation to help States, local jurisdictions, and Federal partners in achieving prevention-related national priorities identified in the National Preparedness Guidelines. The Prevention Preparedness Policy and Analysis goal is to design and build State and local prevention programs, appropriately allocate prevention resources, and create prevention capabilities. To achieve this goal, the program will identify the major planning tasks, deliverables, priorities, and milestones, as well as provide policy oversight for prevention technical assistance, training, exercises, and evaluations and assessments. The activities within this program also include serving as an executive agent managing and maintaining the Universal Adversary Program, the National Planning Scenarios (NPS), and the

NPS Universal Adversary (UA) (prevention) prequels for DHS on behalf of interagency and intergovernmental clients.

- **National Preparedness Task Force.** NPD is leading the administrative effort of a Local, State, Tribal and Federal Preparedness task force. The task force is intended to review and revise as necessary the fundamental ways we assess preparedness. It is charged with making recommendations for all levels of government regarding disaster and emergency guidance and policy; federal grants; and federal requirements, including measuring efforts. The task force will evaluate which policies and guidance need updating and the most appropriate way to collectively assess our capabilities and capability gaps.

Recent and Planned Accomplishments

FY 2009 Accomplishments

- Collected preparedness data from State partners as well as from other FEMA components, DHS, and other Federal Departments/Agencies through the CAS Working Group, the Emergency Support Function (ESF) Survey, and the State Preparedness Reports for analysis for briefings to Congress and FEMA leadership. Drafted the first the National Preparedness Report (NPR), now in review.
- Developed first quantitative, web-based State Preparedness Report (SPR) Survey, now in review. Held a series of workshops and webinars with State/Territory and FEMA Regional Stakeholders to develop the PrepCAST, an online web portal with consolidated access to the National Incident Management System Capability Assessment Tool (NIMSCAST) and the new web-based SPR Survey Tool and the analytical tools to provide users with a single, integrated capabilities-based system. Pilot tested the SPR Survey Tool through webinars and the Grant Preparedness Directorate's Cost to Capabilities (C2C) pilot initiative.
- Completed the development of 18 Target Capabilities in an updated format to reflect feedback and lessons learned from the user community to be risk-based, measurable, and user-friendly. Updated drafts were developed through federal, State, and local government working groups involving over 650 practitioners from across the country using NIMS Resource Typing Work Groups, the FEMA Regions, and other forums with subject-matter expertise.

FY 2010 Planned Accomplishments

- Substantially revise or develop a new SPR Survey Tool based on recent guidance to reduce user burden and reduce subjectivity of reporting. Release final version of FY09 SPR Survey Tool for State/territorial SPR submissions. Complete design for PrepCAST as a single portal for several FEMA surveys begun in FY 2009. Design a single annual questionnaire for State and local reporting that combines several existing and pilot FEMA surveys that would use PrepCAST.

- Collect preparedness data for analysis for reporting requirements and for briefings to Congress and FEMA leadership. Submit to Congress required reports including the Federal Preparedness Report, State Preparedness Reports Summation, Catastrophic Resource Report, Emergency Support Functions Report, and Emergency Medical Services Report. Develop new performance measures for each budget line. Increase the number of analyzable data sources in the Comprehensive Assessment System that feed into NPD's analysis and double the number of ways NPD assesses preparedness.
- Modify national preparedness goals to reflect any revision or successor to Homeland Security Presidential Directive-8 and the recommendations of the new National Preparedness Task Force.

FY 2011 Planned Accomplishments

- Implement reporting requirements and methods of measuring preparedness that will result from the deliberations of the National Preparedness Task Force. NPD anticipates it will need to integrate a broader universe of State and local preparedness and grant reporting requirements than it planned for in FY 2010 and substantially revise and streamline or start from scratch on a new method of measurement.
- Finalize revisions to the National Preparedness Goal and Target Capabilities List or its successor and establish a maintenance and management process for continuously evaluating, updating, revising, or modifying the guidelines based upon lessons learned, changes in policy or doctrine, and the understanding of risks and capabilities in coordination with appropriate Federal, State, and local subject matter experts and practitioners.
- Establish a maintenance and management process for evaluating, updating, revising, or modifying the suite of national preparedness policies and guidance, including the National Preparedness Guidelines and the National Planning Scenarios to meet the needs of preparedness and operational programs and policies.
- Update attack tree and prequel-scenarios and perform red-team analysis to regularly inform the development of Federal interagency strategic plans, concept plans, and DHS operational plans under the National Planning System. Complete the revision of attack trees and prequel scenarios documentation for the 12 terrorism-related National Planning scenarios.
- Collect preparedness data for analysis for reporting requirements and for briefings to Congress and FEMA leadership. Submit to Congress required reports including the Federal Preparedness Report, State Preparedness Reports Summation, Catastrophic Resource Report, and Emergency Medical Services Report. Increase the number of analyzable data sources in the Comprehensive Assessment System including data from a new program in development to train third party observers of real world events and exercises.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Management and Administration
Program Performance Justification**
(Dollars in Thousands)

PPA: Management and Administration

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	664	616	-
2011 Current Services	664	616	-
2011 Total Request	664	616	-
Total Change 2010 to 2011	-	-	-

FEMA requests for program management and administration, not to exceed 4.7 percent of total funding for State and Local Programs/Firefighter Assistance Grants. These funds will be transferred to the Management and Administration account after enactment. This would fund 664 positions, and 616 FTE for this activity.

CURRENT SERVICES PROGRAM DESCRIPTION:

Management and Administration (M&A) includes traditional operational and program management support resources for the Grants Programs Directorate (GPD) and National Preparedness Directorate (NPD). This account covers the salaries and benefits for headquarters and regional staff, travel, rent, printing and supplies, related preparedness activities, administration activities, and contributions to the DHS Working Capital Fund.

National Preparedness Program - 391 Pos/362 FTE

- **Incident Management Systems Integration (IMSI)**
NPD serves as the Executive Agent for the National Response Framework (NRF) in support of the National Integration Center. IMS coordinates and brokers agency and interagency planning initiatives in support of operational response and recovery objectives for the NRF and the National Incident Management System (NIMS). The IMS plays a critical role in coordinating the various components of the NRF to ensure that the NRF remains linked to and based upon the NIMS.

Recent and Planned Accomplishments

FY 2009 Accomplishments

- Completed the revision and national distribution of NIMS doctrine and associated guides dealing with credentialing, law enforcement, standardized incident management forms, field operations guide and resource management and typing guidelines; initiated design and development of a doctrine and publication management system.
- Developed and revised NIMS and NRF training materials.
- Conducted NRF and NIMS outreach efforts, including: implementation of the Title IX Program to establish the accreditation and certification processes for the Private Sector Preparedness Voluntary Accreditation and Certification Program; development and implementation of a national mutual aid system to include supporting the creation of formalized, comprehensive, exercised, intrastate mutual aid systems in all, strengthen partnerships in the FEMA regions and oversee the outreach and education programs with FEMA, DHS and other Federal components, State, local, tribal, hospital, and healthcare partners.

FY 2010 Planned Accomplishments

- Review, revise, and distribute the National Incident Management System (NIMS) doctrine and associated guides and the National Response Framework (NRF) based on lessons learned and stakeholder input and continue NRF and NIMS outreach efforts to support and facilitate the enhancement of existing and new incident management programmatic and operational standards for consistency with NIMS principles and doctrine.
- Complete and distribute Area Command Guide, Multiagency Coordination Guide and EOC Guide with associated forms to ensure common operating picture within the coordination systems supporting Incident Commanders.
- Implement the Title IX Private Sector Preparedness program through each FEMA Region.
- In FY 2010 IMSI will use the increased funding of \$8 million to enhance mutual aid through investing in enhancing EMAC, increasing incident management interoperability, pilot testing ROSS in a state-wide deployment, as well as completion of key NIMS documents and guidelines on ICS, Training, and Credentialing.
- Establish (in coordination with DHS Office of Intergovernmental Affairs), a Federal, State, Tribal, and Local preparedness task force to make recommendations for all levels of government regarding: disaster and emergency guidance and policy; federal grants; and federal requirements, including measuring efforts.
- Evaluate policies and guidance and determine those that require and the optimal way to do so; which grant programs work the most efficiently and where

programs can be improved; and the most appropriate way to collectively assess capabilities and gaps.

- Produce recommendations (on a rolling basis as well as in a comprehensive written report) by the end of FY10 to include actions and an implementation plan.

FY 2011 Planned Accomplishments

- Review, validate and update the NIMS Typed Resources and NIMS Job Titles with qualifications for mutual aid deployment.
- Review, validate and update the NIMS Job Aids, e.g. ERFOG, ICS Forms, Positions Qualification Guide and the Command and General Staff Position Task Books.
- Review established doctrine publication management system based on lessons learned and revise needed.
- Complete biennial review and revision of the National Incident Management System (NIMS) document, revise the NRF core document, and expand the Title IX Private Sector Preparedness through FEMA regions, identify, assess and/or validate equipment and technologies that will support incident management and disaster preparedness.

- **Emergency Management Institute (EMI)**

The planning and systems aspects of the National Preparedness Directorate are complemented by the EMI which provides training to Federal, State, local, tribal, volunteer, public and private sector officials to strengthen emergency management core competencies, including incident management, operational planning, disaster logistics, emergency communications, disaster assistance, continuity programs, public disaster communications, integrated preparedness, and hazard mitigation. EMI directly supports the implementation of NIMS, the NRF, and the National Preparedness Guidelines (NPG) by conveying necessary knowledge and skills to practitioners. EMI uses a diverse training delivery system that includes residential on-site training; off-site delivery in partnership with emergency management training systems, colleges, and universities; and technology-based mediums to conduct individual training courses for emergency response personnel across the Nation.

Recent and Planned Accomplishments

FY 2009 Accomplishments

- Conducted the first emergency management orientation for Historically Black Colleges and Universities (HBCU) in support of the White House initiative to provide information on the emergency management profession; provided career information related to FEMA and general EM opportunities, expanded the established emergency management curricula to incorporate the HBCUs as EMI

Higher Education Consortium members, and support emergency management planning, and disaster responses.

- In partnership with USNORTHCOM, developed and delivered the first-ever U.S.-Mexico Integrated Emergency Management Course/Knowledge Exchange. Thirty-four U.S. and 27 Mexico students participated in this week-long, exercise-based activity to strengthen partnerships with Mexico and interagency partners and support broader U.S. security and prosperity goals.
- In coordination with other FEMA and DHS components, led the development and delivery of a comprehensive DHS Transition training and exercise program to assist in the transition of new political appointees and senior career executives into the Department. More than 260 appointees and seniors executives from 22 DHS agencies participated in the program. This program is morphing to a more comprehensive DHS senior leadership training activity

FY 2010 Planned Accomplishments

- Participate actively in the continued integration of NIC training and exercise programs and incorporation of HSEEP doctrine into its exercise-based training programs to include programs for the FEMA Regional Response Coordination Centers (RCC). EMI will expand its exercise-based training programs to include a focus on Emergency Operations Center (EOC) and Incident Management Team (IMT) interface at the local, State and Federal levels. EMI will conduct six regional/national based Senior Leadership exercise-based classes regarding pandemic planning.
- Modeling on the HBCU initiative to disseminate emergency management related information to minority institutions of higher education, EMI will build a Tribal college/University (TCU) Program as well as develop increased tribal nation capacity for training and delivery of FEMA activities.
- Develop, using the additional \$1.9 million of funding allocated in FY 10, 18 new courses targeted at its State, Local, and Tribal audiences for resident, field and independent study delivery, as well as fund limited technology upgrades in resident classrooms. These new courses represent the first large new development for State-delivered courses in nearly a decade.

FY 2011 Planned Accomplishments

- Analyze financial and programmatic impact of alternate options for training delivery such as remote delivery and increased mobile offerings that are not resident facility dependent.
- Design a training curriculum to educate and certify planners to support implementation of a national planning system.
- Extend the higher education outreach to Hispanic Serving Institutions (HSIs) by offering the Emergency Management Preparedness, Planning, Training and Education for Colleges and Universities course designed to provide college

and university executives an introduction to emergency management, a basic overview of EMI's Higher Education Program, career information on emergency management, and other information regarding FEMA activities.

- Deploy the Executive Emergency Management Officer Program, a competitive curricula for executive level federal, State, local and tribal emergency management professionals and affiliated organizations. The program will be designed to address the latest developments and new requirements of emergency management and their impact on the field, and will model other executive level programs such as the Federal Executive Institute, the Homeland Security Institute and the Naval Post Graduate School.
- Develop and deploy a revised Master Trainer Program (MTP) based on an analysis of the existing program underway in FY 10. The MTP is a series of courses designed to develop a cadre of training professionals to achieve national capability in emergency management through training at all levels of government and related organizations.

Grant Preparedness Program – 273 Pos/254 FTE

The Grant Program Directorate has three primary functions: 1) Grants Accountability and Oversight; 2) Business Support and Data Analysis; and 3) Program Development and Administration.

- **Grants Accountability and Oversight** – This function manages the business processes necessary for all pre-award activities including the announcing of funding opportunities, accepting and reviewing applications, determining award eligibility, and providing quality control over grants award documents and processing award packages. This function manages all post-award activities, such as monitoring grantees, processing modifications, generating amendments, reviewing grantee financial status reports, and coordinating grant closeout. The function also assists in the coordination and monitoring of key grant-related audit activities, i.e., OIG, GAO, Single Audit Act, and the independent financial auditor.
- **Business Support and Data Analysis** – This function provides a single mechanism to analyze, synthesize, and present grant-related financial data. Responding to increasingly intense security of FEMA's stewardship of grant and assistance resources, this function will provide the Congress and the White House with information demonstrating accountability and oversight of billions of dollars.
- **Program Development and Administration** – This function serves as the executive agent for development of grant guidance for the annual Homeland Security grant programs; provides programmatic oversight and technical assistance for grant administration, monitoring, and reporting; and is a principal liaison for interagency programmatic collaboration and coordination.

Recent and Planned Accomplishments

FY 2009 Accomplishments

- Monitored state and local grant administration and spending through the development of tools, policies, and report templates.
- Provided outstanding customer service to all grantees as well as internal and external partners via the Customer Service Center.
- The Non-Disaster Grants Management System, which is intended to support the full lifecycle of non-disaster grants within the Department of Homeland Security, went live with pre-award through award functionality for a selected number of programs.

FY 2010 and 2011 Planned Accomplishments

- Manage the suite of FEMA grant programs and monitor state and local grant administration and spending.
- Provide outstanding customer service to all grantees as well as internal and external partners via the Customer Service Center.
- Improve grants management systems in an effort to provide grantees with full-life cycle grants administration support using one system for non-disaster grants.
- Build a robust and standardized data analysis capability through the implementation of innovative systems and technology improvements. These activities quantify the benefits we provide and demonstrate the importance of grants management to Homeland Security priorities.

IV. Program Justification Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in State and Local Programs
Appropriation Language**

State and Local Programs
(including transfer of funds)

For grants, contracts, cooperative agreements, and other activities, [\$3,015,200,000] **\$4,000,590,000** shall be allocated as follows:

(1) *\$2,040,000,000 shall be for the State and Regional Preparedness Program, of which-*

[(1) \$950,000,000](A) **\$1,050,000,000** shall be for the State Homeland Security Grant Program under section 2004 of the Homeland Security Act of 2002 (6 U.S.C. 605): *Provided*, That of the amount provided by this paragraph, [\$60,000,000] **\$50,000,000** shall be for Operation Stonegarden *to address the Nation's Southwest Border security issues: Provided further*, That notwithstanding subsection (c)(4) of such section 2004, for fiscal year [2010] **2011**, the Commonwealth of Puerto Rico shall make available to local and tribal governments amounts provided to the Commonwealth of Puerto Rico under this paragraph in accordance with subsection (c)(1) of such section 2004.

[(2) \$887,000,000 shall be for the Urban Area Security Initiative under section 2003 of the Homeland Security Act of 2002 (6 U.S.C. 604), of which, notwithstanding subsection (c)(1) of such section, \$19,000,000 shall be for grants to organizations (as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax section 501(a) of such code) determined by the Secretary of Homeland Security to be at high risk of a terrorist attack.]

[(3)](B) \$35,000,000 shall be for Regional Catastrophic Preparedness Grants.

[(4) \$41,000,000 shall be for the Metropolitan Medical Response System under section 635 of the Post-Katrina Emergency Management Reform Act of 2006 (6 U.S.C. 723).]

[(5) \$13,000,000 shall be for the Citizen Corps Program.]

(C) \$345,000,000 shall be for Emergency Management Performance Grants, as authorized by the National Flood Insurance Act of 1968 (42 U.S.C. 4001 et seq.), the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et

seq.), the Earthquake Hazards Reduction Act of 1977 (42 U.S.C. 7701 et seq.), and Reorganization Plan No. 3 of 1978 (5 U.S.C. App.).

(D) \$610,000,000, to remain available until September 30, 2012, shall be for necessary expenses for the Firefighter Assistance Grants program authorized by the Federal Fire Prevention and Control Act of 1974 (15 U.S.C. 2201 et seq.), of which \$305,000,000 shall be available to carry out section 33 of that Act (15 U.S.C. 2229) and of which \$305,000,000 shall be available to carry out section 34 of that Act (15 U.S.C. 2229a).

(2) \$1,750,000,000 shall be for the Metropolitan Statistical Area Preparedness Program, of which-

(A) \$1,100,000,000 shall be for the Urban Area Security Initiative under section 2003 of the Homeland Security Act of 2002 (6 U.S.C. 604), of which up to \$200,000,000 is for use in the provision of additional security involved in hosting terror-related trials.

[(6)](B) \$300,000,000 shall be for Public Transportation Security Assistance and Railroad Security Assistance, under sections 1406 and 1513 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53; 6 U.S.C. 1135 and 1163), of which not less than \$20,000,000 shall be for Amtrak security: *Provided*, That such public transportation security assistance shall be provided directly to public transportation agencies.

[(7)](C) \$300,000,000 shall be for Port Security Grants in accordance with 46 U.S.C. 70107[, notwithstanding 46 U.S.C. 70107(c)].

[(8) \$12,000,000 shall be for Over-the-Road Bus Security Assistance under section 1532 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53; 6 U.S.C. 1182).]

[(9)](D) \$50,000,000 shall be for Buffer Zone Protection Program Grants.

[(10) \$50,000,000 shall be for the Driver's License Security Grants Program in accordance with section 204 of the REAL ID Act of 2005 (49 U.S.C. 30301 note).]

[(11) \$50,000,000 shall be for the Interoperable Emergency Communications Grant Program under section 1809 of the Homeland Security Act of 2002 (6 U.S.C. 579).]

[(12) \$60,000,000 shall be for grants for Emergency Operations Centers under section 614 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5196c) to remain available until expended, of which no less than the amount specified for each Emergency Operations Center shall be provided as follows: \$500,000, Benton County Emergency Management Commission, Iowa; \$100,000, Brazoria County Emergency Management, Texas; \$800,000, Butte-Silver Bow, Montana; \$338,000, Calvert County Department of Public Safety, Maryland; \$425,000, City of Alamosa Fire Department, Colorado; \$600,000, City of Ames, Iowa; \$250,000, City of Boerne, Texas;

\$500,000, City of Brawley, California; \$300,000, City of Brigantine, New Jersey; \$350,000, City of Brookings, Oregon; \$1,000,000, City of Chicago, Illinois; \$1,000,000, City of Commerce, California; \$300,000, City of Cupertino, California; \$1,000,000, City of Detroit, Michigan; \$750,000, City of Elk Grove, California; \$400,000, City of Green Cove Springs, Florida; \$600,000, City of Greenville, North Carolina; \$300,000, City of Hackensack, New Jersey; \$800,000, City of Hartford, Connecticut; \$250,000, City of Hopewell, Virginia; \$254,500, City of La Habra, California; \$600,000, City of Las Vegas, Nevada; \$750,000, City of Lauderdale Lakes, Florida; \$750,000, City of Minneapolis, Minnesota; \$375,000, City of Monterey Park, California; \$400,000, City of Moreno Valley, California; \$1,000,000, City of Mount Vernon, New York; \$1,000,000, City of Newark, New Jersey; \$900,000, City of North Little Rock, Arkansas; \$350,000, City of Palm Coast, Florida; \$750,000, City of Port Gibson, Mississippi; \$500,000, City of Scottsdale, Arizona; \$750,000, City of Sunrise, Florida; \$500,000, City of Tavares, Florida; \$400,000, City of Torrington, Connecticut; \$900,000, City of Whitefish, Montana; \$500,000, City of Whittier, California; \$500,000, City of Wichita, Kansas; \$500,000, Columbia County, Oregon; \$500,000, County of Union, New Jersey; \$400,000, Dorchester County, South Carolina; \$200,000, Fulton County (Atlanta) Emergency Management Agency, Georgia; \$250,000, Howell County Emergency Preparedness, Missouri; \$500,000, Jackson County Sheriff's Office, Missouri; \$750,000, Johnson County, Texas; \$500,000, Kentucky Emergency Management, Kentucky; \$800,000, Lake County, Florida; \$600,000, Lea County, New Mexico; \$1,000,000, Lincoln County, Washington; \$250,000, Lycoming County, Pennsylvania; \$250,000, Macomb County Emergency Management and Communications, Michigan; \$300,000, Mercer County Emergency Management Agency, Kentucky; \$1,000,000, Middle Rio Grande Development Council, Texas; \$250,000, Minooka Fire Protection District, Illinois; \$800,000, Mobile County Commission, Alabama; \$200,000, Monroe County, Florida; \$1,000,000, Morris County, New Jersey Office of Emergency Management, New Jersey; \$750,000, New Orleans Emergency Medical Services, Louisiana; \$1,000,000, North Carolina Office of Emergency Management, North Carolina; \$500,000, North Hudson Regional Fire and Rescue, New Jersey; \$980,000, North Louisiana Regional, Lincoln Parish, Louisiana; \$1,500,000, Ohio Emergency Management Agency, Columbus, Ohio; \$250,000, Passaic County Prosecutor's Office, New Jersey; \$980,000, City of Providence, Rhode Island; \$800,000, San Francisco Department of Emergency Management, California; \$300,000, Sarasota County, Florida; \$650,000, Scotland County, North Carolina; \$500,000, Somerset County, Maine; \$1,500,000, State of Maryland, Maryland; \$158,000, City of Maitland, Florida; \$500,000, Tohono O'odham Nation; \$75,000, Towamencin Township, Pennsylvania; \$275,000, Town of Harrison, New York; \$500,000, Town of Shorter, Alabama; \$750,000, Township of Irvington, New Jersey; \$500,000, Township of Old Bridge, New Jersey; \$247,000, Township of South Orange Village, South Orange, New Jersey; \$500,000, Upper Darby Township Police Department, Pennsylvania; \$165,000, Village of Elmsford, New York; \$350,000, Washington Parish Government, Louisiana; \$900,000, Westmoreland County Department of Public Safety, Pennsylvania; \$1,000,000, Williamsburg County, South Carolina; and \$20,000, Winston County Commission, Alabama.]

[(13) \$267,200,000 shall be for training, exercises, technical assistance, and other programs, of which_]]

(3) \$210,590,000 shall be for the Training, Measurement, and Exercise Program, of which-

(A) [\$164,500,000] **\$114,000,000** shall be for the National Domestic Preparedness Consortium in accordance with section 1204 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (6 U.S.C. 1102), of which \$62,500,000 shall be for the Center for Domestic Preparedness; [\$23,000,000] **\$12,875,000** shall be for the National Energetic Materials Research and Testing Center, New Mexico Institute of Mining and Technology; [\$23,000,000] **\$12,875,000** shall be for the National Center for Biomedical Research and Training, Louisiana State University; [\$23,000,000] **\$12,875,000** shall be for the National Emergency Response and Rescue Training Center, Texas A&M University; [\$23,000,000] **\$12,875,000** shall be for the National Exercise, Test, and Training Center, Nevada Test Site; [\$5,000,000 shall be for the Natural Disaster Preparedness Training Center, University of Hawaii, Honolulu, Hawaii; \$5,000,000 shall be for surface transportation emergency preparedness and response training to be awarded under full and open competition;]

[(B) \$1,700,000 shall be for the Center for Counterterrorism and Cyber Crime, Norwich University, Northfield, Vermont; and]

[(C) \$3,000,000 shall be for the Rural Domestic Preparedness Consortium, Eastern Kentucky University:]

(B) \$21,590,000 shall be for the Continuing Training Grants Program.

(C) \$33,000,000 shall be for Technical Assistance and Evaluations and Assessments.

(D) \$42,000,000 shall be for the National Exercise Program:

Provided, That [4] *not to exceed* 4.7 percent of the amounts provided under this heading shall be transferred to the Federal Emergency Management Agency "Management and Administration" account for program administration [, and an expenditure plan for program administration shall be provided to the Committees on Appropriations of the Senate and the House of Representatives within 60 days after the date of enactment of this Act]: [Provided further, That notwithstanding section 2008(a)(11) of the Homeland Security Act of 2002 (6 U.S.C. 609(a)(11)), or any other provision of law, a grantee may use not more than 5 percent of the amount of a grant made available under this heading for expenses directly related to administration of the grant:] *Provided further*, That for grants under paragraphs (1)(A), [through (5)](1)(B), and (2)(A), the applications for grants shall be made available to eligible applicants not later than 25 days after the date of enactment of this Act, [that] eligible applicants shall submit applications not later than 90 days after the grant announcement, and [that] the Administrator of the Federal Emergency Management Agency shall act within 90 days after receipt of an application: *Provided further*, That for grants under paragraphs [(6)](2)(B) through [(11)](2)(D), the

applications for grants shall be made available to eligible applicants not later than 30 days after the date of enactment of this Act, [that] eligible applicants shall submit applications within 45 days after the grant announcement, and [that] the *Administrator of the Federal Emergency Management Agency* shall act not later than 60 days after receipt of an application: *Provided further*, That for grants under paragraphs (1)(A) and (2)(A), the installation of communications towers is not considered construction of a building or other physical facility: *Provided further*, That grantees shall provide reports on their use of funds, as determined necessary by the Secretary: *Provided further*, That (a) the Center for Domestic Preparedness may provide training to emergency response providers from the Federal Government, **including without reimbursement to employees of the Federal Emergency Management Agency for professional development pursuant to 5 U.S.C. 4103**, foreign governments, or private entities, if the Center for Domestic Preparedness is reimbursed for the cost of such training, and any reimbursement under this subsection shall be credited to the account from which the expenditure being reimbursed was made and shall be available, without fiscal year limitation, for the purposes for which amounts in the account may be expended, and (b) the head of the Center for Domestic Preparedness shall ensure that any training provided under (a) does not interfere with the primary mission of the Center to train State and local emergency response providers.

.[Emergency Management Performance Grants]

[For necessary expenses for emergency management performance grants, as authorized by the National Flood Insurance Act of 1968 (42 U.S.C. 4001 et seq.), the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.), the Earthquake Hazards Reduction Act of 1977 (42 U.S.C. 7701 et seq.), and Reorganization Plan No. 3 of 1978 (5 U.S.C. App.), \$340,000,000: *Provided*, That total administrative costs shall not exceed 3 percent of the total amount appropriated under this heading, and an expenditure plan for program administration shall be provided to the Committees on Appropriations of the Senate and the House of Representatives within 60 days of the date of enactment of this Act.]

[Firefighter Assistance Grants]

[For necessary expenses for programs authorized by the Federal Fire Prevention and Control Act of 1974 (15 U.S.C. 2201 et seq.), \$810,000,000, of which \$390,000,000 shall be available to carry out section 33 of that Act (15 U.S.C. 2229) and \$420,000,000 shall be available to carry out section 34 of that Act (15 U.S.C. 2229a), to remain available until September 30, 2011: *Provided*, That not to exceed 5 percent of the amount available under this heading shall be available for program administration, and an expenditure plan for program administration shall be provided to the Committees on Appropriations of the Senate and the House of Representatives within 60 days of the date of enactment of this Act.] (*Department of Homeland Security Appropriations Act, 2010.*)

Explanation of Changes:

Justification:

This general provision appeared in the Fiscal Year 2008 and 2009 DHS Appropriation Acts. Unfortunately, it created two unforeseen issues as originally enacted:

It did not include language that would indicate Congressional intent that the authority be permanent. This has created significant long-range planning issues for the Center for Domestic Preparedness (CDP). The response to the new legislative authority has been positive, particularly from foreign governments who have begun sending students to CDP training courses. Those foreign governments, however, often have to plan their students' attendance many months in advance. The annual nature of this authority presently precludes the CDP's ability to plan such training into the following fiscal year until follow-on annual authority is passed by Congress. Thus, this proposed version renews the authority for Fiscal Year 2010 and--for long-range planning purposes--makes it permanent (negating the need to include it in future appropriations) by adding the words "in Fiscal Year 2010 and thereafter."

Because of the restrictive nature of the FY09 reimbursement language, the CDP has been forced to charge tuition to FEMA employees who attend CDP training courses. This does not appear to meet the spirit of the Government Employees Training Act (GETA), 5 U.S.C. § 4103.1 On the other hand, Congress has already made it quite clear that the

1 5 U.S.C. § 4103 states the following:

Establishment of training programs

(a) In order to assist in achieving an agency's mission and performance goals by improving employee and organizational performance, the head of each agency, in conformity with this chapter, shall establish, operate, maintain, and evaluate a program or programs, and a plan or plans there under, for the training of employees in or under the agency by, in, and through Government facilities and non-Government facilities. Each program, and plan there under, shall--

(1) conform to the principles, standards, and related requirements contained in the regulations prescribed under section 4118 of this title;

(2) provide for adequate administrative control by appropriate authority;

(3) provide that information concerning the selection and assignment of employees for training and the applicable training limitations and restrictions be made available to employees of the agency; and

(4) provide for the encouragement of self-training by employees by means of appropriate recognition of resultant increases in proficiency, skill, and capacity.

Two or more agencies jointly may operate under a training program.

(b) (1) Notwithstanding any other provision of this chapter, an agency may train any employee of the agency to prepare the employee for placement in another agency if the head of the agency determines that such training would be in the interests of the Government.

(2) In selecting an employee for training under this subsection, the head of the agency shall consider--

(A) the extent to which the current skills, knowledge, and abilities of the employee may be utilized in the new position;

(B) the employee's capability to learn skills and acquire knowledge and abilities needed in the new position; and

(C) the benefits to the Government which would result from such training.

(3) [Redesignated]

(c) The head of each agency shall, on a regular basis--

(1) evaluate each program or plan established, operated, or maintained under subsection (a) with respect to accomplishing specific performance plans and strategic goals in performing the agency mission; and

(2) modify such program or plan as needed to accomplish such plans . . .

primary mission of the CDP (and, more importantly, its appropriation), is the training of state, local, and tribal emergency responders² and that the training of federal, foreign, and private sector responders shall not interfere with the primary training mission. Because FEMA consists of a relatively small cadre of federal employees when compared to the annual CDP student population, allowing FEMA employees to attend CDP courses without reimbursement should have a negligible impact on its primary mission, while simultaneously meeting the spirit of GETA. Opening up non-reimbursable training to other federal employees (including the approximately 190,000 DHS employees), however, would arguably interfere with the CDP's primary mission via a significant diversion of appropriated dollars for that training as well as creating concerns with the "augmentation principle" of fiscal law.³

² See, e.g., Title I of the Departments of Commerce, Justice, and State, the Judiciary, and Related

Agencies Appropriations Act for FY98, Public Law 105-119, 111 Stat. 2440, November 26, 1997, and

accompanying House Report 105-405 and Senate Report 105-48; Section 1204 of the Implementing

Recommendations of the 911 Commission Act of 2007, Public Law 110-53, 121 Stat. 266, August 3,

2007 (codified at 6 U.S.C. § 1102).

³ As a general fiscal law rule, "augmentation of appropriations" from other sources is not permitted. "Augmentation" is any action by an agency that increases the effective amount of funds available in an agency's appropriation. Generally, this results in expenditures by the agency in excess of the amount originally appropriated by Congress under its Constitutional "tax and spend" authority. More specifically, an augmentation normally violates one or more of the following provisions:

- Article I, Section 9, Clause 7, of United States Constitution: "No money shall be drawn from the treasury except in consequence of appropriations made by law."
- 31 U.S.C. § 1301(a) (the "Purpose Statute"): "Appropriations shall be applied only to the objects for which the appropriations were made except as otherwise provided by law."

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- 31 U.S.C. § 3302(b) (Miscellaneous Receipts Statute): “Except as . . . [otherwise provided] . . . an official or agent of the government receiving money for the government from any source shall deposit the money in the Treasury as soon as practical without any deduction for any charge or claim.”

The use of the CDP appropriation to pay for the training of any non-FEMA federal personnel without appropriate reimbursement could be seen as an improper augmentation of that agency’s budget by using one appropriation to pay costs associated with the purposes of another appropriation. See, e.g., U.S. Equal Employment Opportunity Commission – Reimbursement of Registration Fees for Fed. Executive Board Training Seminar, B-245330, 71 Comp. Gen. 120 (1991).

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	297	276	4,152,341
FY 2010 Enacted	664	616	4,165,200
Adjustments-to-Base	-	-	-
Increases	-	-	-
2011 pay increase	-	-	643
Annualization of 2010 pay raise	-	-	820
Non-recurring reduction	-	-	334,000
Total Increases	-	-	335,463
Decreases	-	-	-
Non-recurring reduction	-	-	(499,073)
Total Decreases	-	-	(499,073)
Total, Adjustments-to-Base	-	-	(163,610)
FY 2011 Current Services	664	616	4,000,590
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	664	616	4,000,590
FY 2010 to FY 2011 Total Change	-	-	(164,610)

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	297	276	4,152,341
FY 2010 Enacted	664	616	4,165,200
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	335,463
Decreases	-	-	(499,073)
Total, Adjustments-to-Base	-	-	(163,610)
FY 2011 Current Services	664	616	4,000,590
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	664	616	4,000,590
Total Change 2010 to 2011	-	-	(164,610)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
State & Regional Preparedness Program	-	-	2,353,700	-	-	2,040,000	-	-	(313,700)	-	-	-	-	-	(312,700)
Metropolitan Statistical Area (MSA) Preparedness Program	-	-	1,549,000	-	-	1,750,000	-	-	201,000	-	-	-	-	-	201,000
Training Measurement and Exercise Program	-	-	262,500	-	-	210,590	-	-	(51,910)	-	-	-	-	-	(51,910)
Management and Administration	664	616	-	664	616	-	-	-	-	-	-	-	-	-	-
Subtotal, Estimates Program Project Activity	664	616	4,165,200	664	616	4,000,590	-	-	(164,610)	-	-	-	-	-	(163,610)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	664	616	4,165,200	664	616	4,000,590	-	-	(164,610)	-	-	-	-	-	(163,610)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	24,490	-	-	-
11.3 Other than full-time permanent	530	-	-	-
11.5 Other personnel compensation	1,991	-	-	-
11.8 Special Service Pay	11	-	-	-
12.1 Benefits	7,874	-	-	-
21.0 Travel	5,721	-	-	-
22.0 Transportation of things	13	-	-	-
23.1 GSA rent	11,689	-	-	-
23.3 Communications, utilities, and misc. charges	46	-	-	-
24.0 Printing	322	-	-	-
25.1 Advisory and assistance services	589	-	-	-
25.2 Other services	42,220	-	-	-
25.3 Purchases from Gov't accts.	160,031	105,000	105,000	-
26.0 Supplies and materials	2,235	-	-	-
31.0 Equipment	1,282	-	-	-
41.0 Grants/Subsidies/Contributions	3,893,297	4,060,200	3,895,590	(164,610)
Total, Object Class	4,152,341	4,165,200	4,000,590	(164,610)
Unobligated Balance, start of year	(23,396)	(89,046)	-	89,046
Unobligated Balance, end of year	89,046	-	-	-
Total, Adjustments	65,650	(89,046)	-	89,046
Total, Direct Obligations	4,217,991	4,076,154	4,000,590	(75,564)

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	9	11	11	-
GS-15	36	57	57	-
GS-14	77	116	116	-
GS-13	112	247	247	-
GS-12	31	150	150	-
GS-11	13	47	47	-
GS-9	5	8	8	-
GS-8	3	5	5	-
GS-7	11	19	19	-
GS-6	-	2	2	-
GS-5	-	2	2	-
Total Permanent Positions	297	664	664	-
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	297	664	664	-
Full Time Equivalents	276	616	616	-
Headquarters	-	-	-	-
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total, Location	-	-	-	-
Average ES Salary	144,119	149,884	153,481	3,597
Average GS Salary	57,010	59,290	64,397	5,107
Average Grade	10	10	10	-

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
State Preparedness Grants Program
Funding Schedule
(Dollars in Thousands)**

PPA: State Preparedness Grants Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	7,366	-	-	-
11.3 Other than full-time permanent	196	-	-	-
11.5 Other personnel compensation	599	-	-	-
11.8 Special Service Pay	4	-	-	-
12.1 Benefits	2,445	-	-	-
21.0 Travel	2,000	-	-	-
23.1 GSA rent	2,672	-	-	-
24.0 Printing	53	-	-	-
25.3 Purchases from Gov't accts.	23,987	-	-	-
26.0 Supplies and materials	368	-	-	-
31.0 Equipment	175	-	-	-
41.0 Grants/Subsidies/Contributions	1,149,455	-	-	-
Total, Object Class	1,189,320	-	-	-
Total, State Preparedness Grants Program	1,189,320	-	-	-
Full Time Equivalents	65	-	-	-

PPA Mission Statement

The State Preparedness Grants Program provides resources to support preparedness projects that build state and local capabilities as outlined in the National Preparedness guidelines, the Target Capabilities List, and the National Strategy for Homeland security of 2007. The State Preparedness Program includes four programs: State Homeland Security Grants, Emergency Performance Management Grants, Citizen Corps Grants, and Real ID Grants.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Targeted Infrastructure Capability Grants Program
Funding Schedule
(Dollars in Thousands)**

PPA: Targeted Infrastructure Capability Grants Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	2,697	-	-	-
11.3 Other than full-time permanent	72	-	-	-
11.5 Other personnel compensation	219	-	-	-
11.8 Special Service Pay	2	-	-	-
12.1 Benefits	895	-	-	-
21.0 Travel	1,025	-	-	-
23.1 GSA rent	7,109	-	-	-
24.0 Printing	252	-	-	-
25.3 Purchases from Gov't accts.	24,865	-	-	-
26.0 Supplies and materials	1,767	-	-	-
31.0 Equipment	841	-	-	-
41.0 Grants/Subsidies/Contributions	1,636,676	-	-	-
Total, Object Class	1,676,420	-	-	-
Total, Targeted Infrastructure Capability Grants Program	1,676,420	-	-	-
Full Time Equivalents	23	-	-	-

PPA Mission Statement

The Targeted Infrastructure Capability Grants Program is designed to enhance prevention and protection capabilities of the Nation's critical economic and transportation assets. The Targeted Infrastructure Capability Grants Program includes six programs: The Urban Area Security Initiative (UASI), Port Security Grants, Transit and Rail Security Grants, Trucking Security Grants, Intercity Bus Security Grants, and Buffer Zone Protection Grants.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
National Exercise Program
Funding Schedule
(Dollars in Thousands)**

PPA: National Exercise Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	2,179	-	-	-
11.3 Other than full-time permanent	58	-	-	-
11.5 Other personnel compensation	177	-	-	-
11.8 Special Service Pay	1	-	-	-
12.1 Benefits	723	-	-	-
21.0 Travel	1,101	-	-	-
22.0 Transportation of things	13	-	-	-
23.1 GSA rent	287	-	-	-
24.0 Printing	12	-	-	-
25.3 Purchases from Gov't accts.	35,166	-	-	-
26.0 Supplies and materials	63	-	-	-
31.0 Equipment	200	-	-	-
Total, Object Class	39,980	-	-	-
Total, National Exercise Program	39,980	-	-	-
Full Time Equivalents	19	-	-	-

PPA Mission Statement

The National Exercise Program oversees the Department's Federal, State and local exercise programs, which includes the Top Officials (TOPOFF) exercise series. It is responsible for testing the capacity, at all levels of government, to effectively implement best practices, take corrective action on lessons learned, and deploy response plans and assets efficiently and effectively.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
State and Local Training Program
Funding Schedule
(Dollars in Thousands)**

PPA: State and Local Training Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	4,876	-	-	-
11.3 Other than full-time permanent	130	-	-	-
11.5 Other personnel compensation	396	-	-	-
11.8 Special Service Pay	3	-	-	-
12.1 Benefits	1,618	-	-	-
21.0 Travel	41	-	-	-
23.1 GSA rent	548	-	-	-
25.2 Other services	3,900	-	-	-
25.3 Purchases from Gov't accts.	59,048	-	-	-
41.0 Grants/Subsidies/Contributions	159,162	-	-	-
Total, Object Class	229,722	-	-	-
Total, State and Local Training Program	229,722	-	-	-
Full Time Equivalents	42	-	-	-

PPA Mission Statement

The State and Local Training Program manages the development and approval of training to prepare emergency responders for a Weapons of Mass Destruction (WMD) terrorism event. This program identifies and addresses training needs of State and local communities and prioritizes those needs to facilitate the identification of existing and new funding for course development. This program also includes the Center for Domestic Preparedness—the only WMD training facility that provides hands-on training to civilian emergency responders in a toxic chemical agent environment—and the National Domestic Preparedness Consortium, which also plays a major role in delivering training to America’s first responders.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Technical Assistance Program
Funding Schedule
(Dollars in Thousands)**

PPA: Technical Assistance Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	934	-	-	-
11.3 Other than full-time permanent	25	-	-	-
11.5 Other personnel compensation	76	-	-	-
12.1 Benefits	310	-	-	-
21.0 Travel	114	-	-	-
23.1 GSA rent	35	-	-	-
25.3 Purchases from Gov't accts.	5,477	-	-	-
41.0 Grants/Subsidies/Contributions	3,977	-	-	-
Total, Object Class	10,948	-	-	-
Total, Technical Assistance Program	10,948	-	-	-
Full Time Equivalents	42	-	-	-

PPA Mission Statement

The Technical Assistance Program provides direct assistance to State, regional, local, and tribal jurisdictions to improve their ability to prevent, protect against, respond to, and recover from major events, including threats or acts of terrorism. A primary objective of the program is to enhance the capacity of State and local jurisdictions, as well as special needs jurisdictions (e.g. port authorities and mass transit agencies) to develop, plan, and implement effective preparedness strategies for chemical, biological, radiological, nuclear, and explosive (CBRNE) incidents and other major events.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Evaluation and National Assessment Program
Funding Schedule
(Dollars in Thousands)**

PPA: Evaluation and National Assessment Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,764	-	-	-
11.3 Other than full-time permanent	47	-	-	-
11.5 Other personnel compensation	143	-	-	-
11.8 Special Service Pay	1	-	-	-
12.1 Benefits	585	-	-	-
21.0 Travel	576	-	-	-
23.1 GSA rent	109	-	-	-
24.0 Printing	5	-	-	-
25.3 Purchases from Gov't accts.	11,488	-	-	-
26.0 Supplies and materials	33	-	-	-
31.0 Equipment	16	-	-	-
41.0 Grants/Subsidies/Contributions	1,200	-	-	-
Total, Object Class	15,967	-	-	-
Total, Evaluation and National Assessment Program	15,967	-	-	-
Full Time Equivalents	16	-	-	-

PPA Mission Statement

Through Evaluations and Assessments, DHS is working to implement a comprehensive system to measure the effectiveness of DHS programs, including HSPD-8 and the impact on our national readiness. Many of the measures in the National Preparedness Goal will gauge the accomplishment of key milestones and events that will contribute to improved performance. The measures in the Goal all contribute to critical outcomes, and are most appropriately described as indicator measures of national preparedness. This program gathers, analyzes, and interprets national and program specific data. As the focal point for information collection and evaluation, this program reviews and assesses the execution of State Strategies against the supporting threat, vulnerability, and needs assessment data.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Commercial Equipment Direct Assistance Program
Funding Schedule
(Dollars in Thousands)**

PPA: Commercial Equipment Direct Assistance Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	8,000	-	-	-
Total, Object Class	8,000	-	-	-
Total, Commercial Equipment Direct Assistance Program	8,000	-	-	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Commercial Equipment Direct Assistance Program (CEDAP) transfers technologies directly to smaller jurisdictions and eligible metropolitan areas to prevent, deter, and respond to terrorist attacks, as identified in State Homeland Security Strategies. CEDAP offers equipment with training in the following categories: Personal Protective Equipment, Rescue Tools, Detection and Sensor Devices, Information Sharing Software, Risk Assessment Software, and Communications Interoperability Systems. This competitive program is a direct assistance program, not a grant program, and provides the equipment and technical assistance directly to the selected jurisdictions.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Firefighter Assistance Grants
Funding Schedule
(Dollars in Thousands)**

PPA: Firefighter Assistance Grants	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	4,643	-	-	-
11.3 Other than full-time permanent	2	-	-	-
11.5 Other personnel compensation	343	-	-	-
12.1 Benefits	1,293	-	-	-
21.0 Travel	864	-	-	-
23.1 GSA rent	754	-	-	-
23.3 Communications, utilities, and misc. charges	46	-	-	-
25.1 Advisory and assistance services	589	-	-	-
25.2 Other services	22,159	-	-	-
26.0 Supplies and materials	4	-	-	-
31.0 Equipment	50	-	-	-
41.0 Grants/Subsidies/Contributions	636,804	-	-	-
Total, Object Class	667,551	-	-	-
Total, Firefighter Assistance Grants	667,551	-	-	-
Full Time Equivalents	54	-	-	-

PPA Mission Statement

The Assistance to Firefighters Grant program awards grants directly to fire departments and non-affiliated EMS organizations throughout the United States to support one-year projects improving the effectiveness and safety of the Nation's first-responders in homeland security, firefighting, and EMS operations.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Emergency Management Performance Grants
Funding Schedule
(Dollars in Thousands)**

PPA: Emergency Management Performance Grants	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	31	-	-	-
11.5 Other personnel compensation	38	-	-	-
12.1 Benefits	5	-	-	-
23.1 GSA rent	175	-	-	-
25.2 Other services	8,161	-	-	-
41.0 Grants/Subsidies/Contributions	306,023	-	-	-
Total, Object Class	314,433	-	-	-
Total, Emergency Management Performance Grants	314,433	-	-	-
Full Time Equivalents	15	-	-	-

PPA Mission Statement

The EMPG program provides resources to assist State and local governments to sustain and enhance all-hazards emergency management capabilities. States have the opportunity to use EMPG funds to further strengthen their ability to support emergency management activities while simultaneously addressing issues of national concern, as identified in the national priorities of the National Preparedness Guidelines. EMPG has a 50 percent Federal and 50 percent State cost share cash or in-kind match requirement.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
State & Regional Preparedness Program
Funding Schedule
(Dollars in Thousands)**

PPA: State & Regional Preparedness Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	2,353,700	2,040,000	(313,700)
Total, Object Class	-	2,353,700	2,040,000	(313,700)
Total, State & Regional Preparedness Program	-	2,353,700	2,040,000	(313,700)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The State and Regional Preparedness Program provides resources to support preparedness projects that build state and local capabilities as outlined in the National Preparedness Guidelines, the Target Capabilities List, and the National Strategy for Homeland Security of 2007. The State and Regional Preparedness Program PPA includes four grant programs: the State Homeland Security Grant Program (SHSGP), Assistance to Firefighter Grants (AFG) Program, Regional Catastrophic Preparedness Grant Program (RCPGP), and the Emergency Management Performance Grants (EMPG) program.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	2,353,700	2,040,000	(313,700)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The net decrease of \$313,700 in the FY 2011 requests in Grants is due to the discontinuance of several grant programs.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Metropolitan Statistical Area (MSA) Preparedness Program
Funding Schedule
(Dollars in Thousands)**

PPA: Metropolitan Statistical Area (MSA) Preparedness Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	1,549,000	1,750,000	201,000
Total, Object Class	-	1,549,000	1,750,000	201,000
Total, Metropolitan Statistical Area (MSA) Preparedness Program	-	1,549,000	1,750,000	201,000
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Metropolitan Statistical Area (MSA) Preparedness Program is designed to enhance prevention and protection capabilities of the Nation’s critical economic and transportation assets. The MSA Preparedness Program includes four programs: the Urban Area Security Initiative (UASI), Port Security, Rail/Transit Grants, and Buffer Zone Protection Programs.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	1,549,000	1,750,000	201,000

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Training Measurement and Exercise Program
Funding Schedule
(Dollars in Thousands)**

PPA: Training Measurement and Exercise Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases from Gov't accts.	-	105,000	105,000	-
41.0 Grants/Subsidies/Contributions	-	157,500	105,590	(51,910)
Total, Object Class	-	262,500	210,590	(51,910)
Total, Training Measurement and Exercise Program	-	262,500	210,590	(51,910)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Training, Measurement, and Exercise Programs PPA provides resources to support homeland security preparedness activities for state and local capabilities as outlined in the National Preparedness Guidelines and Homeland Security Act of 2002. The Training, Measurement, and Exercise Programs PPA includes six programs: National Exercise Program (NEP), Continuing and Emerging Training Grants Program, Center for Domestic Preparedness, National Domestic Preparedness Consortium, Technical Assistance (TA) Program, and Evaluation and National Assessment Program.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	-	105,000	105,000	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	157,500	105,590	(51,910)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Management and Administration
Funding Schedule
(Dollars in Thousands)**

PPA: Management and Administration	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
Total, Management and Administration	-	-	-	-
Full Time Equivalents	-	616	616	-

PPA Mission Statement

The Management and Administration PPA includes funding for GPD and NPD to support the full range of grant administration, related preparedness activities, program administration activities, and FEMA's support organizations for infrastructure/administrative activities, including contributions to the Departmental working capital contributions. This also includes programs that were previously funded in Operations, Management and Administration (OMA); Incident Management Systems (IMS), Emergency Management Institute (EMI), Program Development and Administration and Grants Accountability and Oversight. In FY 2011, out of the SALP three PPAs, not to exceed 4.7% be made available for Management and Administration to support these costs. For additional information, please see the informational worksheet included.

I. Changes in Full Time Equivalent

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	221	276	616
Annualization of prior year positions and permanent additional FTEs to support FEMA grant programs.	34	-	-
Conversion of reimbursable support staff to AFG FTE.	6	-	-
EMPG Program achieves full staffing level	15	-	-
Annualization/NPD migration/additional FTEs	-	340	-
Subtotal, Increases	55	340	-
Year End Actual / Estimated FTEs:	276	616	616
Net Change from prior year base to Budget Year Estimate:	55	340	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
State and Local Programs	803	341	351	10
Total Working Capital Fund	803	341	351	10

Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration



Fiscal Year 2011
Overview
Congressional Budget Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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U.S. Fire Administration

I. Appropriation Overview

A – Mission Statement for U.S. Fire Administration

The mission of the United States Fire Administration (USFA) is to provide national leadership to foster a solid foundation for fire and emergency services stakeholders for prevention, preparedness, and response.

B – Budget Activities:

USFA coordinates with other federal, state, and local emergency service agencies, the private sector, and with colleges, universities, and other DHS educational consortium participants. In fulfilling its mission, USFA utilizes the assets of the National Fire Academy (NFA), the National Emergency Training Center (NETC), and USFA's National Fire Programs (NFP) Division.

C – Budget Request Summary:

FEMA requests \$45,950,000, 115 positions and 115 FTE for FY 2011. This represents an increase of \$342,000, as compared to FY 2010, for pay inflation.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration**

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
United States Fire Administration	115	44,777	115	45,588	115	45,930	-	342	-	-	-	342
Subtotal, Enacted Appropriations and Budget Estimates	115	44,777	115	45,588	115	45,930	-	342	-	-	-	342
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	115	44,777	115	45,588	115	45,930	-	342	-	-	-	342

III. Current Services Program Description by PPA

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration
United States Fire Administration
Program Performance Justification**
(Dollars in Thousands)

PPA: United States Fire Administration

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	115	115	44,777
2010 Enacted	115	115	45,588
2011 Adjustments-to-Base	-	-	342
2011 Current Services	115	115	45,930
2011 Total Request	115	115	45,930
Total Change 2010 to 2011	-	-	342

FEMA requests \$45,930,000, 115 positions and 115 FTE for FY 2011. This represents an increase of \$342,000, as compared to FY 2010, for pay inflation.

CURRENT SERVICES PROGRAM DESCRIPTION:

USFA prepares the Nation's first responders through on-going and, when necessary, expedited training, regarding how to evaluate and minimize community risk, improve protection to critical infrastructure, and be better prepared to react to all hazard and terrorism emergencies. USFA coordinates with other federal, state, and local emergency service agencies, the private sector, and with colleges, universities, and other DHS educational consortium participants. In fulfilling its mission, USFA utilizes the assets of the National Fire Academy (NFA), the National Emergency Training Center (NETC) Facilities and Support Services, and USFA's National Fire Programs (NFP) Division.

A) National Fire Academy (NFA)

NFA promotes the professional development of the fire and emergency response community and its allied professionals. To supplement and support state and local fire service training programs, NFA, provides national leadership to foster a solid foundation for prevention, preparedness and response capabilities by developing and delivering the kinds of courses unavailable at the State and local level.

Recent and Planned Accomplishments

FY 2009

- Delivered 3,811 training programs to 116,360 fire and emergency response personnel and allied professionals.
- Completed the migration of existing web-based content for NFA Online, the USFA's new web-based learning management system for distance learning training.
- Began development of new preparedness curriculum; 6-day courses and designated 2-week resident courses.
- Conducted a Congressionally mandated national fire-based Emergency Medical Services curriculum advisory assessment.
- Implemented college student internship program as an adjunct to long-term Federal recruitment, giving students an opportunity to experience work and classes at the NFA.

FY 2010

- Increase the number of students receiving NFA training programs through USFA's technology-based distance learning program. The program includes internet course delivery, blended learning courses, web-based graphic simulations, and other on-line formats such as web casts.
- Improve effectiveness and portability and reduce capital investment in the command and control graphic simulation tools by migrating to commercial off-the-shelf operating systems.
- Implement a contract instructor evaluation program to monitor and assure continuation of NFA's highly reputed instructional staff.
- Increase USFA/NFA's national model fire science and EMS management curriculum by working to standardize fire-related education programs in the U.S. schools that have adopted them.
- Increase the number of States who are moving to adopt the National Professional Development Model from 21 to 24, and increase by two the number of major metropolitan fire departments who adopt the National Professional Development Model.

FY 2011

- Continue to expand fire and emergency response training programs through the use of both on-campus and online distance learning programs, and through the expansion of its fire and emergency services higher education partnership agreements.
- Increase the delivery of NFA courses at the state and local level through the use of state fire training assistance partnership agreements and distance learning methodologies.
- Align NFA curriculum on fulfilling DHS, FEMA, and USFA strategic goals for national preparedness, prevention, response and recovery.
- Execute EZ Training partnership with national and state fire service associations and implement on-going curriculum development.
- Establish national fire command and control simulation pipeline to regularly distribute training simulations to state and local training systems.

B) National Emergency Training Center (NETC) Management, Operations and Support Services

The NETC Management, Operations, and Support Services operate and maintain the NETC in the most efficient and effective manner providing administrative, operational and emergency services in support of the program activities and special groups at NETC.

Recent and Planned Accomplishments

FY 2009

- Managed, operated, and maintained the NETC, providing administrative, operational, and emergency services in support of the program activities and special groups; student admission, registration, ground transportation, and housekeeping services; and scheduled maintenance, repairs, and replacement of capital assets.
- Enhanced the video-on-demand internal and external distribution capabilities; developed and implemented new technology to support training, exercises, simulations and new emerging threats. Expanded video support and video conference partnerships with other agencies and FEMA organizational elements
- Provided administrative support to the Assistance to Firefighter Grant Program peer review and criteria development sessions held at NETC.
- Upgraded site-wide heating and air conditioning.

FY 2010

- Manage, operate, and maintain the NETC, providing administrative, operational, and emergency services in support of the program activities and special groups; student admission, registration, ground transportation, and housekeeping services; and scheduled maintenance, repairs, and replacement of capital assets.
- Support all video and internet components of EAS-15 as it relates to FEMA national and regional programs; implement new high definition video technology systems, distribution, and storage retrieval units; expand high tech distribution including Multi-cast, WIMAX, and GPS interface; and support disaster based daily briefings video mobile systems and devices.
- Provide administrative support to the Assistance to Firefighter Grant Program peer review and criteria development sessions held at NETC.

FY 2011

- Continue to manage, operate, and maintain the NETC in the most efficient and effective manner providing administrative, operational and emergency services in support of the program activities and special groups held at NETC.
- Support all video and internet components of EAS-15 as it relates to FEMA national and regional programs; implement new high definition video technology systems, distribution, and storage retrieval units.
- Provide administrative support to the Assistance to Firefighter Grant Program peer review and criteria development sessions held at NETC.

C) National Fire Programs (NFP) Division

NFP is responsible for the collection, analysis, publication, dissemination, and marketing of information related to the Nation's fire problem and USFA programs. It manages both USFA research efforts in fire detection, prevention, suppression, and first responder health, safety, and effectiveness, as well as programs that increase the capacity of the Nation's fire and emergency services and the public to prevent, mitigate, prepare for, and respond to local, regional, and national emergencies.

Recent and Planned Accomplishments

FY 2009

- Developed and managed programs that increased capacity of the nation's fire and emergency services and the public to prevent, mitigate, prepare for, and respond to local, regional, and national emergencies.
- Completed research studies on emergency responder safety, department communications, and fire suppression and safety technologies.
- Initiated development of web-based application for the National Fire Incident Reporting System (NFIRS) and completed NFIRS system requirements analysis for overall NFIRS system modernization.

FY 2010

- Implement web-based application for the National Fire Incident Reporting System (NFIRS) and initiate NFIRS modernization and enhancement tasks.
- Conduct studies of technologies and operations to improve and enhance responder performance and public safety and disseminate resulting information in a variety of formats to reach both professional audiences and the American public.
- Develop, manage, and maintain activities designed to enhance fire and emergency services response to incidents and disasters.
- Establish State and local fire service representation at the National Operations Center.
- Launch "Install.Inspect.Protect." public education campaign in an effort to reduce residential fire deaths and injuries by urging installation and maintenance of smoke alarms.

FY 2011

- Enhance first responder performance and public safety by conducting studies of emergency response technologies and operations.
- Manage programs that increase the capacity of the Nation's fire and emergency services and the public to prevent, mitigate, prepare for, and respond to local, regional, and national emergencies.
- Continue implementation of NFIRS systems enhancements identified in FY 09 requirements analysis.

IV. Program Justification Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in U.S. Fire Administration
Appropriation Language**

For necessary expenses of the United States Fire Administration and for other purposes, as authorized by the Federal Fire Prevention and Control Act of 1974 (15 U.S.C. 2201 et seq.) and the Homeland Security Act of 2002 (6 U.S.C. 101 et seq.), [\$45,588,000] \$45,930,000. (*Department of Homeland Security Appropriations Act, 2010*).

Explanation of Changes:

No substantive changes are proposed.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	115	115	44,777
FY 2010 Enacted	115	115	45,588
Adjustments-to-Base	-	-	-
Increases	-	-	-
Pay Inflation	-	-	342
Total Increases	-	-	342
Decreases	-	-	-
Total, Adjustments-to-Base	-	-	342
FY 2011 Current Services	115	115	45,930
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	115	115	45,930
FY 2010 to FY 2011 Total Change	-	-	342

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	115	115	44,777
FY 2010 Enacted	115	115	45,588
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	342
Total, Adjustments-to-Base	-	-	342
FY 2011 Current Services	115	115	45,930
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	115	115	45,930
Total Change 2010 to 2011	-	-	342

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
United States Fire Administration	115	115	45,588	115	115	45,930	-	-	342	-	-	-	-	-	342
Subtotal, Estimates Program Project Activity	115	115	45,588	115	115	45,930	-	-	342	-	-	-	-	-	342
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	115	115	45,588	115	115	45,930	-	-	342	-	-	-	-	-	342

D. Summary of Reimbursable Resources

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration
Summary of Reimbursable Resources
(Dollars in Thousands)**

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Department of Interior	-	-	50	-	-	-	-	-	-	-	-	-
Department of Justice	-	-	-	-	-	50	-	-	-	-	-	(50)
Department of Transportation	-	-	16	-	-	350	-	-	350	-	-	-
Department of Agriculture	-	-	140	-	-	50	-	-	-	-	-	(50)
DHS Office of Health Affairs	-	-	250	-	-	-	-	-	-	-	-	-
DHS Science & Technology	-	-	75	-	-	-	-	-	-	-	-	-
Department of Justice	-	-	75	-	-	-	-	-	-	-	-	-
Total Budgetary Resources	-	-	606	-	-	450	-	-	350	-	-	(100)

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
United States Fire Administration	-	-	606	-	-	450	-	-	350	-	-	(100)
Total Obligations	-	-	606	-	-	450	-	-	350	-	-	(100)

E. Summary of Requirements by Object Class

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration**
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	9,472	9,304	9,550	246
11.3 Other than full-time permanent	143	86	88	2
11.5 Other personnel compensation	324	445	456	11
12.1 Benefits	2,357	3,101	3,183	82
21.0 Travel	291	315	315	-
22.0 Transportation of things	66	78	78	-
23.2 Other rent	6	220	220	-
23.3 Communications, utilities, and misc. charges	2,591	2,972	2,972	-
24.0 Printing	398	431	431	-
25.1 Advisory and assistance services	3,085	2,156	2,156	-
25.2 Other services	7,268	11,509	11,509	-
25.3 Purchases from Gov't accts.	2,615	1,083	1,083	-
25.4 O&M of facilities	6,892	6,110	6,110	-
25.7 Operation and maintenance of equipment	2,053	1,821	1,821	-
25.8 Other services	11	10	10	-
26.0 Supplies and materials	786	583	583	-
31.0 Equipment	831	980	980	-
32.0 Land & structures	1,412	-	-	-
41.0 Grants/Subsidies/Contributions	4,176	4,384	4,385	1
Total, Object Class	44,777	45,588	45,930	342
Total, Direct Obligations	44,777	45,588	45,930	342

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	3	3	3	-
GS-15	5	5	5	-
GS-14	10	10	10	-
GS-13	44	44	44	-
GS-12	15	15	15	-
GS-11	12	12	12	-
GS-9	7	7	7	-
GS-8	5	5	5	-
GS-7	13	13	13	-
GS-5	1	1	1	-
Total Permanent Positions	115	115	115	-
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	115	115	115	-
Full Time Equivalent	115	115	115	-
Headquarters	115	115	115	-
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total, Location	115	115	115	-
Average ES Salary	152,043	155,388	158,496	3,108
Average GS Salary	74,367	76,003	77,523	1,520
Average Grade	11	11	11	-

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration
United States Fire Administration
Funding Schedule
(Dollars in Thousands)**

PPA: United States Fire Administration	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	9,472	9,304	9,550	246
11.3 Other than full-time permanent	143	86	88	2
11.5 Other personnel compensation	324	445	456	11
12.1 Benefits	2,357	3,101	3,183	82
21.0 Travel	291	315	315	-
22.0 Transportation of things	66	78	78	-
23.2 Other rent	6	220	220	-
23.3 Communications, utilities, and misc. charges	2,591	2,972	2,972	-
24.0 Printing	398	431	431	-
25.1 Advisory and assistance services	3,085	2,156	2,156	-
25.2 Other services	7,268	11,509	11,509	-
25.3 Purchases from Gov't accts.	2,615	1,083	1,083	-
25.4 O&M of facilities	6,892	6,110	6,110	-
25.7 Operation and maintenance of equipment	2,053	1,821	1,821	-
25.8 Other services	11	10	10	-
26.0 Supplies and materials	786	583	583	-
31.0 Equipment	831	980	980	-
32.0 Land & structures	1,412	-	-	-
41.0 Grants/Subsidies/Contributions	4,176	4,384	4,385	1
Total, Object Class	44,777	45,588	45,930	342
Total, United States Fire Administration	44,777	45,588	45,930	342

PPA Mission Statement

The mission of the United States Fire Administration (USFA) is to reduce life and economic losses due to fire and related emergencies through leadership, coordination, and support. USFA prepares the Nation's fire responders through ongoing and, when necessary, expedited training, regarding how to evaluate and minimize community risk, improve protection to critical infrastructure, and be better prepared to react to all-hazard and terrorism emergencies of all kinds.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	9,472	9,304	9,550	246

Salaries and Benefits includes costs for 115 FTEs. The FY 2010 request includes of \$342,000 for pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	143	86	88	2

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	324	445	456	11

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.8 Special Service Pay	-	-	-	-

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	2,357	3,101	3,183	82

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	291	315	315	-

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	66	78	78	-

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	6	220	220	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	2,591	2,972	2,972	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility service. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	398	431	431	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	3,085	2,156	2,156	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects no change from FY 2010

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	7,268	11,509	11,509	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	2,615	1,083	1,083	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	6,892	6,110	6,110	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	2,053	1,821	1,821	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	11	10	10	-

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	786	583	583	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	831	980	980	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	1,412	-	-	-

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to building, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	4,176	4,384	4,385	1

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request reflects no change from FY 2010.

I. Changes in Full Time Equivalent

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	115	115	115
INCREASES	-	-	-
DECREASES	-	-	-
Year End Actual / Estimated FTEs:	115	115	115
Net Change from prior year base to Budget Year Estimate:	-	-	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
United States Fire Administration	303,088	343,236	674,236	331,000
Total Working Capital Fund	303,088	343,236	674,236	331,000

Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness:



Fiscal Year 2011
Overview
Congressional Budget Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Radiological Emergency Preparedness:

I. Appropriation Overview

A – Mission Statement for Radiological Emergency Preparedness:

The Radiological Emergency Preparedness Program (REPP) assists State, local, and tribal governments in the development of off-site radiological emergency preparedness plans within the emergency planning zones of Nuclear Regulatory Commission (NRC) licensees of commercial nuclear power facilities. The REPP fund is financed from user fees assessed and collected from NRC licensees to cover budgeted costs for radiological emergency planning, preparedness, and response activities in the following year.

B – Budget Activities:

FEMA requests budget authority of \$33,000,000 in FY 2011 to:

- Conduct activities in conjunction with State, local and industry officials to ensure all elements required to gain and maintain ‘reasonable assurance’ of required levels for public safety determinations related to operating nuclear power generating stations.
- Conduct and Evaluate REPP exercises and drills.
- Conduct joint FEMA/NRC rulemaking and policy development activities as they relate to offsite planning and preparedness.
- Conduct necessary offsite planning and preparedness reviews pertaining to proposed new reactor licensing and construction efforts.
- Conduct radiological courses for federal, state, tribal and local emergency planning, preparedness and response personnel.
- Develop and maintain guidelines and procedures for alert and notification systems installed around nuclear power facilities. Ensure these efforts are coordinated with emerging National policies pertaining to public alert and warning systems.
- Continuously review and update REP guidelines and regulatory supplements to ensure they are standardized and in conformance with the National Preparedness System. Specifically, publish final Radiological Emergency Preparedness Program Manual and Supplemental to NUREG-0654 incorporating program guidance and policy enhancements.
- Maintain an integrated network system to aid federal, state, local and tribal emergency response providers in preparedness, planning, training and exercising.

C – Budget Request Summary:

REPP estimates the Fiscal Year (FY) 2011 offsetting collection authority to be \$33,361,000. A \$361,000 increase over the FY 2010 President’s Budget Request and includes increased funding for fully funded Full-Time positions and 2011 pay inflation.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness:**
Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Radiological Emergency Preparedness	170	32,213	170	29,674	170	33,000	-	3,326	-	-	-	3,326
Subtotal, Enacted Appropriations and Budget Estimates	170	32,213	170	29,674	170	33,000	-	3,326	-	-	-	3,326
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Offsetting Collections	-	(29,674)	-	(33,000)	-	(33,361)	-	(361)	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	170	2,539	170	(3,326)	170	(361)	-	2,965	-	-	-	3,326

III. Current Services Program Description by PPA

**Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness:
Radiological Emergency Preparedness
Program Performance Justification**
(Dollars in Thousands)

PPA: Radiological Emergency Preparedness

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	170	170	32,213
2010 Enacted	170	170	29,674
2011 Adjustments-to-Base	-	-	3,326
2011 Current Services	170	170	33,000
2011 Total Request	170	170	33,000
Total Change 2010 to 2011	-	-	3,326

FEMA requests \$33,000,000, and 170 positions, and 170 FTE for the Radiological Emergency Preparedness Program in FY 2011.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Radiological Emergency Preparedness Program plans and executes nationally coordinated, locally executed radiological emergency preparedness and response activities. The program assists State and Local governments in the development and conduct of off-site radiological emergency preparedness activities within the emergency planning zones of NRC licensed commercial nuclear power facilities. REPP's historical success lies in its ability to integrate and enhance Federal, State, tribal, and local governments' preparedness planning and response capabilities for all types of radiological emergencies.

Funds for REPP activities are generated through user fees charged to each participating reactor licensee. Funds that are available for obligation in a given year rely on the level of collections received in the prior fiscal year.

Terrorism-based Initiatives

Since September 11, 2001, REPP has received requests to participate in exercises, drills, roundtable discussions, issue committees, and working groups associated with nuclear

power plant security, as well as emergency preparedness planning for incidents involving a radiological dispersal device or improvised nuclear device. REPP provides support to those activities given the highest priority.

In addition, REPP has completed a significant number of requests from its Federal department/agency partners and from State, local, tribal, and private sector stakeholders to conduct a comprehensive revision and update of the current REPP policies, guidance, and regulations. Many of these operative program documents are now revised and ready for public comment.

Ongoing terrorism-based drills are increasing the program's nuclear and radiological responsibilities. REPP also actively supports other FEMA, DHS, and Federal partners Improvised Nuclear Device (IND) and Radiological Disbursement Device (RDD) planning and exercises, as these programs have common elements with REPP's primary mission.

In the regional offices, REPP established a 1:1 ratio of site specialists for each plant in order to address the increase in site-specific issues that have surfaced since the 9/11 terrorist attacks. REPP has also noticed that as these plants begin to seek operating license extensions, the number of issues involving opposition from local citizens and intervenor/public interest groups increases dramatically.

New Reactor License Applications

The New Reactor License program provides an off-site emergency preparedness plan review, preparation of documents that will be contained in the official Safety Evaluation Reports, delivery of expert testimony if necessary, and production of interim and final "reasonable assurance" findings for the NRC. In FY 2010, REPP anticipates continuing work on at least 15 new reactor license applications generated since the enactment of the Energy Policy Act of 2005. To support the increased workload associated with these new applications, REPP received 40 additional FTEs and supporting resources in FY 2008.

Federal Radiological Preparedness Coordinating Committee

The Federal Radiological Preparedness Coordinating Committee (FRPCC), funded by REPP fee collections, coordinates the activities of Federal agencies with responsibilities in the radiological emergency planning and preparedness process. The FRPCC serves as a radiological information clearing house between member agencies. FRPCC subcommittees support vital REPP missions, including Federal Preparedness, Offsite Instrumentation, Environment/Food/Health, Training and Exercises, Protective Action Guides, Public Information, etc. These subcommittees are chaired by the Federal Agency with principle responsibility for the given mission area. The FRPCC is also responsible for updating the Nuclear/Radiological Incident Annex of the National Response Framework, last updated in 2008.

Recent and Planned Accomplishments

FY 2009 Accomplishments

- Supported the NRC with offsite emergency plan reviews to 19 new reactor applications in various states. Completed reviews and certified the offsite plans for six new units.
- Provided support and oversight to conduct, evaluate, and report findings that will be submitted to the NRC on 31 joint, biennial, graded, REP exercises and any associated remedial drills.
- Revised programs of instruction to ensure radiological training course materials are consistent with the National Preparedness and Integrated Planning Systems. Trained federal staff as instructors and initiated a transition from contractor based instructor deliveries to Federal staff as primary instructors.

FY 2010 Planned Accomplishments

- Provide support and oversight to conduct, evaluate, and report findings that will be submitted to the NRC on 34 joint, biennial, graded REP exercises and any associated remedial drills.
- Continue support to NRC in the review of offsite emergency plans for up to 33 new reactor units.
- Adjudicate and resolve public comments and finalize the Radiological Preparedness Program Manual and NUREG 0654/FEMA-REP-1/Rev.1 Supplement 4.

FY 2011 Planned Accomplishments

- Publish, market, and implement final Radiological Preparedness Program Manual and NUREG 0654/FEMA-REP-1/Rev.1 Supplement 4 incorporating program guidance and policy enhancements
- Commence update process of NUREG 0654/FEMA-REP-1/Rev.1
- Continue support to NRC in the review of offsite emergency plans for up to 33 new reactor units.
- Provide support and oversight to conduct, evaluate, and report findings that will be submitted to the NRC on 28 joint, graded, biennial REP exercises and any associated remedial drills.
- Update the national Response Framework's Nuclear - Radiological Incident Annex to address long-recovery response efforts.
- Provide Risk Communications guidance to REPP States, local and tribal governments.

IV. Program Justification Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in Radiological Emergency Preparedness
Program
Appropriation Language**

The aggregate charges assessed during fiscal year [2010]2011 , as authorized in title III of the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 1999 (42 U.S.C. 5196e), shall not be less than 100 percent of the amounts anticipated by the Department of Homeland Security necessary for its Radiological Emergency Preparedness Program for the next fiscal year: *Provided*, That the methodology for assessment and collection of fees shall be fair and equitable and shall reflect costs of providing such services, including administrative costs of collecting such fees: *Provided further*, That fees received under this heading shall be deposited in this account as offsetting collections and will become available for authorized purposes on October 1, [2009]2010, and remain available until expended. (*Department of Homeland Security Appropriations Act, 2010.*)

Explanation of Changes:

No substantive changes are proposed.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness:
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	170	170	32,213
FY 2010 Enacted	170	170	29,674
Adjustments-to-Base	-	-	-
Increases	-	-	-
2011 pay increase	-	-	152
Annualization of 2010 pay raise	-	-	219
Increase in offsetting fee collections	-	-	2,955
Total Increases	-	-	3,326
Decreases	-	-	-
Total, Adjustments-to-Base	-	-	3,326
FY 2011 Current Services	170	170	33,000
Offsetting Collections	-	-	(33,361)
FY 2011 Request	170	170	(361)
FY 2010 to FY 2011 Total Change	-	-	3,326

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	170	170	32,213
FY 2010 Enacted	170	170	29,674
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	3,326
Total, Adjustments-to-Base	-	-	3,326
FY 2011 Current Services	170	170	33,000
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	170	170	33,000
Total Change 2010 to 2011	-	-	3,326

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Radiological Emergency Preparedness	170	170	29,674	170	170	33,000	-	-	3,326	-	-	-	-	-	3,326
Subtotal, Estimates Program Project Activity	170	170	29,674	170	170	33,000	-	-	3,326	-	-	-	-	-	3,326
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Offsetting Collections	-	-	(33,000)	-	-	(33,361)	-	-	(361)	-	-	-	-	-	-
Net, Estimates Program Project Activity:	170	170	(3,326)	170	170	(361)	-	-	2,965	-	-	-	-	-	3,326

D. Summary of Reimbursable Resources

**Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness:
Summary of Reimbursable Resources
(Dollars in Thousands)**

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Department of Army (CSEPP)	36	25	110,366	36	28	38,933	36	28	116,000	-	-	77,067
Total Budgetary Resources	36	25	110,366	36	28	38,933	36	28	116,000	-	-	77,067

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
Radiological Emergency Preparedness	36	25	110,366	36	28	38,933	36	28	116,000	-	-	77,067
Total Obligations	36	25	110,366	36	28	38,933	36	28	116,000	-	-	77,067

E. Summary of Requirements by Object Class

**Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	11,844	13,397	13,846	449
11.5 Other personnel compensation	393	449	462	13
12.1 Benefits	895	4,019	4,154	135
21.0 Travel	1,616	2,400	2,800	400
22.0 Transportation of things	1	1	1	-
23.1 GSA rent	1,781	1,781	1,781	-
23.3 Communications, utilities, and misc. charges	37	42	42	-
24.0 Printing	47	53	53	-
25.1 Advisory and assistance services	86	87	603	516
25.2 Other services	14,473	6,310	6,965	655
25.3 Purchases from Gov't accts.	283	513	1,200	687
25.7 Operation and maintenance of equipment	293	293	293	-
26.0 Supplies and materials	73	75	300	225
31.0 Equipment	254	254	500	246
41.0 Grants/Subsidies/Contributions	137	-	-	-
Total, Object Class	32,213	29,674	33,000	3,326
Unobligated Balance, start of year	(14,348)	-	-	-
Recoveries of Prior Year Obligations	(3,824)	-	-	-
Offsetting Collections	(29,674)	(33,000)	(33,361)	(361)
Total, Adjustments	(47,846)	(33,000)	(33,361)	(361)
Total, Direct Obligations	(15,633)	(3,326)	(361)	2,965

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness:
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	1	1	1	-
GS-15	7	7	7	-
GS-14	18	18	18	-
GS-13	43	43	43	-
GS-12	86	86	86	-
GS-11	2	2	2	-
GS-9	2	2	2	-
GS-8	3	3	3	-
GS-7	8	8	8	-
Total Permanent Positions	170	170	170	-
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	170	170	170	-
Full Time Equivalents	170	170	170	-
Headquarters	74	74	74	-
U.S. Field	96	96	96	-
Foreign Field	-	-	-	-
Total, Location	170	170	170	-
Average ES Salary	154,800	159,754	163,588	3,834
Average GS Salary	80,765	81,171	83,119	1,948
Average Grade	12	12	12	-

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness:
Radiological Emergency Preparedness
Funding Schedule
(Dollars in Thousands)**

PPA: Radiological Emergency Preparedness	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	11,844	13,397	13,846	449
11.5 Other personnel compensation	393	449	462	13
12.1 Benefits	895	4,019	4,154	135
21.0 Travel	1,616	2,400	2,800	400
22.0 Transportation of things	1	1	1	-
23.1 GSA rent	1,781	1,781	1,781	-
23.3 Communications, utilities, and misc. charges	37	42	42	-
24.0 Printing	47	53	53	-
25.1 Advisory and assistance services	86	87	603	516
25.2 Other services	14,473	6,310	6,965	655
25.3 Purchases from Gov't accts.	283	513	1,200	687
25.7 Operation and maintenance of equipment	293	293	293	-
26.0 Supplies and materials	73	75	300	225
31.0 Equipment	254	254	500	246
41.0 Grants/Subsidies/Contributions	137	-	-	-
Total, Object Class	32,213	29,674	33,000	3,326
Total, Radiological Emergency Preparedness	32,213	29,674	33,000	3,326

PPA Mission Statement

The Radiological Emergency Preparedness Program (REPP) assists State, local, and tribal governments in the development of off-site radiological emergency preparedness plans within the emergency planning zones of Nuclear Regulatory Commission (NRC) licensees of commercial nuclear power facilities. The REPP fund is financed from user fees assessed and collected from NRC licensees to cover budgeted costs for radiological emergency planning, preparedness, and response activities in the following year.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	11,844	13,397	13,846	449

Salaries and Benefits includes costs for 170 FTEs. The FY 2011 request includes an increase of \$ 597 for pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	393	449	462	13

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	895	4,019	4,154	135

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	1,616	2,400	2,800	400

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$400 from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	1	1	1	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	1,781	1,781	1,781	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	37	42	42	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	47	53	53	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	86	87	603	516

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes an increase of \$516 from FY 2010. This increase reflects new activities associated with new reactor applicants and hostile action based exercise scenarios.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	14,473	6,310	6,965	655

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes an increase of \$655 from FY 2010. This increase reflects new activities associated with new reactor applicants and hostile action based exercise scenarios.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	283	513	1,200	687

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes an increase of \$687 from FY 2010. This increase reflects new activities associated with new reactor applicants and hostile action based exercise scenarios.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	293	293	293	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	73	75	300	225

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. This includes a \$225 increase from FY 2010. This increase reflects new activities associated with new reactor applicants and hostile action based exercise scenarios.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	254	254	500	246

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 requests include an increase of \$246 from the FY 2010 budget.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	137	-	-	-

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

I. Changes in Full Time Equivalent

**Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness:
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	170	170	170
INCREASES	-	-	-
DECREASES	-	-	-
Year End Actual / Estimated FTEs:	170	170	170
Net Change from prior year base to Budget Year Estimate:	-	-	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness:
FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Radiological Emergency Preparedness	507	707	729	22
Total Working Capital Fund	507	707	729	22

Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund



Fiscal Year 2011
Overview
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

National Pre-Disaster Mitigation Fund

I. Appropriation Overview

A – Mission Statement for National Pre-Disaster Mitigation Fund

Section 203 (42 U.S.C. 5133) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (P.L. 93-288) established a federal program that provides “technical and financial assistance to State and local governments to assist in the implementation of pre-disaster hazard mitigation measures that are cost-effective and designed to reduce injuries, loss of life, and damage and destruction of property...” The Pre-Disaster Mitigation Fund (PDM) was created under FEMA as the vehicle for disseminating these grants to State and local governments. Operating independently of the Disaster Relief Fund (DRF), which provides post-disaster mitigation funding, the PDM program offers an annual funding source for qualified mitigation activities that are not dependent upon a declaration of disaster activity by the President.

The Pre-Disaster Mitigation Fund will support the Administration’s effort to expand and improve the coordination of Federal efforts to incentivize state and local government to plan for and implement pre-disaster mitigation strategies. Consistent with disaster recovery best practices, the Budget supports efforts that increase community resiliency to disasters and other vulnerabilities. Through a partnership with the Department of Housing and Urban Development’s (HUD) Sustainable Communities initiative, the goal is to support strategic local approaches to sustainable development by coupling hazard mitigation with related community development goals and activities that reduce risks while protecting life, property, and the environment. FEMA will work to integrate sustainability goals into its Pre-Disaster Mitigation program's grant process. PDM funding will provide grants funding to State, local, and tribal governments to reduce the risks associated with disasters. Resources support the development and enhancement of hazard mitigation plans, as well as the implementation of pre-disaster mitigation projects. Operating independently of the Disaster Relief Fund (DRF), which provides post-disaster mitigation funding, the Pre-Disaster Mitigation program provides a stable, year-to-year funding source for qualified projects that is not dependent upon Presidentially declared disaster activity.

To this end, FEMA, through the PDM program, seeks to

- Coordinate with HUD to incorporate pre-disaster mitigation and sustainability principles into both the PDM program and the Sustainable Communities Initiative, administered by HUD;
- Identify, develop and initiate implementation of training, capacity building, best practices, tools and guidance for these coordinated programs; and
- In partnership with HUD, explore opportunities to integrate the requirements of FEMA’s mitigation planning process into the larger sustainability planning framework.

B – Budget Activities:

FEMA’s PDM program provides technical assistance and Federal funding to State, local, and tribal governments to support the development and enhancement of hazard mitigation plans aimed at instituting policies and practices, and mitigation projects that involve physical measures to avoid or reduce damage from natural disasters.

C – Budget Request Summary:

FEMA requests \$100 million in FY 2011 for the National Pre-Disaster Mitigation grant program. Funding will be used to provide the \$500,000 per State allocation as required; support the national grant competition; and provide program support and technical assistance to State, local, and tribal governments.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
National Pre-Disaster Mitigation Fund	11	62,795	15	100,000	15	100,000	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	11	62,795	15	100,000	15	100,000	-	-	-	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	11	62,795	15	100,000	15	100,000	-	-	-	-	-	-

III. Current Services Program Description by PPA

Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
Program Performance Justification
 (Dollars in Thousands)

PPA: National Pre-Disaster Mitigation Fund

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	15	11	62,795
2010 Enacted	15	15	100,000
2011 Current Services	15	15	100,000
2011 Total Request	15	15	100,000
Total Change 2010 to 2011	-	-	-

FEMA requests \$100 million in FY 2011 for this activity. Funding will provide for the annualization of 2010 pay increases, the 2011 cost of living allowance and inflation. This represents no change from the FY 2010 Enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Pre-Disaster Mitigation Fund (PDM) program assists State, local, and tribal governments in implementing cost-effective hazard mitigation activities that complement a comprehensive mitigation program. This program provides a funding resource for State, local, and tribal governments seeking to initiate or complete plans and projects that ensure immediate risk reduction to the population, to property, and for at-risk structures, including critical facilities. Often, funding is the primary obstacle that States and local governments must overcome in order to be more proactive in the prevention or reduction of the damage caused by natural hazards. PDM Federal cost share is up to 75% for all eligible proposals except for small and impoverished communities which can be up to 90% of the cost.

The PDM fund supports efforts to raise risk awareness and reduce disaster losses before disasters strike. Grants are awarded to States, territories, tribal governments, and communities for the purposes of hazard mitigation planning and hazard mitigation projects. Grants awarded for mitigation planning are limited in funding levels based on whether the application supports a new plan or updates an existing plan. Grants awarded to support mitigation projects must fall within one of the eligible categories.

Grants for mitigation projects vary and include activities such as: retrofitting structures to resist flood, wind, and earthquake; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and minor flood reduction and drainage measures.

Communities that participate in the PDM program are able to identify, plan for, and mitigate repetitive loss situations that negatively impact their residents or present a threat to life and property. Approved projects go through an extensive review process to verify cost effectiveness, engineering feasibility, and environmental and historic preservation site reviews. The final approved projects may eliminate the risk of flooding, reinforce critical infrastructure to protect against damage during a seismic event, or mitigate repetitive damage to homes in a flood prone area. PDM projects specifically related to flood mitigation may provide an additional cost savings by reducing future claims on the National Flood Insurance Program for insured structures.

Since FY 2003, FEMA has received \$854.0 million in appropriated funds for the National Pre-Disaster Mitigation Fund. Grant awards from FY 2003 to FY 2006 were determined through a nationally competitive program leveraging the flexibility included in enacted legislation to allocate grant funds based on this competition. Grant proposals were subject to a national technical review process to ensure project applications met technical guidelines, and a national evaluation process to score and rank applications. In addition to FEMA and other Federal employees, staff from States, territories, tribes, and local communities served as peer reviewers in the national evaluation.

In FY 2007, FEMA began allocating grant funds in accordance with Section 203(f) of the Stafford Act (42 U.S.C. 5133) but continued to use the national competition as the mechanism for the awards program. In addition to the funds appropriated each year, the PDM program reinvests unused funds returned by the grant recipient back into the program to support the next cycle of grant awards.

FY 2009 accomplishments:

- Aligned all five mitigation programs into a unified Hazard Mitigation Assistance (HMA) program guidance with the inclusion of Hazard Mitigation Grant Program. This comprehensive approach helped FEMA accomplish the HMA objectives of efficiency and standardization, thus creating a platform for future updates and refinements of program policies and practices to make them more unified and user-friendly.
- Made available to State and local communities the updated Benefit Cost Analysis Toolkit. This software package uses the most up to date computer and software technology and risk information to calculate benefits of performing specific mitigation activities. The software operates with any Windows based computer system and is made available free of charge. Some of the major software features include on demand help functions, tutorial videos imbedded in the software, and instant access to FEMA's websites for additional information. The software was developed with the assistance of local and State mitigation staff, as well as other

government agencies such as the US Army Corp of Engineers, the National Institute of Building Sciences, and the Congressional Budget Office.

FY 2010 planned accomplishments:

- Provide opportunities for transparency and partnership with States, territories, and tribal and local governments through the HMA Summit, the External Stakeholders Workgroup, focus groups and training courses.
- Use an enhanced Benefit Cost Analysis Ratio tool that streamlines and modifies the benefit cost analysis program to make it easier for State and local communities to meet the benefit cost analysis requirements of the mitigation grant programs and meet the Office of Management and Budget Circular A-94.

In recent years, the national grant competition has resulted in a list of eligible “pending” but unfunded PDM projects. To date, FEMA has identified 183 projects totaling \$88.5 million that were previously determined to be eligible and could be funded if adequate funds were available. FEMA plans to consider this list of unfunded projects for priority funding in FY 2010 and beyond so that the funds can be quickly obligated and mitigation accomplished. These projects will reduce the Nation’s vulnerability to future hazard events by reducing the loss of life and property and reducing the Nation’s costs of responding to, and recovering from, natural hazard events.

Massachusetts	Maryland	West Virginia	Alabama	Florida	Michigan	Utah
1	4	2	5	31	4	5
\$157,500	\$146,799	\$613,848	\$2,114,068	\$22,138,030	\$307,673	\$2,554,559

Kentucky	North Carolina	South Carolina	Tennessee	Arkansas	Texas	Colorado
7	50	5	3	2	2	3
\$5,220,599	\$1,418,554	\$1,033,448	\$278,965	\$2,368,624	\$464,625	\$3,150,443

California	Nevada	Idaho	Oregon	Washington	Arizona	Wyot Tribe
41	2	3	3	3	2	1
\$33,463,781	\$107,250	\$411,998	\$3,819,451	\$7,722,411	\$677,601	\$35,854

Gila River Indian Community	Big Pine Paiute Tribe	Spokane Tribe of Indians	Hoopa Valley Tribe
1	1	1	1
\$105,849	\$49,263	\$72,506	\$67,650

Total Number Eligible: 183

Total Proposed Federal Share: \$88,501,348

FY 2011 planned accomplishments:

- Use an enhanced portfolio approach to assist States, territories, and tribal and local governments in the management of pre-qualified mitigation proposals that are: consistent with State and local mitigation plans and priorities; determined technically-feasible to reduce losses to the identified hazard(s); cost effective and facilitate more expeditious awarding of grants.

- Clarify technical requirements for project specific activities that will streamline and simplify technical requirements making it easier for State and local communities to develop eligible applications and document program requirements.
- Develop strategies and process efficiencies to award funds more expeditiously, thereby increasing obligation rates for the mitigation grant programs. In order to enable stakeholders as well as FEMA to more efficiently and effectively deliver the PDM program, FEMA will continue to evaluate the program requirements and processes to determine where refinements can be made that will improve the overall effectiveness and delivery of the program.

IV. Program Justification Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in National Pre-Disaster Mitigation Fund
Appropriation Language**

For the Pre-Disaster Mitigation Grant Program under section 203 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5133), ***including administrative costs***, \$100,000,000, to remain available until expended. (Department of Homeland Security Appropriations Act, 2010.)

Explanation of Change:

FEMA proposes to remove the total administrative cost percentage from appropriation language. The 3% for administrative costs would provide an insufficient level of funding for the program to continue to operate effectively. The program currently operates at a very conservative funding level and retaining this percentage rate would require the program to reduce other operating costs critical to the grant review and award process.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	15	11	62,795
FY 2010 Enacted	15	15	100,000
Adjustments-to-Base	-	-	-
Increases	-	-	-
2011 pay increase	-	-	23
Annualization of 2010 pay raise	-	-	8
GSA Rent	-	-	4
Non-pay inflation	-	-	2
Total Increases	-	-	37
Decreases	-	-	-
Savings from efficiencies and non-recurring costs	-	-	(37)
Total Decreases	-	-	(37)
FY 2011 Current Services	15	15	100,000
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	15	15	100,000
FY 2010 to FY 2011 Total Change	-	-	-

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	15	11	62,795
FY 2010 Enacted	15	15	100,000
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	37
Decreases	-	-	(37)
FY 2011 Current Services	15	15	100,000
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	15	15	100,000
Total Change 2010 to 2011	-	-	-

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
National Pre-Disaster Mitigation Fund	15	15	100,000	15	15	100,000	-	-	-	-	-	-	-	-	-
Subtotal, Estimates Program Project Activity	15	15	100,000	15	15	100,000	-	-	-	-	-	-	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	15	15	100,000	15	15	100,000	-	-	-	-	-	-	-	-	-

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,041	1,456	1,481	25
11.3 Other than full-time permanent	3	-	-	-
11.5 Other personnel compensation	116	83	84	1
12.1 Benefits	283	375	381	6
21.0 Travel	422	1,043	1,053	10
22.0 Transportation of things	2	-	-	-
23.1 GSA rent	186	188	192	4
23.3 Communications, utilities, and misc. charges	140	21	21	-
25.1 Advisory and assistance services	1,931	1,637	1,538	(99)
25.2 Other services	8,178	8,294	8,291	(3)
25.3 Purchases from Gov't accts.	-	56	57	1
26.0 Supplies and materials	40	11	11	-
31.0 Equipment	46	84	85	1
41.0 Grants/Subsidies/Contributions	50,407	221,425	90,275	(131,150)
Total, Object Class	62,795	234,673	103,469	(131,204)
Unobligated Balance, start of year	(105,110)	(138,142)	(3,469)	134,673
Unobligated Balance, end of year	138,142	3,469	-	(3,469)
Recoveries of Prior Year Obligations	(5,827)	-	-	-
Total, Adjustments	27,205	(134,673)	(3,469)	131,204
Total, Direct Obligations	90,000	100,000	100,000	-

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
GS-14	3	3	3	-
GS-13	9	9	9	-
GS-12	3	3	3	-
Total Permanent Positions	15	15	15	-
Unfilled Positions EOY	4	-	-	-
Total Permanent Employment EOY	11	15	15	-
Full Time Equivalents	11	15	15	-
Headquarters	9	9	9	-
U.S. Field	6	6	6	-
Foreign Field	-	-	-	-
Total, Location	15	15	15	-
Average ES Salary	-	-	-	-
Average GS Salary	89,825	91,622	93,546	1,924
Average Grade	13	13	13	-

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
Funding Schedule
(Dollars in Thousands)**

PPA: National Pre-Disaster Mitigation Fund	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,041	1,456	1,481	25
11.3 Other than full-time permanent	3	-	-	-
11.5 Other personnel compensation	116	83	84	1
12.1 Benefits	283	375	381	6
21.0 Travel	422	1,043	1,053	10
22.0 Transportation of things	2	-	-	-
23.1 GSA rent	186	188	192	4
23.3 Communications, utilities, and misc. charges	140	21	21	-
25.1 Advisory and assistance services	1,931	1,637	1,538	(99)
25.2 Other services	8,178	8,294	8,291	(3)
25.3 Purchases from Gov't accts.	-	56	57	1
26.0 Supplies and materials	40	11	11	-
31.0 Equipment	46	84	85	1
41.0 Grants/Subsidies/Contributions	50,407	221,425	90,275	(131,150)
Total, Object Class	62,795	234,673	103,469	(131,204)
Unobligated Balance, start of year	(105,110)	(138,142)	(3,469)	134,673
Unobligated Balance, end of year	138,142	3,469	-	(3,469)
Recoveries of Prior Year Obligations	(5,827)	-	-	-
Total, Adjustments	27,205	(134,673)	(3,469)	131,204
Total, National Pre-Disaster Mitigation Fund	90,000	100,000	100,000	-
Full Time Equivalents	11	15	15	-

PPA Mission Statement

Funding requested through this account is dedicated to competitive grants for pre-disaster mitigation (PDM). Operating independently of the Disaster Relief Fund (DRF) assures that funding remains stable from year to year and is not subject to spikes in disaster activity. FEMA's PDM program provides technical assistance and Federal funding to State, local, and tribal governments to support the development and enhancement of hazard mitigation plans aimed at instituting policies, practices, and mitigation projects that involve physical measures to avoid or reduce damage from disasters.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	1,041	1,456	1,481	25

Salaries and Benefits support 15 full time permanent positions in FY 2011. The increase above the FY 2010 level will provide for the annualization of the 2010 pay increase and the cost of living adjustment effective January 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	3	-	-	-

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	116	83	84	1

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	283	375	381	6

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	422	1,043	1,053	10

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request reflects an increase in travel based requirements to support the national competition, to conduct conferences, training and meetings with State

and local representatives, and to cover the cost of inflation and fare increases.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	2	-	-	-

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	186	188	192	4

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request includes increases of \$4,000 for lease costs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	140	21	21	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility service.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	1,931	1,637	1,538	(99)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes a decrease of \$99,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	8,178	8,294	8,291	(3)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes funding to State and local governments for project management support. This effort will continue in FY 2011 based on the demand and level of activity in FY 2009 and FY 2010. The decrease of \$3,000 from the FY 2010 Enacted reflects a net savings in cost for contracted services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	-	56	57	1

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request provides funding for increases in costs for services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	40	11	11	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	46	84	85	1

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request provides funding for equipment replacement.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	50,407	221,425	90,275	(131,150)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 Request reflects the anticipated amount in grant awards.

I. Changes in Full Time Equivalent

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	6	13	15
INCREASES	-	-	-
Reflects FTE actuals for FY 2009	5	-	-
Increases	5	-	-
Reflects the achievement of full staffing level	-	2	-
Subtotal, Increases	5	2	-
DECREASES	-	-	-
Year End Actual / Estimated FTEs:	11	15	15
Net Change from prior year base to Budget Year Estimate:	5	2	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund**
FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
DHS/FEMA assessment of WCF	45	56	64	8
Total Working Capital Fund	45	56	64	8

Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter



Fiscal Year 2011
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BUDGET REQUEST AND SUPPORTING INFORMATION
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Emergency Food and Shelter

I. Appropriation Overview

A – Mission Statement for Emergency Food and Shelter

The Emergency Food and Shelter Program provides grants to nonprofit and faith-based organizations at the local level through the National Board to supplement their programs for emergency food and shelter.

B – Budget Activities:

EFS funds are used to supplement food, shelter, rent, mortgage, and utility assistance programs for people with non-disaster related emergencies.

The EFS program is administered via a national board of volunteer agencies chaired by FEMA. The National Board qualifies jurisdictions for annual EFS funding awards based on criteria involving current population, unemployment, and poverty levels. Grants are awarded to nonprofit community and government organizations that are chosen by local boards in the qualifying jurisdictions.

C – Budget Request Summary:

The FEMA FY 2011 request for the EFS program is 0 positions, 0 FTE and \$100,000,000. This request represents a \$100,000,000 reduction from FY 2010 enacted.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 President's Budget
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		President's Budget		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Emergency Food and Shelter	-	200,000	-	200,000	-	100,000	-	(100,000)	-	(100,000)	-	-
Subtotal, Enacted Appropriations and Budget Estimates	-	200,000	-	200,000	-	100,000	-	(100,000)	-	(100,000)	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	-	200,000	-	200,000	-	100,000	-	(100,000)	-	(100,000)	-	-

III. Current Services Program Description by PPA

**Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter
Program Performance Justification**
(Dollars in Thousands)

PPA: Emergency Food and Shelter

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	-	-	200,000
2010 Enacted	-	-	200,000
2011 Current Services	-	-	200,000
2011 Program Change	-	-	(100,000)
2011 Total President's Budget	-	-	100,000
Total Change 2010 to 2011	-	-	(100,000)

FEMA requests \$100 million for this activity. This represents a \$100 million reduction from FY 2010.

*The table above excludes ARRA funding of \$100 million provided in P.L. 111-5 in FY 2009.

CURRENT SERVICES PROGRAM DESCRIPTION:

The EFS program provides grants to nonprofit and faith-based organizations at the local level to supplement their programs for emergency food and shelter. Nearly 12,000 nonprofit and local government agencies in over 2,500 cities and counties across the United States receive awards.

Funding for this program is distributed by the National Board which consists of designees from six charitable organizations – United Way of America, The Salvation Army, the National Council of Churches of Christ in the USA, Catholic Charities USA, United Jewish Communities, and the American Red Cross. The National Board is chaired by a representative from FEMA.

Local jurisdictions (city or county) are eligible for EFS support when they have the highest need for emergency food and shelter services as determined by unemployment and poverty rates. In FY 2008, the National Board established three measures to determine highest need eligibility: (1) Those with 13,000 or more residents unemployed and an unemployment rate of at least 3.5 percent; (2) Those with between 300 and 12,999 residents unemployed and an unemployment rate of at least 5.5 percent; or (3) Those with 300 or more unemployed and a poverty rate of at least 11 percent.

Funding may also be provided to jurisdictions that do not meet the initial eligibility requirements through a state set-aside. The National Board reserves a portion of appropriated funds and distributes funding to states based on a discretionary determination that allows for a constant level of funding based on a ratio of per capita state set-aside to per capita direct funding. The state set-aside allows states to address pockets of homelessness and poverty or address the immediate needs of a locality that might be going through a high economic impact event, such as a plant closing.

Recent and Planned Accomplishments

In FY 2009, the services rendered are estimated at 70.1 million meals and 5.4 million nights of lodging. In FY 2009, the funds were also used to provide approximately 209,061 rent/mortgage payments and 226,822 utility bill payments. All 50 states, the District of Columbia, Puerto Rico, American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands, received funds in FY 2009.

In FY 2010, the services to be rendered are estimated at 70.1 million meals and 5.4 million nights of lodging. In FY 2010, the funds will also be used to provide approximately 209,061 rent/mortgage payments and 226,822 utility bill payments.

In FY 2011, the services rendered are estimated at 35 million meals and 2.7 million nights of lodging. The FY 2011 funds are estimated to also support approximately 104,531 rent/mortgage payments, and 113,411 utility bill payments.

IV. Program Justification Changes

**Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Program Change
PPA: Emergency Food and Shelter
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-100000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	200,000
Program Increase							-	-	(100,000)
Total Request	-	-	200,000	-	-	200,000	-	-	100,000

Description of Item

FEMA requests a reduction of \$100,000,000 in the EFS program for FY 2011.

Justification

The FY 2011 request for EFS reflects a refocus of agency-wide resources on FEMA's primary mission of preparing for and coordinating disaster response and recovery efforts while still providing substantial support for the non-disaster EFS program.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in Emergency Food and Shelter
Appropriation Language**

To carry out an emergency food and shelter program pursuant to Title III of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11331 et seq.), [\$200,000,000] *\$100,000,000*, to remain available until expended: *Provided*, That total administrative costs shall not exceed 3.5 percent of the total amount available under this heading. (*Department of Homeland Security Appropriations Act, 2011*).

Explanation of Changes:

No substantive changes are proposed.

B. FY 2010 to 2011 Budget Change

Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter
FY2010 to FY2011 Budget Change
(Dollars in Thousands)

	Pos.	FTE	Amount
FY 2009 Actuals	-	-	200,000
FY 2010 Enacted	-	-	200,000
Adjustments-to-Base	-	-	-
FY 2011 Current Services	-	-	200,000
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Program Change	-	-	(100,000)
Total, Program Changes	-	-	(100,000)
FY 2011 President's Budget	-	-	100,000
FY 2010 to FY 2011 Total Change	-	-	(100,000)

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	-	-	200,000
FY 2010 Enacted	-	-	200,000
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
FY 2011 Current Services	-	-	200,000
Program Changes	-	-	-
Total, Program Changes	-	-	(100,000)
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total President's Budget	-	-	100,000
Total Change 2010 to 2011	-	-	(100,000)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			President's Budget			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Emergency Food and Shelter	-	-	200,000	-	-	100,000	-	-	(100,000)	-	-	(100,000)	-	-	-
Subtotal, Estimates Program Project Activity	-	-	200,000	-	-	100,000	-	-	(100,000)	-	-	(100,000)	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	-	-	200,000	-	-	100,000	-	-	(100,000)	-	-	(100,000)	-	-	-

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	200,000	200,000	100,000	(100,000)
Total, Object Class	200,000	200,000	100,000	(100,000)
Total, Direct Obligations	200,000	200,000	100,000	(100,000)

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter
Funding Schedule
(Dollars in Thousands)**

PPA: Emergency Food and Shelter	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
Object Classes:				
41.0 Grants/Subsidies/Contributions	200,000	200,000	100,000	(100,000)
Total, Emergency Food and Shelter	200,000	200,000	100,000	(100,000)
Less: Adjustments for Other Funding Sources	-	-	-	-
Net, Emergency Food and Shelter:	200,000	200,000	100,000	(100,000)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Emergency Food and Shelter (EFS) Program provides grants to nonprofit and faith-based organizations at the local level through the National Board to supplement their programs for emergency food and shelter.

In FY 2010, the services rendered are estimated to be 35 million meals and 2.7 million nights of lodging. The FY 2010 funds are estimated to also support approximately 104,531 rent/mortgage payments, and 113,411 utility bill payments.

The FEMA FY 2011 request will continue to provide funding to supplement local efforts to provide meals, shelter, and emergency assistance for mortgage, rent, and utility payments.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	200,000	200,000	100,000	(100,000)

I. Changes in Full Time Equivalent

**Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	-	-	-
INCREASES	-	-	-
DECREASES	-	-	-
Year End Actual / Estimated FTEs:	-	-	-
Net Change from prior year base to Budget Year Estimate:	-	-	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security
Federal Emergency Management Agency
Disaster Relief Fund



Fiscal Year 2011
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BUDGET REQUEST AND SUPPORTING INFORMATION
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Disaster Relief Fund

I. Appropriation Overview

A – Mission Statement for Disaster Relief Fund

Pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act, the Disaster Relief Fund (DRF) provides a no-year base against which FEMA can direct, coordinate, manage, and fund eligible response and recovery efforts associated with domestic major disasters and emergencies. Through the DRF, FEMA can fund authorized federal disaster support activities as well as eligible State, Territorial, Tribal, and local actions, such as providing emergency protection and debris removal. The DRF also funds:

- The repair and rebuilding of qualifying disaster-damaged infrastructure;
- Hazard mitigation initiatives;
- Financial assistance to eligible disaster survivors;
- Fire Management Assistance Grants for qualifying large urban wildfires.

B – Budget Activities:

Major disasters and emergencies may be the result of natural or man-made hazards, and are normally declared by the President in response to gubernatorial requests for assistance. States request Federal assistance to supplement their available resources and certify that a given disaster is beyond their capacity or capability to respond. The DRF also supports fire management assistance activities for the mitigation, management, and control of fires on public and private lands.

FEMA coordinates three major disaster assistance programs:

- Federal Assistance to Individuals and Households;
- Public Assistance;
- Hazard Mitigation assistance.

Non-declaration-specific readiness and support activities are also funded under the DRF. These activities provide indirect support across FEMA (and to our Federal partners) and are managed separately as Disaster Readiness and Support (DRS) activities.

Effective November 4, 2008, FEMA was authorized to transfer DRF funding to the U.S. Agency for International Development (USAID) to implement disaster-specific Relief and Reconstruction Plans in the Federal States of Micronesia and the Republic of the Marshall Islands through the Compacts of Free Association.

C – Budget Request Summary:

FEMA requests 45 full-time positions, 3,383 FTEs, and \$1,950,000,000 for the Disaster Relief Fund in Fiscal Year (FY) 2011. This represents an increase of \$350,000,000 and a decrease of 233 positions and 217 FTE compared to FY 2010 enacted amounts. The 233 positions represent the remaining non-disaster-specific Cadre of On-call Response Employee (CORE) positions performing mission critical functions similar to those performed by employees in the Management and Administration (M&A) appropriation. Those positions will be converted to full-time-permanent positions in M&A and the DRF will no longer contain any non-disaster specific CORE positions, but will only support direct-charge disaster CORE positions.

Coupled with prior year recoveries and carry forward funds, the DRF is projected to support the five-year average obligation level for non-catastrophic disaster activity (excluding extraordinary events, such as the series of 2004 hurricanes in Florida, Hurricanes Katrina and Rita in 2005, the California Wildfires of 2007, and Hurricanes Gustav and Ike in 2008). The five-year average obligation level for non-catastrophic disaster activity is \$ 4,320,000,000. This request supports that level of activity through a combination of \$1,950,000,000 of new budget authority and \$2,370,000,000 from a combination of an estimated unobligated balance carryover from FY 2010 into FY 2011 and projected recoveries of prior year obligations in FY 2011.

The President is submitting, concurrent with the Fiscal Year 2011 request, a \$3.6 billion supplemental for the Disaster Relief Fund. These funds are needed due to continuing obligations associated with previous catastrophic storms (Hurricanes Katrina, Rita, and Wilma in 2005 and 2006, 2007 California Wildfires, and Hurricanes Gustav and Ike in 2008, among others).

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Relief Fund**

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Disaster Relief Fund	7,067	11,375,469	3,600	1,600,000	3,383	1,950,000	(217)	350,000	-	340,931	(217)	9,069
Subtotal, Enacted Appropriations and Budget Estimates	7,067	11,375,469	3,600	1,600,000	3,383	1,950,000	(217)	350,000	-	340,931	(217)	9,069
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	7,067	11,375,469	3,600	1,600,000	3,383	1,950,000	(217)	350,000	-	340,931	(217)	9,069

III. Current Services Program Description by PPA

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Relief Fund
Program Performance Justification**
(Dollars in Thousands)

PPA: Disaster Relief Fund

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	45	7,067	11,375,469
2010 Enacted	45	3,600	1,600,000
2011 Adjustments-to-Base	-	(217)	9,069
2011 Current Services	45	3,383	1,609,069
2011 Program Change	-	-	340,931
2011 Total Request	45	3,383	1,950,000
Total Change 2010 to 2011	-	(217)	350,000

Note: The DRF, per the Stafford Act, has no permanent positions. The 45 positions above are temporary full time positions associated with the Federal Coordinating Officers (FCOs). FY 2010 Enacted was \$1,600,000,000 with transfers of \$16 million (to OIG) and \$105.6 million (to M&A).

FEMA requests \$1.95 billion for this activity. This is a net increase of \$350 million from FY 2010 enacted to support the five-year average obligation level for non-catastrophic disaster activity. The decrease of 217 FTE represents the transfer of 233 non-disaster-specific CORE positions to the M&A appropriation in FY 2011 (\$23.3 million of funding for this is provided for in the M&A Appropriation). FY 2010 Enacted was \$1,600,000,000 with transfers of \$16 million (to OIG) and \$105.6 million (to M&A).

The President is submitting, concurrent with the Fiscal Year 2011 request, a \$3.6 billion supplemental for the Disaster Relief Fund. These funds are needed due to continuing obligations associated with previous catastrophic storms (Hurricanes Katrina, Rita, and Wilma in 2005 and 2006, 2007 California Wildfires, and Hurricanes Gustav and Ike in 2008, among others).

CURRENT SERVICES PROGRAM DESCRIPTION:

The *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Stafford Act), 42 U.S.C. 5121-5207 (Public Law 93-288, as amended), authorizes the President to provide

Federal assistance to supplement state and local governments' disaster response, recovery, readiness, and mitigation efforts. Under Section 504 of the Homeland Security Act, as amended, FEMA's Administrator has been delegated the responsibility for administering the Stafford Act's Federal assistance programs. The DRF provides funding for the following Stafford Act declarations or activities: (1) major disaster; (2) emergency; (3) fire management assistance; (4) pre-declaration surge; and (5) Disaster Readiness and Support.

FEMA funds Stafford Act programs and disaster support activities in two categories: Direct Disaster Programs and Disaster Readiness and Support (DRS) activities. Direct Disaster Programs are those which support FEMA's responsibility to respond to, recover from, and mitigate the specific impacts of presidentially declared major disasters and emergencies. DRS activities are generalized, non-disaster-specific initiatives (e.g., training) that provide disaster readiness and preparedness support across FEMA.

Direct Disaster Programs

Individual Assistance (IA), Public Assistance (PA), and Hazard Mitigation Grant Program (HMGP) are FEMA's primary Direct Disaster programs. These programs are managed and administered by the Recovery and Mitigation Directorates within FEMA.

These programs constitute the majority of the resources provided by the Federal Government (through FEMA) to directly address the short, medium, and long-term impacts of a disaster on individuals and communities. Disaster assistance under the authorities of the Stafford Act can be provided to states (and further provided to local or tribal governments), the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.

Individual Assistance (IA)

The DRF provides funding for the following Individual Assistance Programs:

Individual and Households Programs (IHP) – funded at 100% by the Federal government

- **Temporary housing** (rent and lodging expense): Funding to rent alternate housing or a temporary housing unit when rental properties are not available.
- **Repair**: Funding is provided for homeowners to repair damage (to their primary residence) from the disaster that is not covered by insurance. A flood insurance purchase and maintenance requirement may be placed on the home if the home is in a Special Flood Hazard Area. Repair assistance is intended to repair the home to a safe, sanitary and functional living condition.
- **Replacement**: Funds are made available to homeowners to assist with the replacement of destroyed primary residence that is not covered by insurance.

The goal is to help the homeowner with the cost of replacing their destroyed home.

- **Permanent Housing Construction:** Funds are made available for the construction of a home, or FEMA will provide direct assistance with the construction. This type of assistance only occurs in insular areas or remote locations specified by FEMA, where no other type of housing assistance is possible, or where other temporary housing options are unavailable or infeasible. Construction shall follow current minimal local building codes and standards (where they exist), or minimal acceptable construction industry standards in the area. Construction will aim toward average quality, size, and capacity, taking into consideration any unique needs (such as disability requirements) of the occupant.

Other Needs Assistance (ONA)

Other Needs Assistance is available for necessary expenses and serious needs of survivors of the declared disaster. Assistance provided by the ONA program is cost-shared between FEMA (75 percent) and the State (25 percent).

Assistance is provided to individuals contingent on their ability or inability to secure a loan from the U.S. Small Business Administration (SBA). If SBA determines that an applicant cannot afford a loan, SBA will automatically refer the applicant to the ONA program for assistance.

ONA can be provided for disaster-related serious needs in five categories:

- **Repair or Replacement of Personal Property:**
 - Clothing
 - Household Items (i.e., home furnishings, appliances)
 - Specialized Tools or Job-related Protective Clothing and Equipment
 - Educational materials (i.e. books)
 - Cleaning Supplies (i.e., wet/dry vacuum, air purifier, dehumidifier)
- **Transportation:** Repair or replacement of a vehicle that is deemed unusable due to disaster-related damage.
- **Medical and Dental Expenses:** Medical treatment or the purchase of medical equipment required due to physical injuries resulting from a disaster.
- **Funeral and Burial Expenses:** Funeral services, burial, or cremation and other funeral expenses related to a death caused by the disaster.
- **Other Items:** The State and FEMA can agree to pay for specific disaster-related costs that are not listed above. Some examples are generators, moving and storage expenses, and the cost of a National Flood Insurance Program Group Flood Insurance Certificate.

Crisis Counseling Assistance and Training Program (CCATP)

The Crisis Counseling Program supports short-term interventions with individuals and groups experiencing psychological effects resulting from large-scale disasters. These interventions involve the counseling goals of assisting disaster survivors in understanding their current situation and reactions, mitigating additional stress, assisting survivors in reviewing their options, promoting the use or developments of coping strategies, providing emotional support, and encouraging linkages with other individuals and agencies that may help survivors recover to their pre-disaster level of functioning. Supplemental funding for crisis counseling is available to State Mental Health Authorities through two grant mechanisms: (1) the Immediate Services Program; and (2) the Regular Services Program, which provide funds for up to nine months following a major disaster declaration.

Disaster Unemployment Assistance (DUA)

The Disaster Unemployment Assistance program provides individuals who have become unemployed because of a disaster and unable to secure regular unemployment benefits with unemployment benefits and re-employment services.

Legal Services

Legal services may be provided to low-income individuals unable to secure such services adequate to meet their needs as a consequence of a major disaster.

Public Assistance (PA)

The Public Assistance program offers assistance to state, local, and tribal governments after a declared major disaster or emergency for eligible disaster-related damage. In addition, certain private non-profit organizations that operate facilities and provide services to the public typically provided by a government agency may receive public assistance. PA is a cost-shared (75% Federal, 25% non-Federal) grant program. However, States may request, and the President may grant a higher Federal cost share in situations in which the disaster has had a significant economic impact on the state.

Public Assistance provides funding to grantees for the repair and restoration of damaged public and eligible private non-profit facilities, for emergency measures taken to protect lives and property, and in support of disaster-related debris removal. When Public Assistance is authorized, such assistance may be provided under one or more of the following seven categories:

- Category A – Debris Removal
- Category B – Emergency Protective Measures
- Category C – Repair of Roads and Bridges
- Category D – Water Control Facilities

- Category E – Public Buildings
- Category F – Public Utilities
- Category G – Other Facilities

Hazard Mitigation Grant Program (HMGP)

The Hazard Mitigation Grant Program provides state, local, and tribal governments with cost-shared grants (75% Federal, 25% non-Federal) to reduce the risk of potential damage, hardship, loss, and suffering in an area affected by a major disaster. Ultimately, the HMGP reduces future need for Federal disaster assistance by reducing the impact of and increasing the resistance to natural hazards.

HMGP funding is made available to states based on 15% of the total Federal funds spent in the Public and Individual Assistance programs (minus administrative expenses) for each major disaster costing up to \$2 billion; 10% for disasters between \$2 billion and \$10 billion; and 7.5% for major disasters between \$10 billion and not more than \$35.33 billion.

HMGP projects vary and may include retrofitting structures to resist flooding, winds and earthquakes; elevating structures above base flood levels; property acquisition and demolition or relocation for open space; and minor flood reduction and drainage measures.

HMGP grants are required to be cost effective. In 2005, the Multi-hazard Mitigation Council (MMC), a part of National Institute of Building Sciences, published a report that analyzed the overall impact of FEMA's Hazard Mitigation Programs. The findings show that money spent on reducing the potential damage of natural hazards is a sound investment and is cost effective. *On average, a dollar spent on hazard mitigation activities will save the Nation approximately \$4 in future payouts for damage caused by natural hazards.*

Other Direct Disaster Programs

- **Fire Management Assistance**
FEMA provides assistance for the mitigation, management, and control of any fire on public or private forest or grassland that threatens such destruction as would constitute a major disaster. Items eligible for funding under the Fire Management Assistance Grant Program (FMAGP) include equipment, labor costs, emergency work, and temporary repair work directly related to firefighting activities associated with the declared fire.
- **Compacts of Free Association**
The DRF provides funding for disaster relief and reconstruction activities in the Federated States of Micronesia and the Republic of the Marshall Islands pursuant to the Compacts of Free Association. This funding is provided through a direct transfer of DRF funds to the United States Agency for International Development.

Disaster Closeout Initiative

In FY 2010, FEMA is undertaking an aggressive disaster closeout effort within the agency that includes issuing and enforcing standard closeout policies; following consistent closeout practices across all Regions, and streamlining and simplifying the closeout process as much as possible. Each Region and Headquarters office will be increasingly proactive and aggressive in closing out older disasters.

FEMA established a Disaster Closeout Work Group to evaluate and consider all ideas and options, including those contained in a recent OIG report, to improve the disaster closeout process.

The Disaster Closeout Work Group will:

- Confer with senior program officials at Headquarters and the Regions to assess the enforcement authorities provided under 44 CFR 13.43 and ensure consistent compliance with established policies and practices across all Regions;
- Confer with senior program officials at Headquarters and the Regions to evaluate existing time standards and determine whether changes need to be made;
- Canvass the Regions for best practices (processes and tracking systems) for closeout efforts; and
- Document and publish standard doctrine for closeout activities.

The OCFO and Acquisition Management have issued policies to close out contract files and de-obligate un-liquidated obligations (ULOs), as well as aggressively pursue the reduction of un-liquidated obligation that have been deemed stale or invalid.

Direct Disaster Recent and Planned Accomplishments

In FY 2009:

- The DRF supported 62 major disaster declarations and 10 emergency declarations involving 33 states. In addition, fifty-two fire management assistance grants were awarded for eligible fires in 11 states.
- FEMA handled more than 1.4 million disaster assistance applications and provided more than \$245 million in assistance to individuals.
- Over 5,750 State and local governments received over \$1B in assistance under the Public Assistance and Fire Management Assistance Grant Programs for debris removal, emergency protective measures, and the repair or replacement of public damaged facilities.
- FEMA's National Processing Service Centers (NPSCs) initiated the purchase and implementation of Call Recording Software for their Quality Control Management System. This critical software provided call center staff with immediate and objective feedback on a regular basis, which will help to

improve customer service across the call center enterprise. The call recording software also enables the NPSCs to quickly identify incoming call trends and implement corrective actions as required.

In FY 2010:

- FEMA will continue to execute its principal mission to supplement state and local efforts to respond to, recover from, and mitigate the specific impacts of presidentially declared major disasters and emergencies.
- FEMA will develop and expand the Logistics Supply Chain Management System (formerly Total Asset Visibility, or TAV). This system integrates a suite of capabilities to provide request visibility, order visibility, order management, in-transit visibility, and eventual delivery of assets and commodities. The Logistics Supply Chain Management System is designed to provide significantly enhanced visibility, awareness, and accountability of disaster resources throughout the supply chain.
- FEMA will significantly reduce the number of used Temporary Housing Units in storage.
- FEMA will right-size the FEMA-managed distribution Storage Network and capabilities.
- FEMA will complete the standardized credentialing plan (“basically qualified”) project for all 230 disaster job titles staffed by FEMA disaster workers.
- FEMA will redefine requirements and implement an updated Interagency Agreement with the Internal Revenue Service to provide surge Registration Intake staff following a large or catastrophic event.

In FY 2011:

- FEMA will continue to execute its principal mission to supplement state and local efforts to respond to, recover from, and mitigate the specific impacts of presidentially declared major disasters and emergencies.
- Continue implementation of Disaster Closeout Initiative to accelerate close-out of legacy federal disasters.

Disaster Readiness and Support (DRS)

FEMA reassessed its ability to respond to large-scale, complex, presidentially-declared major disasters and, rather than waiting for disasters to occur and reacting with costly and inefficient response actions, saw the need for a more proactive and robust advance-readiness posture. The successor to the legacy Disaster Support activities (DSA), Disaster Readiness and Support activities (DRS) funding was established to bolster FEMA’s general steady-state effectiveness and readiness.

FEMA manages disaster readiness support costs throughout the year. These expenses are essential for: (1) timely disaster response; (2) responsive customer service; and (3) cost-effective program oversight and delivery.

The DRS funds key activities and initiatives, such as:

- Strategic pre-positioning and management of disaster commodities
- Improved inventory of specialized assets
- Standby support to enable FEMA to increase response and recovery capacity as quickly as needed.

DRS activities support FEMA's all-hazards mission. They include initiatives and resources formerly funded from the DRF's legacy DSA, as well as post-Katrina readiness contracts. Many of these costs are predictable on an annual basis and allow FEMA to support a cross-section of disasters utilizing an infrastructure of processing and distribution centers and information technology systems. In addition, the DRS includes certain costs to help FEMA pre-position for disasters, including the establishment of large commodity and transportation service contracts that can be activated in the event of a major disaster.

These efforts (including better communications, a more effective intake process, more efficient delivery systems for disaster commodities, and improved oversight of disaster aid through our technical assistance contractors) will continue to improve the quality of FEMA support to disaster survivors.

FEMA has increased transparency and budgetary discipline of the DRS through the implementation of detailed spending plans and through monthly program reviews. The monthly program review process emphasizes a more efficient program administration and budgetary accountability. As a result, FEMA is better equipped to maintain its critical disaster support activities and infrastructure; and ensure the timely delivery of disaster assistance.

FEMA anticipates that the 2011 DRS spend plan will fund activities similar to those funded in 2010 less the funding for the 233 CORE positions transitioning to the M&A appropriation.

OPERATIONS

Response Directorate (formerly Disaster Operations Directorate)

The Response Directorate coordinates and provides the core Federal disaster response capability needed to save lives, reduce suffering, and protect property in communities throughout the nation that have been overwhelmed by the impact of a major disaster or emergency, regardless of cause. Three core program activities funded by the DRS account are: Hurricane Planning Response Team; the GAP Analysis Initiative; and establishment of the Disaster Emergency Communications Division.

Formerly known as the Gulf Coast Warm Cell, the Hurricane Planning Response Team leads the charge to ensure mass evacuation guidelines, standards, and requirements are established and effective, in a hurricane scenario.

The GAP analysis initiative was implemented during the 2007 hurricane season, to provide a snapshot of asset gaps at the local, State, and national level and to determine the level of Federal support potentially needed to respond to a category 3 hurricane. The initial focus was on seven key areas in the 18 most hurricane prone states. In 2009, the analysis was expanded to strengthen the capabilities of those States to reduce their reliance on Federal support by developing creative solutions that leverage the capabilities of State and local jurisdictions and the private sector. In FY 2010 funding responsibility for GAP shifted to the M&A appropriation.

Disaster Emergency Communications Division (DECD) is taking a leading national role in the management, oversight, and development of emergency communications capabilities and doctrine. Response Directorate is developing and implementing the capability to provide voice, data, and video communications services before, during, and immediately after an incident in support of emergency managers at all levels of governments. The directorate will aggressively respond to disasters and other emergency situations and support the needs of emergency responders. The DECD is engaging across the Federal government, State and local agencies, and other partners to help establish consistent doctrine, plans, tactics, techniques, and procedures that ensure effective communications interoperability, standards, and capabilities during coordinated response operations.

The National Program oversight Regional Emergency Communications Coordination Working Group (RECCWG), as defined in the Title XVIII of the Department of Homeland Security Appropriations Act of 2007, assess emergency communications capabilities within their respective FEMA Regions; facilitate disaster preparedness through the promotion of multi-jurisdictional and multi-agency emergency communications networks; and ensure activities are coordinated with all emergency communications stakeholders within the FEMA Region.

Response Directorate Recent and Planned Accomplishments

During FY 2009:

- Hurricane Planning Response Team:
 - Expanded the concept, process and procedures established in Gulf Coast Planning Initiative to the Atlantic Coast.
 - Incorporated aspects of the Mitigation hurricane evacuation studies and risk assessment modeling into plans and programs
 - Refined organizational constructs such as the Evacuation Liaison Team, Movement Coordination Branch (aviation, bus, and rail) into the National Incident Management System (NIMS).

- GAP Analysis Program:
 - Released guidance on the implementation of GAP to all FEMA Regions and states. With the release of this guidance, the program rolled out to all states with a risk-based, all-hazards approach.
 - Developed and promulgated a new user-friendly GAP Data Collection and Analysis Tool. The tool reduces subjectivity and provides standardized data, from which the GAP Management Office can produce ad-hoc reports and support response operations.

- Disaster Emergency Communications:
 - Established all ten mandated Regional Emergency Communications Coordination Working Groups (RECCWG) that consist of Federal, State, and local representatives, and other non-government agencies to address interoperable emergency communication concerns;
 - Developed 27 State, 15 Emergency Support Function (ESF), and 4 regional emergency communications plans that allow FEMA to be better prepared to preposition and deploy communications resources during catastrophic incidents;
 - Developed 11 Pre-scripted Mission Assignments with the Federal Communications Commission (FCC), National Communications System (NCS), United States Coast Guard (USCG), Department of Defense (DoD), and United States Forest Service (USFS) to facilitate rapid response for communications requirements;
 - Developed a National Response Network Strategy for enabling interoperable emergency communications through the use of Internet Protocol (IP) based networks;
 - Participation in multiple emergency communications exercises to include the Defense Interoperability Communications Exercise (DICE), Vigilant Accord, and Eagle Horizon.

During FY 2010:

- Hurricane Planning Response Team will:
 - Update evacuation studies and risk assessments
 - Exercise organizational constructs in National Level Exercises

- Disaster Emergency Communications will:
 - Promote interoperable communications at the Federal, State, local, and Tribal levels and support resilient communications capabilities for response efforts. Resilient communications will incorporate secure voice, video, and data capabilities.
 - Develop a communications coordination framework to provide an effective resilient command and control communications framework for the Administrator and Regional Administrators that includes delivery of secure communications solutions;

- Promote communications interoperability with state and local response organizations through Regional Emergency Communications Coordinating Work Groups (RECCWGs)

During FY 2011:

- Hurricane Planning Response Team will:
 - Expand upon the All-Hazards Evacuation and Transportation work from the 2010 planning initiative
 - Implement damage Assessment Plans (Information Requirements)
 - Enhance the Target Capabilities (Citizen Evacuation) for State & local governments
 - Incorporate Population Movement into the New Madrid Seismic Zone Earthquake Planning
- Disaster Emergency Communications will:
 - Work with the National Communications System to enhance long-term communications restoration;
 - Implement the National Response Network/RoIP Strategy for enabling interoperable emergency communications through the use of Internet Protocol (IP) based networks.

Logistics Directorate (formerly Logistics Management Directorate)

The mission of the Logistics Directorate (LD) is to effectively plan, manage and sustain national logistics response and recovery operations, in support of domestic emergencies and special events – to serve as the National Logistics Coordinator (NLC).

Major Programs

- The temporary housing unit (THU) program will continue closing sites as the excess inventory disposal process progresses, to allow focus on core business of THU readiness.
- Distribution Centers (DCs) will develop a plan for implementing and integrating the appropriate mix of internal and external support capabilities. The Atlanta and Caribbean DCs will be relocated, and the Atlanta DC will serve as a prototype for all future Distribution Centers.
- LD's Transformation and Initiatives and Property Management Program will continue the development and expansion of the Logistics Supply Chain Management System/Total Asset Visibility (LSCMS/TAV) System. LSCMS/TAV integrates a suite of systems to provide oversight and management of: requisitions; orders; goods in transit; and delivery of assets and commodities. The long-term vision for the LSCMS/TAV program is to engage external emergency management stakeholders –

from State, Local and Tribal governments and other Federal agencies and vendors – in the entire FEMA supply chain. The Logistics Capability Assessment tool and associated Resource Requirements Calculator will be implemented across a comprehensive cross section of states and regions to assess state logistics readiness and response capabilities.

Logistics Operations, Temporary Housing Unit (THU) Program – The THU Storage Sites Program supports the Recovery Directorate’s Direct Housing Program. The program represents a life-cycle and performance-based business model, and supports THU sites with contracts for various support services. The DRS supports the base costs, including land leases, for FEMA’s THU readiness and storage sites and satellite locations. Readiness sites are used to store and maintain temporary housing in ready for dispatch condition that can be deployed and utilized to house citizens in need after a disaster. Storage sites currently contain temporary housing unit sites that are excess to FEMA’s needs. The THU program will continue closing sites as the excess inventory disposal process progresses, to allow focus on core business of THU readiness.

Distribution Centers (DCs) – Essential improvements are underway for a Distribution Center Strategic Plan, in response to PKEMRA’s mandate to establish a professional logistics capability. LD is working toward a comprehensive and performance-based business model which fully utilizes the capabilities and assets of our business partners and commercial industry. The result will be an organic capability that is determined based on a National Inventory Plan, as well as a “virtual capability” from all partners.

During a disaster operation, the DCs support FEMA disaster responders with critical equipment and supplies, including emergency meals, bottled water, generators, cots, blankets, tarps, blue roof sheeting and other disaster commodities. These life-saving and life-sustaining resources provided to citizens in times of disaster can be distributed through state and county distribution points in time of need. A portion of these supplies have been pre-positioned in the hurricane-prone states in Regions I, II, IV and VI. Through mutual agreement the DCs also store pre-positioned medical caches in support of HHS’s National Disaster Medical Systems. FEMA and HHS work collaboratively to issue the caches when requested.

The DRS supports base costs, including rent, for FEMA’s eight DCs (located in Atlanta, GA; Berryville, VA; Fort Worth, TX; Frederick, MD; San Jose, CA (Moffett Field); Hawaii; Guam; and Puerto Rico). Additionally, FEMA stocks commodities in the dual purpose Temporary Housing and Distribution Center located in Cumberland, MD.

The OCONUS (Outside Continental United States) DCs have an expanded mission. FEMA Distribution Center Hawaii provides FEMA owned Humanitarian Daily Rations (HDRs) to the Department of State and United States Pacific Command in support of foreign disaster assistance, provided the action will not adversely affect FEMA’s ability to meet domestic disaster relief responsibilities. FEMA DC Guam stores Department of Defense owned HDRs at no cost to the Department of Defense in exchange for the authority to withdraw Department of Defense-owned HDRs for FEMA purposes.

Property Management – The DRS supports the management oversight, internal control and technical reviews in the areas of property accountability, reutilization and disposal of the agency's personal property assets, such as disaster supplies and equipment. DRS Property Management manages the Logistics Supply Chain Management System (LSCMS), which is the supply chain execution and visibility solution for the FEMA Logistics Directorate. The solution encompasses five main areas of supply chain functionality: request, order, fulfillment, shipping and receiving. The solution provides operational readiness inventory information for the Directorate through near real time system usage by staff and also reporting functionality and the ability to provide In Transit Visibility of shipments and assets as they move through the supply chain. The LSCMS system, combined with GPS and mapping technology, provides visibility into FEMA's supply chain. Currently, the LSCMS system is able to track the movement of more than 200 assets and commodities with primary focus on the "Big 8" commodities such as water, ice, emergency meals (MREs), plastic sheeting, tarps, cots, blankets and generators.

LD Recent and Planned Accomplishments

FY 2009:

- Instituted THU readiness tracking metrics for asset readiness and THU disposal.
- Accomplished initial build-out of six Incident Support Base Kits; FEMA teams now equipped to execute ISB mission.
- Completed development of virtual Point of Distribution (POD) course for POD operations; 5000 state responders and volunteer organizations have completed training
- Implemented standardized concepts of operation for managing and executing the THU, Base Camp and Incident Support Base (ISB) missions.
- Completed Phase 1A of LSCMS, culminating in award of in major contract which will build on existing applications using the Manhattan Supply Chain Management Suite of COTS products.

FY 2010:

- Complete relocation of Atlanta Distribution Center and Caribbean Distribution Center with integration of future personnel structure, processes, and technology; the Atlanta DC will serve as a prototype facility for all future Distribution Centers.
- Dispose of the majority of excess temporary housing units (THUs) and close up to eight THU sites.
- Upgrade Incident Support Base (ISB) response kits, including SATCOM capability.
- Implement the Logistics Capability Assessment tool and associated Resource Requirements Calculator across a comprehensive cross section of states and regions to assess state logistics capabilities.
- Complete Phase 1B of Logistics Supply Chain Management System (LSCMS; formerly TAV) which entails expanding the Training Manager Maintenance Module

and GPS Messaging to remaining regions as well as implementing the Performance Reporting Module.

FY 2011:

- Complete upgrade of the Distribution Centers with integration of future personnel structure, processes and technology.
- Secure leases for relocation of Hawaii Distribution Center.
- Achieve full operational capability of new Western THU readiness site.

Recovery Directorate (formerly Disaster Assistance Directorate)

The Recovery Directorate works to ensure that individuals and communities affected by disasters of all sizes, including catastrophic and terrorist events, are able to return to normal with minimal suffering and disruption of services. Program activities focus on improving efficiency and expediting delivery of disaster assistance to eligible individuals, to state, local, and tribal governments, and to eligible private nonprofit organizations. This is accomplished through a commitment to streamline procedures to improve program policy, to minimize error, and to modernize service delivery technology.

Annual costs for the following contracts, staff, and activities will be funded through the DRS (actual deployment costs in response to a disaster declaration will continue to be funded from the specific disasters):

- Staffing
DRS funding is utilized for the salaries and benefits for approximately 67 temporary employees nationwide that support a wide variety of Disaster Assistance related programs, including, but not limited to: The Individual and Public Assistance Programs; Technical Assistance Contract implementation, long-term community recovery; and disaster information management.
- Contract Support
 - Individual Assistance Technical Assistance (IA-TAC)
 - Public Assistance Technical Assistance (PA-TAC)
 - Housing Inspection Services (HIS)
 - Mail Operations
 - Enterprise Application Development Integration and Sustainment (EADIS)
 - Corporate Lodging Consultants (CLC)
 - Surge Staffing for Registration Intake
- National Processing Service Centers (NPSCs)
The DRS supports base costs, including rent and security, for FEMA's three NPSCs located in Maryland, Texas, and Virginia. The NPSC facilities provide FEMA call center and benefits processing capabilities to register and process disaster survivors' applications.

DRS funding for the NPSCs also supports the following:

- Developers to make continuous updates to IA program changes in the NEMIS system to ensure that processing complements the most up to date policies.
 - What is expected to be a one- time cost for equipment that supports an Interagency Agreement with the Internal Revenue Service (IRS) to provide surge staffing for Registration Intake as needed. Specifically, meeting FEMA technical requirements for IRS facilities that perform this function. When the IAA is utilized pursuant to a disaster declaration, funding will be charged to the declaration's costs under the DRF.
- Other Interagency Agreements
 - Crisis Counseling Assistance and Training Program (CCATP). The Center for Mental Health Services (CMHS) under the U.S. Department of Health and Human Services provides critical technical support in the management of FEMA's Crisis Counseling Assistance and Training Program (CCP). FEMA annually funds three PFT positions, contract support, travel, equipment supplies and administrative costs through an IAA. When the program is actually "turned on" pursuant to a disaster declaration, funding will be charged to the declaration's costs under the DRF.
 - Disaster Unemployment Assistance (DUA). The Employment and Training Administration, within the Department of Labor (DOL), administers the Disaster Unemployment Assistance (DUA) Program on FEMA's behalf. As such, FEMA annually funds DOL through an IAA to perform this function. When the program is actually "turned on" pursuant to a disaster declaration, funding will be charged to the declaration's costs under the DRF.
 - Maintain a Web-based Public Assistance Program
 - DRS funding is used to maintain a web-based capability for the Public Assistance Program (PA) that allows FEMA staff, PA applicants, and States to perform all PA grant management activities online in addition to supporting the use of state-of-the art technology such as wireless handheld devices. This includes maintaining the use of handheld devices for Public Assistance staff and contractors to perform inspections on damaged facilities. The information then is automatically uploaded into the web-based system, eliminating a paper based process, improve efficiency, and attain cost savings.

Recovery Directorate Recent and Planned Accomplishments

In FY 2009:

- Awarded Individual Assistance Technical Assistance Contracts in support of Individual Assistance Programs.
- Implemented EMMIE Version 1.01 which effectively addresses the lifecycle of a Public Assistance grant(s) including: disbursement of payments; requests for final inspection; and claims processing.

- Deployed DARAC Version 1.91, a NEMIS web based application, that enhanced the capability to manage Direct Housing Missions; providing visibility from the time an applicant is referred to the program through the Pre Placement Interview and eligibility process, Site Inspections to determine feasibility, Work Order Set Up, Staging, Unit Assignment, Recertification, Maintenance and Unit Deactivation.

In FY 2010:

- Award new Housing Inspection Services contract that will improve overall efficiency of the housing inspection process.
- Implement multi-language letter capability to improve communication between FEMA and survivors. Once implemented, non-English speaking disaster survivors will receive correspondence regarding assistance in their respective languages.
- Pilot the utilization of a surge staffing contract to perform Registration Intake at the National Processing Service Centers for multiple and/or catastrophic events

In FY 2011:

- Build capability for E-mail Correspondence with Disaster Survivors to allow for more effective exchange of information with disaster survivors and reduce related supplies and mail distribution costs.
- Implement EMMIE Version 2.0 for the PA Program. EMMIE Version 2.0 will include the development of software for handheld units that will allow PA Program staff to expeditiously capture information on Preliminary Damage Assessments (PDA's) and debris removal operations that can be directly input into EMMIE for processing.

Federal Coordinating Officer Operations

The Federal Coordinating Officer (FCO) program consists of 45 officers that provide critical leadership at FEMA field offices during presidentially – declared disasters and in support of State level planning and preparedness efforts. Primary DRS program costs are travel requirements to maintain credentialing and qualifications, and communication equipment to effectively administer disaster relief from the field. During deployment to disasters, the FCOs are funded by the specific disaster declarations.

FCO Recent and Planned Accomplishments

In FY 2009:

- Completed a Strategic Plan for FY 2009-FY 2014 emphasizing improving the management of field operations and standardization of the delivery of disaster assistance through the disaster-specific Joint Field Office.

- Served as team leaders for the new national and regional Incident Management Assistance Teams.

In FY 2010:

- Bring the cadre up to the strength authorized and ensure the necessary training to have the appropriate numbers of credentialed FCOs match the severity level of disasters to which FEMA responds.

In FY 2011:

- Enhance training for specialized Response FCOs and qualified Chemical, Biological, Radiological, Nuclear, and high yield Explosive (CBRNE) FCOs.

NATIONAL PREPAREDNESS AND PROTECTION

National Preparedness Directorate (EMI)

The Emergency Management Institute (EMI) within the National Preparedness Directorate is responsible for training FEMA's Disaster Workforce (including PFT s, COREs, and DAEs) to perform the tasks as defined in their credentialing plans at the basic, intermediate, and advanced levels. The foundations for the disaster workforce credentialing plans are individual position task books developed by EMI. These position task books reflect the work to be accomplished for each FEMA disaster position (over 300). These tasks are performed at the Joint Field Office, National Response Coordination Center, Regional Response Coordination Center, and in the field (staging areas, command centers, emergency operation centers, etc.). The position task books include an evaluation component to assess performance against tasks performed. EMI works in partnership with FEMA's Disaster Reserve Workforce Division to ensure that training, credentialing plans, and position task books are in sync to guarantee the readiness of FEMA's disaster workforce. When EMI provides training for DAEs in fulfillment of a portion of DRW's DAE Credentialing efforts; when this occurs the costs incurred by/at EWMI include DAE S&B and travel expenses.

NPD/EMI Recent and Planned Accomplishments

In FY 2009:

- Added 22 new courses to its curriculum for the FEMA disaster workforce.
- Delivered over 200 courses in resident, field, and online with over 50,000 completions.
- Updated 250 Position Tasks Books for FEMA Joint Field Office positions.

In FY 2010:

- Add 30 new courses to the curriculum for FEMA's disaster workforce.
- Assist the Disaster Reserve Workforce in the development of credentialing plans.
- Complete an analysis and revise the Managerial Disaster Workforce training requirements and curriculum.

In FY 2011:

- Add 30 new to the curriculum for FEMA's disaster workforce.
- Assist the Disaster Reserve Workforce in the development of credentialing plans.
- Will increase participation in integrated exercises to assess the capability of FEMA's disaster workforce.

MISSION SUPPORT**Office Chief Information Officer (CIO)**

The Office of the CIO provides technical oversight and administrative support to FEMA's mission by maintaining and enhancing the technological infrastructure. The DRS specifically funds several operation and maintenance services key to disaster readiness. The major Information Technology (IT) activities funded by the DRS in FY 2009 included:

- Disaster Assistance Improvement Program (DAIP)
- Network Services
- Document Management and Records Tracking System (DMARTS)
- Disaster Communications
- Disaster Assistance Technical Services (DATS)
- National Processing Service Center (NPSC) and Distribution Center (DC) Support
- Disaster Financial support Capability (DFSC)

Disaster Assistance Improvement Program (DAIP)

Post - Hurricane Katrina, more than 800,000 individuals required immediate disaster assistance (shelter, food, clothing, etc.). Federal agencies across the board received millions of requests for assistance – FEMA alone received 2.7 million applications. The influx of applicants ultimately overwhelmed the system, and the President signed Executive Order 13411 requiring FEMA to overhaul its assistance process and unify applications across the federal interagency. DRS funds provide support to the DAIP which has created initial operating capacity for a single access point for more than 40 federally funded forms of assistance (FOAs) and streamlines applicants' information into a unified system.

Network Services

Network Services are required throughout the life of a disaster or emergency, specifically, computer hardware and software used by FEMA and other Federal partners supporting an event. The network services program manages, directs, and supports the daily operations and maintenance of the FEMA disaster network mission. It provides a safe and secure network via the Security Operations Center. It also provides tier-2 restoration support for FEMA's nationwide voice and data network in the event of failure and the 24/7 help desk support. Additionally, network services include communication services that allow two or more computers or other devices to exchange data.

Document Management and Records Tracking System (DMARTS)

DMARTS is an enterprise solution for conforming disaster document and records management to DHS Documents Management standards. Its purpose is to provide an enterprise level application that will provide data capture, document management, correspondence tracking, and records management functionality. This system supports FEMA users in locating, accessing, storing, retrieving, managing, and archiving documents, along with creating consistent streamlined supportable processes for the user community.

Disaster Communications

The Office of the CIO supports telecommunications services for disaster missions. Specifically, satellite airtime for the Mobile Emergency Response System (MERS) and Mobile Disaster Recovery Centers and the communication needs for the FEMA National Processing Service Centers (NPSCs) (local & long distance telephone services, circuits, 800-services, 800-translator service, switch maintenance, router maintenance, and satellite services which support the infrastructure needed to provide voice and data connectivity to the NPSC call center agents).

Disaster Assistance Technical Services (DATS)

DATS is the framework that supports a range of services provided to the disaster workforce, disaster survivors, and the public. One of the major services provided is the Disaster Assistance Support Center (DASC) which is the primary reception center for new information system requests for FEMA's Recovery Directorate.

Office of the CIO Support to the NPSCs & Disaster Response

CIO contractor support and equipment are provided so that the NPSCs can provide efficient call center service and timely expedition of disaster survivors' applications. The CIO also provides: (1) IT contractors to be deployed to the Joint Field Offices (JFOs) as part of the IT Disaster Response Team, (2) hardware and software maintenance for fax servers, (3) maintenance and repair of vehicles deployed to the JFOs; (4) maintenance of the asset management tool, (5) network management and troubleshooting, (6) software maintenance and development of the Gold image to reimage disaster laptops, (7) and UPS Maintenance.

Disaster Financial Support Capability (DFSC)

FEMA's National Emergency Management Information System (NEMIS) provides a comprehensive capability to support the financial elements of the disaster management

process in the form of the Emergency Support (ES) Module. The ES Module provides the front end processing of disaster financial management documents and processes financial transactions and services through FEMA's Integrated Financial Management Information System (IFMIS). The ES Module pre-processes financial transactions from other modules and exports them into IFMIS. The ES Module payment system allows users to process disaster-housing payments and perform recoupment and other administrative tasks associated with disaster payments.

CIO / IT Recent and Planned Accomplishments

During FY 2009, the Office of the CIO:

- Strengthened the security of the IT environment by achieving and maintaining a Federal Information Security Management Act score of 90% for each reporting period, one of only three DHS components to achieve this goal with a final score of 92%.
- Completed the integration of six Federal, State and other organizational entities into the Disaster Assistance Improvement Program.
- Recruited 34 State Library Associations to assist disaster survivors in applying for assistance and recovery
- Provided reliable, integrated, and secure communication and information systems by maintaining 99.9% critical system uptime.
- Provided rapidly deployable voice/data communications capability via Mobile Disaster Recovery Centers and Mobile Registration Intake Centers.

During FY 2010, the Office of the CIO will:

- Implement new mission and business systems and enhance existing systems (e.g. Human Capital system; IFMIS enhancements)
- Continue the integration of Federal, State and other organizations with centrally administered federally funded forms of assistance (FOAs) into the FEMA-managed Disaster Assistance Improvement Program.
- Transition the Disaster Assistance Center, service oriented architecture, and surge capabilities to DHS Data Centers
- Continue the aggressive consolidation of FEMA data centers to DHS data centers.

During FY 2011, the Office of the CIO will:

- Deploy new mission and business systems completed in FY10 to address identified weaknesses and deficiencies and improve FEMA's underlying IT foundation.
- Conduct outreach efforts to identify additional Disaster Assistance Improvement Program integration opportunities with federally funded, state and locally administered FOAs
- Continue the transition to DHS data center as determined by the overall DHS plan/timetable

Office of Chief Financial Officer (OCFO) / Centrally Managed (CM) Accounts Recovery Directorate

The OCFO leads FEMA in financial management and accountability to ensure the effective use of resources and service to stakeholders in the accomplishment of FEMA's mission.

The OCFO oversees planning and response activities of the financial management members of FEMA's emergency teams and management of the national Disaster Comptroller cadre.

2-Year CORE Salaries and Benefits

FEMA maintains a class of employees referred to as Non-Disaster Specific Cadre of Response Employees (NDS COREs) to perform essential duties that cannot reasonably be attributed on a disaster specific basis. These NDS COREs were hired as Temporary Full-Time (TFT) employees with appointments not-to-exceed 2-years. Based on the distribution of work among all of the programs/offices, for FY 2010, 289 2-Year NDS CORE positions are proposed for funding from the DRS. Of these positions, 233 will transfer to the M&A appropriation (as PFTs) and no NDS CORE positions will be funded from the DRS as of FY 2011.

FEMA will continue to utilize the DRS to maintain critical, ongoing administrative and management (corporate) accounts. These costs include the following: rent/leases for specified FEMA spaces occupied by disaster employees; disaster-related postage and shipping charges; disaster financial operations support; unemployment insurance and workmen's compensation for DAE's; and CORE transit subsidy. This account will have oversight within the OCFO.

OCFO Recent and Planned Accomplishments

FY 2009

- Initial recognition and funding of Non-Disaster Specific (NDS) 2-year CORES

FY 2010

- Expanded recognition and funding of NDS 2-year COREs
- Inclusion of CORE transit subsidy

FY2011

- Elimination of NDS 2-year COREs and transfer of positions and requisite funding to the M&A appropriation.

Office of the Chief Security Officer (CSO)

The Office of the Chief Security Officer is responsible for following: Physical Security, Personnel Security, Disaster Security Operations, Technical Security Countermeasures Program, Administration Security Services, Information Security, Operations Security, Special Security Programs and Security Training. These security services support all FEMA personnel, external customers, fixed facilities, and disaster operations nationwide.

DRS funding for this activity includes background investigation and fingerprint processing for all disaster employees and contractor staff assigned to a JFO or disaster facility. Funding also supports contractual services for Federal Protective Service (FPS) at FEMA fixed disaster facilities. Guard services provided at FEMA disaster locations are funded from the disaster declaration.

Office of the CSO Recent and Planned Accomplishments

During FY 2009, the Office of the CSO:

- Conducted background investigations and processed fingerprints for all Stafford Act employees

During FY 2010, the Office of the CSO will:

- Initiate establishment of a 25 member strike team of professional officers, (DAE) employees to deploy initially to any and all declared disaster situations requiring security support.
- Identification and implementation of security guard reductions at FEMA disaster and disaster support locations as a means of realizing cost savings.
- Initiate the deployment plans for Contingency Credentialing Readiness to support Disaster locations by deploying to pilot regional sites and pilot disaster deployment.

During FY 2011, the Office of the CSO will:

- Establish Regional Security Officers for all 10 FEMA Regions. The position ensures that regional assets, resources, personnel, information, and equipment are properly protected and secured commensurate with specific requirements associated with a particular region. Regional Security Officers will also ensure sufficient support to disaster operations within Regional areas.

Office of the Chief Human Capital Officer (CHCO)

The Office of the CHCO is responsible for workforce planning, employment and recruitment, pay and performance, training, organizational development, employee and labor relations, awards, leave, workplace programs, employee grievances and appeals.

The Disaster Reserve Workforce Division (a component of the Office of the CHCO) was established in 2008 and supports FEMA's Reserve Workforce through a centralized framework that strengthens force readiness, coordinates the direction and management of Disaster Assistance Employees' (DAE) resources, and guides the professional development of DAE members. DRW initiatives are coordinated with the Human Capital Division, Emergency Management Institute, each FEMA component and its Cadre Managers, and other key stakeholders who provide critical DAE program support.

Historically, FEMA has relied on Disaster Assistance Employee (DAE) Reservists to staff the majority of positions in the Joint Field Offices (JFO). The current workforce structure has not kept pace with the changing demands and organizational transitions within FEMA and DHS. Professionalizing the Disaster Workforce seeks to identify and resolve persistent problems in three major areas: workforce structure; automated workforce management systems; and training and credentialing of the disaster workforce. The DRS provides funding for a program management office to emphasize Disaster Reserve readiness and tailor best-practices from successful workforce models.

DRW will assist in the credentialing and deployment of responders from FEMA's full-time workforce and the Surge Capacity Force and;

- Develop policy, allocate Agency resources, and maintain systems that adapt the DRW to the evolving needs of FEMA and Disaster Reservists.
- Coordinate force planning, training, credentialing and deployment of the DRW, full-time FEMA employees, and the Surge Capacity Force.
- Prescribe and enforce nationwide standards of Reserve readiness.
- Oversee DRW Advisory Group to achieve unity of effort in DRW management.
- Implement, manage, and improve standardized processes for tracking Reserve availability, deployment, and demobilization.

**Office of the CHCO Recent and Planned Accomplishments
During FY 2009, the Office of the CHCO:**

- Introduced the "BEST Workforce" initiative to FEMA to change the culture of FEMA, with a 5 year goal of achieving greater employment engagement, higher quality control and better performance management
- Implemented FEMA's first annual employee engagement survey
- Trained 200 plus managers in the Great Manager's program
- Began training FEMA Strengths coaches to serve as subject matter experts (SMEs) and mentors to employees with the goal of using their strengths to be more productive
- Initiated development of a next generation deployment system to improve the disaster responder deployment and tracking systems.
- Collaborated with a cross-programmatic governance team, the Emergency Management Institute (EMI), and cadre managers to complete NIMS-compliant Cadre-Specific Credentialing Plans for the first 8 cadres of the Agency's 23 specialized cadres, with an additional 7 Cadre-Specific Credentialing Plans in the final stages of development.

- Initiated migration of the Disaster Reserve Workforce (first two cadres) to the new credentialing framework.
- Began working with planners and cadre managers at the Headquarters and Regional levels to determine the number and composition of skilled Disaster Reservists required for response and recovery.
- Reviewed, updated, and issued Disaster Reserve Workforce administrative and compensation policies including policies and pay system coding changes for holiday compensation, sick leave, and administrative absence for deployed Disaster Reservists.

During FY 2010, the Office of the CHCO will:

- Conduct and implement FEMA's second annual employee engagement survey, with a goal of increasing FEMA's Employee Engagement Grand Mean by 0.10 (from 3.54 to 3.64 on a scale of 1-5) from FY09 to FY10.
- Using new employee survey results, aggressively facilitate action planning and goal setting for work groups to identify sources of engagement and sources of disengagement and make improvements.
- Continue to train managers across the agency through the well-received Great Manager Program.
- Complete training of FEMA Strengths coaches to serve as SMEs and mentors to employees.
- Implement Strengths Finder assessment within the 10 FEMA Regions and encourage discussion between managers and employees about employee workplace strengths.
- Continue development of a next generation deployment system to improve the disaster responder deployment and tracking systems.
 - Complete the cadre-specific credentialing plans for all remaining cadres, and continue migration of the Disaster Reserve Workforce to the new credentialing framework.
 - Continue working with planners and cadre managers to determine the distribution and number of skilled Disaster Reservists required for response and recovery operations.
 - Develop, promulgate, and clarify a wide range of policies for Disaster Reservists to include basic conditions of employment, limited on-line training, and implementation of legislative changes for the Disaster Reserve Workforce, should they be.
 - Develop recruitment strategies, marketing plans and compensation activities which target specific skill sets needed to fully staff the Disaster Reserve Workforce. Complete the build out of staff and funding resources to reach full operating capability within the Disaster Reserve Workforce Division.

During FY 2011, the Office of the CHCO will:

- Improve FEMA's employee engagement Grand Mean by another 0.10 (e.g. from 3.65 to 3.75).
- Continue to train the remainder of the 800 managers in FEMA through the Great Manager Program.
- Conduct the third annual BEST Employee Engagement Survey to measure progress in employee engagement.
- Continue using new employee survey results to aggressively facilitate action planning and goal setting for work groups to identify new or continuing sources of engagement and sources of disengagement and make further improvements.
- Begin rollout of Strengths Finder assessment to non-regional PFTs and COREs throughout FEMA.
- Conduct Business Impact Analyses linking employee engagement scores to other metrics to measure return on investment of BEST and to learn how to use employee engagement scores to predict other FEMA outcomes.
- Introduce the next generation FEMA deployment and reporting system.
- Complete the migration of the Disaster Reserve Workforce to the new Credentialing Program framework.
- Begin the migration of full-time FEMA employees to the new credentialing framework.

Office of the Chief Procurement Officer (CPO)

The Office of The CPO is responsible for \$2,000,000,000 plus DRF funds to support a full range of acquisition services and business solutions such as finalizing and closing out contracts, maintaining the contract writing system, and enhancing the contract file management system's capability.

Office of the CPO Recent and Planned Accomplishments

During FY 2009, the Office of the CPO:

- Awarded more than 97% of its Hurricane readiness and support contracts before hurricane season
- Initiated project to automate the requisitioning (40-1) process, moving from the current paper/hard copy and labor intensive system. This new process will: provide improved management/oversight of acquisitions; decrease cost of printing forms; decrease potentials for errors; and allow stakeholders to better track their requisitions.

During FY 2010, the Office of the CPO will:

- Improve execution of approximately 11,000 disaster contracts in the critical area of implementation of new statutory requirements and contract oversight.

During FY 2011, the Office of the CPO will:

- Improve acquisition business processes by leveraging e-business technologies such as Pro-Trac, FedBid, and other systems.

The Office of the Chief Administrative Officer (CAO)

The Office of the CAO is responsible for RFEMA facilities and services support, records management, and Occupational Safety and Health and Environmental (OSHE). Regarding facilities and services, the Office of the CAO provides and maintains, in an efficient and cost effective manner, safe, comfortable and attractive facilities and surroundings. The CAO is responsible for the operation and maintenance of approximately 3.7M square feet of space leased and government owned space. Generally, GSA is responsible for acquiring space to meet FEMA's requirements and leasehold improvements; however, the CAO has full responsibility for the planning, management, and support services activities of leased and owned facilities, and permitted uses of land and structures. The Office of the CAO encompasses the following activities: Support Services; Operations and Maintenance; Repairs and Alterations; Energy Management; Regional Facility Acquisition and Capital Planning Support; Space Management; Real Property Asset Management; Personal Property; Fleet Management; Publishing, Reproduction and Graphics; Transit Subsidy Management; and Mail Management and Operations.

After establishing a new Space Management/Regional Operations Branch at the beginning of FY2009, the Office of the CAO provides full support to Regional Offices, Logistics, MERS, the three national processing centers (NPSC), the Center for Domestic Preparedness, and the National Emergency Training Center for the identification of facility requirements, acquisition and leasing of facilities, identification of repair needs and associated budget requests through facility condition surveys, and the annual funding of repairs. The branch also develops space requirements, plans and implements space optimization projects, and acquires furniture. The branch also develops policy and directives to standardize and control internal operations for all of these functions.

The OSHE Division is responsible for the following:

- Providing vaccinations, stress counseling, health units, respirator medical clearance and support, CPR training, and Automated External Defibrillator (AED) support to Disaster Assistance Employees (DAEs).
- Providing sanitarian services and third party technical reviews.
- Assuring maintenance of analytical equipment including annual calibration of indoor air quality monitors, moisture meters, sound level meters, and VOC monitors.
- Performing annual disaster-specific professional qualification and certification training for Disaster Safety Officers including hazard communication, indoor air quality, HASP implementation, JSA, etc.
- Providing disaster go-kits to the National Disaster Safety Officer Cadre.

- Conducting mandatory disaster site audits to assess overall disaster program effectiveness.

The Records Management Division captures, categorizes, maintains, and (in response to Freedom of Information Act (FOIA) requests) releases Agency and disaster-related records.

**The Office of the CAO Recent and Planned Accomplishments
During FY 2009, the Office of the CAO:**

- Developed a disaster leasing directive which provided guidance for disaster personnel.
- Provided guidance on disposals of personal property during disaster operations.
- Provided guidance on internal controls over personal property during disaster operations.

During FY 2010, the Office of the CAO will:

- Provide printing services for >\$1 million for disaster operations.
- Provide deployable mail kits to ensure FEMA personnel are able to perform their mission to contact disaster survivors.
- Provide mail management training to disaster personnel.
- Provide fleet cards to disaster personnel.

During FY 2011, the Office of the CAO will:

- Continue to provide printing services for >\$1 million for disaster operations.
- Provide that deployable mail kits were ready and complete for immediate deployment.
- Continue to provide mail management training to disaster personnel.
- Continue to providing fleet cards to disaster personnel
- Continue to provide guidance on disposals of personal property during disaster operations.
- Continue to provide guidance on internal controls over personal property during disaster operations.

Other DRS Activities

External Affairs

The DRS funds Media Monitoring & Contact Management activity. This covers the disaster related portion of the annual media monitoring and analysis service and the media contact management and distribution service. It also provides funding for the Individual Assistance Communications contract and communications go kits for use in field operations.

Mitigation

The DRS supports: 1) reprinting of publications depleted by disaster activities; 2) replenishment of publications that were used by routine disasters.

Equal Rights

Non-disaster specific investigations and EEO activities are funded through the DRS.

IV. Program Justification Changes

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Relief Fund
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: DRF Operations Increase
PPA: Disaster Relief Fund
Program Increase: Positions 0.0, FTE 0.0, Dollars \$340931.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							45	3,383	1,609,069
Program Increase							-	-	340,931
Total Request	45	7,067	11,375,469	45	3,600	1,600,000	45	3,383	1,950,000

Description

This request seeks to increase the Disaster Relief Fund by \$350 million in FY 2011 over FY 2010 enacted.

Justification

The increase of \$350 million above FY 2010 enacted will allow this appropriation to support a total level of DRF funding of \$1,950,000,000. Coupled with prior year recoveries and carry forward funds, this will enable the DRF to support the five-year average obligation level for non-catastrophic disaster activity (excluding extraordinary events, such as the series of 2004 hurricanes in Florida, Hurricanes Katrina and Rita in 2005, the California Wildfires of 2007, and Hurricanes Gustav and Ike in 2008). This request supports that level of activity through \$1,950,000,000 of new budget authority and \$2,370,000,000 from a combination of projected recoveries of prior year obligations in FY 2011 and estimated carryover from FY 2010.

Impact on Performance (Relationship of Increase to Strategic Goals)

Without these funds, the FEMA would not be able to support the 5-year average obligation level for non-catastrophic disaster activity.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Department of Homeland Security Federal Emergency Management Agency Justification of Proposed Changes in Disaster Relief Fund Appropriation Language

For necessary expenses in carrying out the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.), [\$1,600,000,000]~~\$1,950,000,000~~, to remain available until expended: [*Provided*, That up to \$105,600,000 may be transferred to the Federal Emergency Management Agency “Management and Administration appropriation for management and administration functions”. *Provided*, That the Federal Emergency Management Agency shall submit an expenditure plan to the Committees on Appropriations of the Senate and the House of Representatives detailing the use of the funds for disaster readiness and support within 60 days after the date of enactment of this Act: *Provided further*, That the Federal Emergency Management Agency shall provide a quarterly report detailing obligations against the expenditure plan and a justification for any changes in spending: *Provided further*, That the Federal Emergency Management Agency shall submit the monthly “Disaster Relief” report, as specified in Public Law 110-161, to the Committees on Appropriations of the Senate and the House of Representatives, and include the amounts provided to each Federal agency for mission assignments]: *Provided further*,] *Provided*, That funds provided under this heading shall not be available for transfer pursuant to section 503 of this Act or pursuant to any other transfer authority available to the Secretary of Homeland Security provided in this or any other Act: *Provided further*, That for any request for reimbursement from a Federal agency to the Department of Homeland Security to cover expenditures under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.), or any mission assignment orders issued by the Department for such purposes, the Secretary of Homeland Security shall take appropriate steps to ensure that each agency is periodically reminded of Department policies on-

- (1) the detailed information required in supporting documentation for reimbursements; and
- (2) the necessity for timeliness of agency billings. (Department of Homeland Security Appropriations Act, 2010.)

Explanation of Changes:

The transfer authority from the DRF to M&A is no longer necessary since the M&A appropriation has sufficient resources in 2011 to support its base FTE level. In addition, the Administration seeks to protect the DRF and prevent redirection of these funds for non-disaster purposes by proposing to employ a budget enforcement mechanism that allows for an adjustment by the Budget Committees to the section 302(a) allocation to the

Appropriations Committees found in the concurrent resolution on the budget. To ensure full funding of the DRF request, this adjustment would be permissible only if the bill provided for full funding for the DRF and the language included a provision preventing transfers. That additional language is included here. See additional discussion in the Budget Reform Proposals in the Analytical Perspectives volume.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Relief Fund
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	45	7,067	11,375,469
FY 2010 Enacted	45	3,600	1,600,000
Adjustments-to-Base	-	-	-
Increases	-	-	-
2011 Pay Increase	-	-	6,802
Annualization of 2010 Pay Raise	-	-	2,267
Total Increases	-	-	9,069
Decreases	-	-	-
Decrease in Disaster Workforce (Transfer to M&A)	-	(217)	-
Total Decreases	-	(217)	-
Total, Adjustments-to-Base	-	(217)	9,069
FY 2011 Current Services	45	3,383	1,609,069
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
DRF Operations Increase	-	-	340,931
Total, Program Changes	-	-	340,931
FY 2011 Request	45	3,383	1,950,000
FY 2010 to FY 2011 Total Change	-	(217)	350,000

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Relief Fund
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	45	7,067	11,375,469
FY 2010 Enacted	45	3,600	1,600,000
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	9,069
Decreases	-	(217)	-
Total, Adjustments-to-Base	-	(217)	9,069
FY 2011 Current Services	45	3,383	1,609,069
Program Changes	-	-	-
Total, Program Changes	-	-	340,931
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	45	3,383	1,950,000
Total Change 2010 to 2011	-	(217)	350,000

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Disaster Relief Fund	45	3,600	1,600,000	45	3,383	1,950,000	-	(217)	350,000	-	-	340,931	-	(217)	9,069
Subtotal, Estimates Program Project Activity	45	3,600	1,600,000	45	3,383	1,950,000	-	(217)	350,000	-	-	340,931	-	(217)	9,069
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	45	3,600	1,600,000	45	3,383	1,950,000	-	(217)	350,000	-	-	340,931	-	(217)	9,069

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Relief Fund
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	234,739	172,000	175,000	3,000
11.3 Other than full-time permanent	167,090	88,000	74,000	(14,000)
11.5 Other personnel compensation	102,382	50,000	50,000	-
12.1 Benefits	105,798	101,000	95,000	(6,000)
13.0 Unemployment Compensation	8,274	-	-	-
21.0 Travel	220,137	52,000	52,000	-
22.0 Transportation of things	69,922	16,000	16,000	-
23.1 GSA rent	15,257	18,000	18,000	-
23.2 Other rent	91,251	1,000	1,000	-
23.3 Communications, utilities, and misc. charges	65,499	30,000	30,000	-
24.0 Printing	2,708	8,000	8,000	-
25.1 Advisory and assistance services	16,658	15,000	15,000	-
25.2 Other services	968,964	695,000	695,000	-
25.3 Purchases from Gov't accts.	371,967	324,000	324,000	-
25.4 O&M of facilities	55,980	35,000	35,000	-
25.5 R&D of contracts	186	-	-	-
25.6 Medical care	480	-	-	-
25.7 Operation and maintenance of equipment	18,339	-	-	-
25.8 Other services	199	-	-	-
26.0 Supplies and materials	37,000	67,000	67,000	-
31.0 Equipment	148,000	35,000	35,000	-
32.0 Land & structures	2,000	6,000	6,000	-
41.0 Grants/Subsidies/Contributions	8,670,000	3,277,000	2,624,000	(653,000)
42.0 Insurance Claims and Indemnity	2,639	-	-	-
Total, Object Class	11,375,469	4,990,000	4,320,000	(670,000)
Unobligated Balance, start of year	(9,234,105)	(1,712,285)	-	1,712,285
Unobligated Balance, end of year	1,712,285	-	-	-
Recoveries of Prior Year Obligations	(2,765,350)	(1,800,000)	(2,370,000)	(570,000)
Offsetting Collections	(6,299)	-	-	-
Total, Adjustments	(10,293,469)	(3,512,285)	(2,370,000)	1,142,285
Total, Direct Obligations	1,082,000	1,477,715	1,950,000	472,285

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Relief Fund
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
GS-15	45	45	45	-
Total Permanent Positions	45	45	45	-
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	45	45	45	-
Full Time Equivalents	7,067	3,600	3,383	(217)
Headquarters	45	45	45	-
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total, Location	45	45	45	-
Average ES Salary	-	-	-	-
Average GS Salary	153,200	156,464	159,047	2,583
Average Grade	15	15	15	-

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

Department of Homeland Security Federal Emergency Management Agency Disaster Relief Fund Funding Schedule (Dollars in Thousands)

PPA: Disaster Relief Fund	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	234,739	172,000	175,000	3,000
11.3 Other than full-time permanent	167,090	88,000	74,000	(14,000)
11.5 Other personnel compensation	102,382	50,000	50,000	-
12.1 Benefits	105,798	101,000	95,000	(6,000)
13.0 Unemployment Compensation	8,274	-	-	-
21.0 Travel	220,137	52,000	52,000	-
22.0 Transportation of things	69,922	16,000	16,000	-
23.1 GSA rent	15,257	18,000	18,000	-
23.2 Other rent	91,251	1,000	1,000	-
23.3 Communications, utilities, and misc. charges	65,499	30,000	30,000	-
24.0 Printing	2,708	8,000	8,000	-
25.1 Advisory and assistance services	16,658	15,000	15,000	-
25.2 Other services	968,964	695,000	695,000	-
25.3 Purchases from Gov't accts.	371,967	324,000	324,000	-
25.4 O&M of facilities	55,980	35,000	35,000	-
25.5 R&D of contracts	186	-	-	-
25.6 Medical care	480	-	-	-
25.7 Operation and maintenance of equipment	18,339	-	-	-
25.8 Other services	199	-	-	-
26.0 Supplies and materials	37,000	67,000	67,000	-
31.0 Equipment	148,000	35,000	35,000	-
32.0 Land & structures	2,000	6,000	6,000	-
41.0 Grants/Subsidies/Contributions	8,670,000	3,277,000	2,624,000	(653,000)
42.0 Insurance Claims and Indemnity	2,639	-	-	-
Total, Object Class	11,375,469	4,990,000	4,320,000	(670,000)
Unobligated Balance, start of year	(9,234,105)	(1,712,285)	-	1,712,285
Unobligated Balance, end of year	1,712,285	-	-	-
Recoveries of Prior Year Obligations	(2,765,350)	(1,800,000)	(2,370,000)	(570,000)
Offsetting Collections	(6,299)	-	-	-
Total, Adjustments	(10,293,469)	(3,512,285)	(2,370,000)	1,142,285
Total, Disaster Relief Fund	1,082,000	1,477,715	1,950,000	472,285
Full Time Equivalents	7,067	3,600	3,383	(217)

PPA Mission Statement

Through the Disaster Relief Fund (DRF), FEMA/DHS provides a significant portion of the total Federal response to Presidentially-declared major disasters and emergencies. The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act), (42 U.S.C. 5121-5206) (Public Law 93-288, as amended), authorizes the President to provide Federal assistance to supplement state and local governments' disaster response, recovery, readiness, and mitigation efforts. Under Executive Order 12148, as amended by Executive Order 13286, FEMA's Administrator, formerly DHS' Under Secretary for Emergency Preparedness and Response, has been delegated the responsibility for administering the Stafford Act's Federal assistance programs. The Disaster Relief Fund (DRF) funds the following Stafford Act declarations or activities: (1) major disaster; (2) emergency; (3) fire management assistance; and (4) pre-declaration activities.

Coupled with prior year recoveries and carry forward funds, the DRF is projected to support the five-year average obligation level for non-catastrophic disaster activity (excluding extraordinary events such as: the 2004 hurricanes in Florida and other states, Hurricanes Katrina, Rita, and Wilma in 2005, the California Wildfires of 2007, and Hurricanes Gustav and Ike in 2008).

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	234,739	172,000	175,000	3,000

Salaries and Benefits includes costs for 3,383 FTEs. The FY 2011 request includes a decrease of 217 FTE, and a decrease of \$17,000.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	167,090	88,000	74,000	(14,000)

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	102,382	50,000	50,000	-

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	105,798	101,000	95,000	(6,000)

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	8,274	-	-	-

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	8,274	-	-	-

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	220,137	52,000	52,000	-

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	69,922	16,000	16,000	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	15,257	18,000	18,000	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	91,251	1,000	1,000	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	65,499	30,000	30,000	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	2,708	8,000	8,000	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	16,658	15,000	15,000	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	968,964	695,000	695,000	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	371,967	324,000	324,000	-

Purchases from Government Accounts include costs for purchases from other Federal Government

agencies or accounts that are not otherwise classified. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	55,980	35,000	35,000	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. There is no change in the FY 2011 funding level as compared to FY 2010

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	186	-	-	-

Research and Development includes costs for contracts for the conduct of basic and applied research and development.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	480	-	-	-

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	18,339	-	-	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
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25.8 Other services

199

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Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	37,000	67,000	67,000	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	148,000	35,000	35,000	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	2,000	6,000	6,000	-

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. There is no change in the FY 2011 funding level as compared to FY 2010. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	8,670,000	3,277,000	2,624,000	(653,000)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations,

associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 Request includes a decrease of \$653,000 reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	2,639	-	-	-

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.

I. Changes in Full Time Equivalent

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Relief Fund
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	7,061	7,067	3,600
INCREASES	-	-	-
Increase in Temporary Disaster Workforce due to Disaster Response	6	-	-
Increases	6	-	-
Subtotal, Increases	6	-	-
DECREASES	-	-	-
Decrease in Disaster Workforce (Transfer to M&A)	-	(298)	-
Decrease in Temporary Disaster Workforce	-	(3,169)	-
Decrease in Disaster Workforce (Transfer to M&A)	-	-	(217)
Subtotal, Decreases	-	(3,467)	(217)
Year End Actual / Estimated FTEs:	7,067	3,600	3,383
Net Change from prior year base to Budget Year Estimate:	6	(3,467)	(217)

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund



Fiscal Year 2011
Overview
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Flood Map Modernization Fund

I. Appropriation Overview

A – Mission Statement for Flood Map Modernization Fund

The Flood Hazard Mapping and Risk Analysis Program (formerly the Flood Map Modernization Fund) addresses flood hazard data update needs and preserves the successful Flood Map Modernization investment. This effort began in 2004 as a federally funded initiative to improve and modernize the process for updating, maintaining, storing, and distributing the flood hazard and risk information portrayed on Flood Insurance Rate Maps (FIRMs). Federal statutory requirement directs FEMA to review the flood hazards maps on a five-year cycle and address flood hazard data update needs.

Flood maps are used to determine appropriate risk-based premium rates for the National Flood Insurance Program (NFIP); to complete flood hazard determinations required of the Nation's lending institutions; and, to develop appropriate disaster response plans for Federal, State, and local emergency management personnel. In FY 2009, FEMA began its transition from Map Modernization to a strategy that combines flood hazard mapping, risk assessment tools and Mitigation Planning into one seamless program. This strategic shift allows FEMA to leverage the successes of Map Modernization and further enhance the usability and value of flood hazard mapping.

The Risk Mapping, Assessment, and Planning (Risk MAP) Multi-Year Plan for Fiscal Years 2010 - 2014 details FEMA's strategy for an integrated program that will encourage beneficial partnerships and innovative uses of flood hazard and risk assessment data in order to maximize flood loss reduction. This plan significantly improves the integrated flood risk management approach by weaving county-level flood hazard data developed in support of the National Flood Insurance Program (NFIP) into watershed-based risk assessments. These assessments serve as the foundation for local Hazard Mitigation Plans and targeted risk communication activities.

B – Budget Activities:

FEMA manages several risk analysis programs that assess the impact of natural hazards that lead to effective strategies for reducing risk. These programs support the Department of Homeland Security objective to “strengthen nationwide preparedness and mitigation against natural disasters.” Risk MAP is integrating and aligning the individual risk analysis programs into a more effective unified strategy. The vision for Risk MAP is to deliver quality data that increases public awareness and leads to action that reduces risk to life and property.

Risk MAP Vision

Through collaboration with State, Local, and Tribal entities, Risk MAP will deliver quality data that increases public awareness and leads to action that reduces risk to life and property

FEMA's Risk MAP Multi-Year Plan: Fiscal Years 2010-2014 outlines the goals, objectives, and strategies for Risk MAP. The major objectives of Risk MAP are:

- Assess Nation's flood risk and use this information to increase public awareness of risk. This consistent, quantitative flood risk assessment will be used to track progress toward reducing flood risk and to target resources.
- Increase public awareness of risk from natural hazards and establish a baseline of local knowledge and understanding of risk management concepts.
- Ensure 80 percent of the Nation's flood hazards data are current – the flood hazard data are new, have been updated, or deemed still valid.
- Provide updated flood hazard data for 100 percent of the populated coastal areas in the Nation.
- Evaluate levee status information to ensure the appropriate flood hazards are depicted on Digital Flood Insurance Rate Maps for counties with levees, including those impacted by expiring Provisionally Accredited Levee status.

C – Budget Request Summary:

FEMA requests \$194 million in FY 2011 for the Flood Hazard Mapping and Risk Analysis Program. This funding will be used to analyze and produce flood hazard data and map products, communicate flood hazard risk and related technical services. In FY 2011, FEMA will focus on reviewing and updating flood hazard data and maps to accurately reflect flood hazards and pursue its strategy to invest more in monitoring the validity of published flood hazard information. These flood hazard data and mapping efforts will support the goals identified in FEMA's Risk MAP Multi-Year Plan for Fiscal Years 2010-2014 and specifically address gaps in flood hazard data to form a solid foundation for flood risk assessments, floodplain management, and actuarial soundness of the National Flood Insurance Program. FEMA will also dedicate funding to address flood hazard data update needs for coastal and riverine flood hazard areas as well as expand and improve utility and accessibility of the flood hazard and flood risk data.

In addition to appropriated funds which support Risk MAP production and technical services, program activities are also funded by fees received from policy holders under the National Flood Insurance Program (NFIP). Both sources of funding are critical to the development and implementation of new maps in communities across the Nation. The work accomplished through the NFIP funding includes some production but primarily enables the program to meet statutory and regulatory requirements for processing map change requests from communities and citizens; respond to stakeholder correspondence; distribute flood hazard data products; establish and maintain cost and schedule controls; track and monitor performance; and, support the development of State and local capabilities to participate in the management and delivery of Risk MAP through the Cooperating Technical Partners (CTP) program and other core program functions.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Flood Map Modernization Fund	41	247,734	56	220,000	70	194,000	14	(26,000)	-	(26,101)	14	101
Subtotal, Enacted Appropriations and Budget Estimates	41	247,734	56	220,000	70	194,000	14	(26,000)	-	(26,101)	14	101
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	41	247,734	56	220,000	70	194,000	14	(26,000)	-	(26,101)	14	101

III. Current Services Program Description by PPA

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
Program Performance Justification**
(Dollars in Thousands)

PPA: Flood Map Modernization Fund

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	43	41	247,734
2010 Enacted	56	56	220,000
2011 Adjustments-to-Base	28	14	101
2011 Current Services	84	70	220,101
2011 Program Change	-	-	(26,101)
2011 Total Request	84	70	194,000
Total Change 2010 to 2011	28	14	(26,000)

FEMA requests \$194 million in FY 2011 for this activity, a net decrease of \$26 million from the FY 2010 Enacted. Funding will provide for the annualization of 2010 pay increases, the 2011 cost of living allowance, and support the continuation of activities as described in the Risk MAP Multi Year Plan. The Risk MAP program will use efficiencies achieved from in-sourcing contracted duties to add 28 full-time permanent positions.

As part of Secretary Napolitano's Department-wide Efficiency Review, DHS is determining the most effective balance of contractors to federal employees throughout the Department, and converting contractor positions to federal employees when feasible and appropriate. In FY11, FEMA will convert contractor positions related to its Flood Map Modernization (Risk Map) to full-time and permanent positions.

CURRENT SERVICES PROGRAM DESCRIPTION:

Flood Hazard Mapping Foundation

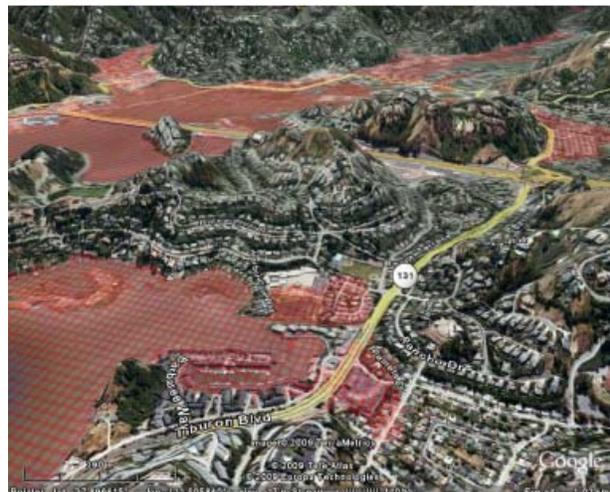
Flood Map Modernization will produce flood maps in a geographic information system format for areas at high flood risk. Flood Map Modernization used appropriated funding

from 2004 through 2008 to support map production that will continue through 2011. In addition, the modernization effort incorporates the latest technology in order to provide the flood hazard data in the most usable format with advanced tools and techniques that will enable FEMA and its State and local partners to produce high-quality data while managing cost and schedule constraints. The updated maps will be compliant with the Floodplain Boundary Standard described in the Multi-Year Flood Hazard Identification Plan (MHIP), which enhances the requirements of FEMA's Guidelines and Specifications for Flood Hazard Mapping Partners. FEMA also partners with State and local governments to help develop their capability for managing and maintaining their flood hazard data.

The Flood Hazard Mapping and Risk Analysis Program will accomplish the following for over 100,000 flood maps by 2011, based on appropriations through FY 2008 (*note that the final flood hazard maps take approximately two to three years to complete after appropriations have been made, to allow due process for communities impacted by changes to flood hazard elevations and designations*):

- Build a digital Geospatial Information System (GIS) platform for flood hazard map production and accessibility.
- Develop flood hazard maps for 92 percent of the Nation's population available through the new platform.
- Ensure 75 percent of the flood hazard boundaries meet the standards for horizontal accuracy.
- Refresh 30 percent of the flood hazard data, ensuring that the maps represent current conditions.

FEMA has created a premier digital flood hazard data platform for the NFIP with floodplain boundaries that are reliable and trusted by stakeholders. The new digital maps are easier to use and provide increased capabilities for automation and analysis. The maps are used an estimated 30 million times each year in making critical decisions by local community officials, emergency managers, homeowners, and financial institutions.



The success of the initial program brought to the forefront a larger need for new flood hazard engineering analyses, improved quality of the flood hazard data, and a level of detail that extends beyond fixing the floodplain boundaries.

Risk Mapping, Assessment, and Planning (Risk MAP)

The Risk MAP Multi-Year Plan (FY 2010-2014) builds on the strong foundation of the Map Modernization program. This plan will significantly improve the integrated flood

risk management approach by weaving county-level flood hazard data into watershed-based risk assessments that serve as the basis for local Hazard Mitigation Plans and targeted risk communication activities. Risk assessments systematically analyze the people and property in a community or watershed potentially impacted by flood hazards to quantify physical, social and economic losses. Targeted risk communication activities include prioritizing flood map updates for highest risk areas and highlighting areas where mitigation activities are most needed based on the results of the watershed risk assessments.

FEMA will build on the benefits of digital flood hazard data by instituting easy web-based access to a powerful data analysis tool that quantifies flood risk in ways that facilitate improved mitigation planning and measure flood risk reduction. The overall goals in the FEMA Risk MAP Multi-Year Plan are:

- 1) Risk MAP Goal 1: Address gaps in flood hazard data to form a solid foundation for flood risk assessments, floodplain management, and actuarial soundness of the National Flood Insurance Program.
- 2) Risk MAP Goal 2: Ensure that a measurable increase of the public's awareness and understanding of risk management results in a measurable reduction of current and future vulnerability to flooding.
- 3) Risk MAP Goal 3: Lead and support States, local and tribal communities to effectively engage in risk-based mitigation planning resulting in sustainable actions that reduce or eliminate risks to life and property from natural hazards.
- 4) Risk MAP Goal 4: Provide an enhanced digital platform that improves management of limited Risk MAP resources, controls information produced by Risk MAP, and enhances communication and sharing of risk data and related products to all levels of government and the public.
- 5) Risk MAP Goal 5: Align Risk Analysis programs and develop synergies to enhance decision-making capabilities through effective risk communication and management.

The Risk MAP is supported by two sources of funding. In addition to the appropriated funds that support production and technical services, fees received from policy holders under the National Flood Insurance Program (NFIP) provide for other program activities. NFIP funding includes some production but primarily enables the program to meet statutory and regulatory requirements for processing map change requests from communities and citizens. NFIP funding allows the program to respond to stakeholder correspondence; distribute flood hazard data products; establish and maintain cost and schedule controls; track and monitor performance; and, support the development of State and local capabilities to participate in the management and delivery of Risk MAP through the Cooperating Technical Partners (CTP) program and other core program functions.

The table below shows the how the two funding sources support flood mapping activity:

Funding Source	Floodplain Management	Flood Mapping / Risk Analysis	Flood Mitigation & Insurance Ops	TOTAL
NFIF Salaries & Expenses	\$ 17,877,481	\$ 10,224,307	\$ 22,145,000	\$ 50,246,788
NFIF Program Funds	\$ 12,354,753	\$ 106,398,459		\$ 118,753,212
NFIF Flood Insurance Operations			\$ 85,000,000	\$ 85,000,000
NFIF Flood Related Grants			\$ 50,000,000	\$ 50,000,000
Flood Hazard Mapping & Risk Analysis (formerly FMMF)		\$ 194,000,000		\$ 194,000,000
TOTAL	\$ 30,232,234	\$ 310,622,766	\$ 157,145,000	\$ 498,000,000
FTE	93	134	103	330

FY 2009 accomplishments:

- Risk MAP Goal 1: Initiated approximately 465 Risk MAP projects addressing highest priority engineering data needs, including 69 coastal and 123 levee projects which affect over 2,000 communities. Provided the “Risk MAP FY 2009 Flood Mapping Production Plan” on FEMA’s website, describing approach for selection of FY 2009 flood map update projects.
- Risk MAP Goal 2: Produced an average loss study for the one-percent annual chance flood level for the Nation.
- Risk MAP Goal 3: Ensured 70 percent of the Nation’s population (excluding territories) will be covered by local Hazard Mitigation Plans that are approved or approvable pending adoption.
- Risk MAP Goals 1 – 5: Provided Congress with the “Risk Mapping, Assessment, and Planning Multi-Year Plan: FY 2010-2014” as required under the FY 2009 DHS Appropriations Act (P.L. 110-329).

FY 2010 planned accomplishments:

- Risk MAP Goal 1: Initiate additional 400 - 500 Risk MAP projects affecting up to 2,500 communities and addressing highest priority engineering data needs, including coastal and levee areas.
- Risk MAP Goal 2: Create a baseline of local understanding of flood risk and produce a national annualized flood loss study (for multiple flood levels).
- Risk MAP Goal 3: Ensure 75 percent of the Nation’s population (excluding territories) is covered by local Hazard Mitigation Plans that are approved or approvable pending adoption.
- Risk MAP Goal 4: Transition flood hazard data distribution from a paper-map-focused system based on high volume offset printing, to a nearly all digital distribution with limited paper copies printed as needed for affected local governments.
- Risk MAP Goal 5: Develop requirements for new integrated Risk MAP products that augment the Digital Flood Insurance Rate Map delivered in Flood Map

Modernization with additional flood risk information to enable broader risk communication.

FY 2011 planned accomplishments:

Funding in FY 2011 for Risk MAP will be used to produce improved flood hazard mapping for the National Flood Insurance Program. FEMA expects that a more fully-informed public coupled with more focused actions will reduce flood risks. The following accomplishments are planned for FY 2011, aligned with each Risk MAP goal:

- Risk MAP Goal 1: Ensure 80 percent of the Nation's flood hazards are current by 2014 – the flood hazard data are new, have been updated, or deemed still valid through Risk MAP review and update process.
 - Reduce the coastal flood hazard data update needs by 40 percent.
 - Reduce the flood hazard data needs related to the resolution of provisionally accredited levees by 61 percent.
 - Reduce the riverine flood hazard data update needs based on other physical, climatologic or engineering methodology changes by 14 percent
- Risk MAP Goal 2: Ensure that a measurable increase of the public's awareness and understanding of risk management results in a measurable reduction of current and future vulnerability to flooding.
 - Achieve a 5% increase in state and local officials understanding of flood risk.
- Risk MAP Goal 3: Lead and support States, local and tribal communities to effectively engage in risk-based mitigation planning resulting in sustainable actions that reduce or eliminate risks to life and property from natural hazards.
 - 76 percent of the U.S. population (excluding territories) have planned mitigation strategies.
- Risk MAP Goal 5: Align Risk Analysis programs and develop synergies to enhance decision-making capabilities through effective risk communication and management
 - Have 10 percent of local hazard mitigation plans approved use quality risk assessment data.

FEMA plans additional investment in updated land elevation data in FY 2011. Using more accurate land elevation data will prove to be a cost effective investment for improving flood hazard data and the quality of the flood hazard data products. In April 2010, FEMA will deliver the National Digital Elevation Acquisition and Utilization Plan as mandated in the FY 2010 DHS Appropriations Act. This plan will outline the requirements for updated digital elevation data based on input from the U.S. Geological Survey, the National Oceanic and Atmospheric Administration, the National Aeronautics Space Administration, and States that have experience in acquiring and incorporating high resolution elevation data in the floodplain map updates.

Ultimately, these investments will produce accurate flood hazard data, integrated watershed flood risk assessments, and stronger hazard mitigation plans. The two primary focus areas are: (1) coastal flood studies; and (2) significant riverine flood hazard data update needs. FEMA's Risk MAP approach will support local risk assessment and planning activities while addressing the flood hazard data update needs, thus enabling our

citizens to increase their awareness of flood risk and ensure good planning to mitigate against these risks.

A. Coastal Flood Studies: In FY 2011, FEMA will continue the effort started in 2009 to update the Nation's coastal flood hazard studies. FEMA will allocate \$50 million to initiate updated coastal flood hazard studies in those areas determined to be in most need. This investment will reduce the flood hazard data update needs by 40 percent, representing approximately 4,000 miles of open coast. Future coastal hazard analyses and mapping needs will be selected based on risk, community and State cost share, and cost efficiencies using a consistent hazard study approach.

B. Significant Riverine Flood Hazard Update Needs: In FY 2011, FEMA will use \$140 million to update riverine hazard engineering analyses. This also includes other non-coastal flood hazards like ponding and shallow flooding and updates related to the accreditation status of levees. This investment will reduce the riverine flood hazard data update needs by 14% representing 55,000 miles of inland flooding sources.

Part of FEMA's Risk MAP strategy is to invest more in monitoring the validity of published flood hazard information. The principal factors that drive the need for updated flood hazard analyses are:

- Physical changes: such as manmade influences which may include new bridges, culverts, levees, and development in the floodplain.
- Climate changes: such as recent flood disasters or additional stream gauge data.
- Engineering methodology changes: such as improved computer models and better understanding of the physics of water flow.

Keeping pace with these changes is important and failing to do so could lead to unwise land use decisions and construction standards, thereby putting homeowners at increased risk while providing a false sense of security. Conversely, overstated hazards can result in potentially unnecessary construction costs and incorrect insurance rating decisions. Sound reliable flood hazard information is a necessary component of ensuring the fiscal soundness of the National Flood Insurance Program.

As FEMA began work on Risk MAP, the next five-year assessment of NFIP maps was also initiated. FEMA will continue its work with stakeholders to ensure that flood hazard information on FIRMs reflects existing conditions and is aligned with flood risk. This work will involve documenting the engineering gaps that require a map update based on the three principal factors mentioned above. A Watershed Validation Evaluation Strategy will be used to track the assessment process, document engineering gaps and their resolution, and aid in prioritization for using flood risk as a key factor for areas identified for flood map updates.

In FY 2011, FEMA will continue its Watershed Validation Evaluation Strategy for reviewing flood hazard engineering data and map update needs. The results of these

evaluations and other flood hazard data update needs identified throughout the mapping lifecycle will be managed systematically and allow FEMA to effectively quantify the inventory maintenance required.

A portion of this effort will also be focused on the identification of current flood hazards in and around the Nation's levee systems which are located in over one-quarter of the counties for which FEMA is providing new digital flood hazard mapping. Where the Provisionally Accredited Levee (PAL) status for levee systems is expiring or when the necessary data and documentation for levee systems are provided for accreditation, FEMA will update the flood hazard data to reflect these changes. However, by 2011, the status of most provisionally accredited levees will have been resolved. Most levee issues will be addressed in an integrated way with other flood hazard data updates. As a result, FEMA will no longer need to allocate funding specifically for levee related issues.

During the implementation of Risk MAP, sustainable partnerships will continue to be vital. FEMA will maintain its partnerships and seek out new collaborations to support the Risk MAP program. Resources in the form of "cash match" from state and local governments or new data as identified in FEMA's Bluebook are highly valued and are most beneficial for the program. When targeted at known flood hazard data update needs and included in the Partnership Agreement, FEMA will give its highest investment priority to capable partners who provide a 25% cash match. FEMA typically receives these partner contributions through existing successful partnerships within the Cooperating Technical Partners (CTP) Program. While contributions from multiple sources are valuable, FEMA will consider establishing a partnership under the CTP Program in flood map update prioritization and will support those partnerships that are mutually beneficial.

The FY 2011 Request reflects FEMA's plan to realign base funding used for contracted services to support 28 additional full time permanent positions for Risk MAP. These permanent positions will perform duties and activities previously provided by contracted personnel. In-sourcing these functions will improve FEMA's ability to provide oversight, outreach, and delivery of the Risk MAP program. In FY 2009, a resource assessment was done to identify the level and type of staffing needed to successfully implement Risk MAP. The additional 28 positions will address existing gaps in key competency areas: (1) project and contract management; (2) technical expertise in engineering and risk assessment; and (3) outreach and stakeholder engagement.

IV. Program Justification Changes

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Program decrease to offset flatline
PPA: Flood Map Modernization Fund
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-26101.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							84	70	220,101
Program Decrease							-	-	(26,101)
Total Request	-	-	-	-	-	-	84	70	194,000

Description of Item

This represents an overall reduction of 11.8% in program funding from the FY 2010 Enacted.

Justification

The Flood Hazard Mapping and Risk Analysis Program will absorb this decrease in funding by applying efficiencies across the program. FEMA has a continuous process improvement strategy for Risk MAP that is expected to produce program efficiencies of approximately 5% which will be reinvested in the program.

In FY 2011, the National Flood Insurance Program anticipates an increase in fee revenue of which a portion will be dedicated to the Risk MAP program for map production. The additional revenue funding will ensure Risk MAP is able to meet two key objectives of its multi-year plan for FY 2010 – FY 2014:

- Ensure 80 percent of the Nation’s flood hazards data are current – the flood hazard data are new, have been updated, or deemed still valid.
- Provide updated flood hazard data for 100 percent of the populated coastal areas in the Nation.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in Flood Hazard Mapping and Risk Analysis
[Flood Map Modernization Fund]
Appropriation Language**

For necessary expenses under section 1360 of the National Flood Insurance Act of 1968 (42 U.S.C. 4101), **\$194,000,000** [\$220,000,000], and such additional sums as may be provided by State and local governments or other political subdivisions for cost-shared mapping activities under section 1360(f)(2) of such Act (42 U.S.C. 4101(f)(2)), to remain available until expended. (Department of Homeland Security Appropriations Act, 2010.)

Explanation of Change:

FEMA proposes to change the appropriation title from Flood Map Modernization Fund to Flood Hazard Mapping and Risk Analysis in order to better reflect the focus of future flood map modernization activities. The Risk MAP Multi-Year Plan: Fiscal Years 2010-2014 articulates a fairly significant philosophical and tactical shift in how FEMA delivers information necessary for flood risk reduction and sustainable community development. This significantly improved integrated flood risk management approach weaves county-level flood hazard data developed in support of the National Flood Insurance Program (NFIP) into watershed-based risk assessments that serve as the foundation for local Hazard Mitigation Plans and targeted risk communication activities.

In addition, FEMA proposes to remove the total administrative cost percentage from appropriation language. The 3% for administrative costs would provide an insufficient level of funding for the program to continue to operate effectively. The 3% limit for administrative costs at the FY 2011 Request would ensure a 12% reduction in critical funding from the FY 2010 Enacted level. At this percentage rate, the program would not be able to support its current staff level or increases in costs due to cost of living adjustments and inflation. The program would have to reduce on board staff, forego plans to convert contract funding to additional permanent staff, and eliminate activities vital to the production of maps, community assistance efforts and program delivery. The FY 2011 Request includes \$10 million for salaries and operating expenses which equates to 5.2% of the requested funding.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	43	41	247,734
FY 2010 Enacted	56	56	220,000
Adjustments-to-Base	-	-	-
Increases	-	-	-
2011 pay increase	-	-	76
Annualization of 2010 pay raise	-	-	25
DHS Balanced Workforce Strategy	28	14	1,563
GSA Rent	-	-	366
Total Increases	28	14	2,030
Decreases	-	-	-
Non-recur of service contracts and one-time costs	-	-	(1,929)
Total Decreases	-	-	(1,929)
Total, Adjustments-to-Base	28	14	101
FY 2011 Current Services	84	70	220,101
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Program decrease to offset flatline	-	-	(26,101)
Total, Program Changes	-	-	(26,101)
FY 2011 Request	84	70	194,000
FY 2010 to FY 2011 Total Change	28	14	(26,000)

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	43	41	247,734
FY 2010 Enacted	56	56	220,000
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	28	14	2,030
Decreases	-	-	(1,929)
Total, Adjustments-to-Base	28	14	101
FY 2011 Current Services	84	70	220,101
Program Changes	-	-	-
Total, Program Changes	-	-	(26,101)
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	84	70	194,000
Total Change 2010 to 2011	28	14	(26,000)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Flood Map Modernization Fund	56	56	220,000	84	70	194,000	28	14	(26,000)	-	-	(26,101)	28	14	101
Subtotal, Estimates Program Project Activity	56	56	220,000	84	70	194,000	28	14	(26,000)	-	-	(26,101)	28	14	101
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	56	56	220,000	84	70	194,000	28	14	(26,000)	-	-	(26,101)	28	14	101

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	3,062	4,539	5,789	1,250
11.3 Other than full-time permanent	29	161	163	2
11.5 Other personnel compensation	208	117	211	94
12.1 Benefits	852	1,359	1,677	318
21.0 Travel	820	950	969	19
22.0 Transportation of things	1	-	-	-
23.1 GSA rent	1,074	691	1,057	366
23.3 Communications, utilities, and misc. charges	208	78	119	41
24.0 Printing	2,007	-	-	-
25.1 Advisory and assistance services	46,413	40,899	33,250	(7,649)
25.2 Other services	150,076	131,757	106,637	(25,120)
25.3 Purchases from Gov't accts.	1,334	208	318	110
25.4 O&M of facilities	73	-	-	-
26.0 Supplies and materials	17	17	17	-
31.0 Equipment	52	150	150	-
41.0 Grants/Subsidies/Contributions	41,509	44,000	43,643	(357)
Total, Object Class	247,735	224,926	194,000	(30,926)
Unobligated Balance, start of year	(31,311)	(4,926)	-	4,926
Unobligated Balance, end of year	4,926	-	-	-
Recoveries of Prior Year Obligations	(1,350)	-	-	-
Total, Adjustments	(27,735)	(4,926)	-	4,926
Total, Direct Obligations	220,000	220,000	194,000	(26,000)

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
GS-15	-	-	1	1
GS-14	-	6	9	3
GS-13	6	9	13	4
GS-12	36	40	58	18
GS-11	1	1	3	2
Total Permanent Positions	43	56	84	28
Unfilled Positions EOY	4	-	-	-
Total Permanent Employment EOY	39	56	71	15
Full Time Equivalent	41	56	70	14
Headquarters	3	13	24	11
U.S. Field	40	43	60	17
Foreign Field	-	-	-	-
Total, Location	43	56	84	28
Average ES Salary	-	-	-	-
Average GS Salary	73,100	74,872	76,444	1,572
Average Grade	12	12	12	-

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justifications (object class summary)

Department of Homeland Security Federal Emergency Management Agency Flood Map Modernization Fund

Funding Schedule
(Dollars in Thousands)

PPA: Flood Map Modernization Fund	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	3,062	4,539	5,789	1,250
11.3 Other than full-time permanent	29	161	163	2
11.5 Other personnel compensation	208	117	211	94
12.1 Benefits	852	1,359	1,677	318
21.0 Travel	820	950	969	19
22.0 Transportation of things	1	-	-	-
23.1 GSA rent	1,074	691	1,057	366
23.3 Communications, utilities, and misc. charges	208	78	119	41
24.0 Printing	2,007	-	-	-
25.1 Advisory and assistance services	46,413	40,899	33,250	(7,649)
25.2 Other services	150,076	131,757	106,637	(25,120)
25.3 Purchases from Gov't accts.	1,334	208	318	110
25.4 O&M of facilities	73	-	-	-
26.0 Supplies and materials	17	17	17	-
31.0 Equipment	52	150	150	-
41.0 Grants/Subsidies/Contributions	41,509	44,000	43,643	(357)
Total, Object Class	247,735	224,926	194,000	(30,926)
Unobligated Balance, start of year	(31,311)	(4,926)	-	4,926
Unobligated Balance, end of year	4,926	-	-	-
Recoveries of Prior Year Obligations	(1,350)	-	-	-
Total, Adjustments	(27,735)	(4,926)	-	4,926
Total, Flood Map Modernization Fund	220,000	220,000	194,000	(26,000)
Full Time Equivalents	41	56	70	14

PPA Mission Statement

The Flood Map Modernization Fund supports the effort to update and modernize the Nation's flood hazard data inventory. Map Modernization will produce flood maps in geographic information system format for every area where there is flood risk. In addition, the modernization effort is incorporating the latest technology in order to provide the flood hazard data in the most usable format and also to provide modern tools and techniques that will enable FEMA and its State and local partners to produce high-quality data while managing cost and schedule constraints. FEMA's current approach for Flood Map Modernization assumes that a large percentage of the existing flood hazard data is still valid and that revising map information and boundary adjustments are the necessary changes needed to update the flood hazard maps.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	3,062	4,539	5,789	1,250

Salaries and Benefits support 90 full time permanent positions in FY 2011. The increase above the FY 2010 Request will provide for the annualization of the 2010 pay increase as well as the cost of living adjustment effective January 2011. In FY 2011, the program requests 28 additional positions and 14 FTE to in-source functions previously performed under contract.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	29	161	163	2

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	208	117	211	94

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	852	1,359	1,677	318

See 11.1

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	820	950	969	19

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request reflects an increase in travel commensurate to activities performed in FY 2010. Increases in travel result from the additional activities supporting flood mapping efforts throughout the Nation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	1	-	-	-

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	1,074	691	1,057	366

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request provides for increases in lease costs and additional space for new positions.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	208	78	119	41

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request provides for communication services for additional staff.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	2,007	-	-	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	46,413	40,899	33,250	(7,649)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 Request reflects a decrease in requirements for contracted services.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	150,076	131,757	106,637	(25,120)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request reflects a decrease in requirements for contracted services as a result of program efficiencies and reduction in program funding level.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	1,334	208	318	110

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request provides for increased cost in DHS working capital fund.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	73	-	-	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	17	17	17	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	52	150	150	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. There is no change in the FY 2011 funding level as compared to FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	41,509	44,000	43,643	(357)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 Request includes a decrease in funding level for mapping activities.

I. Changes in Full Time Equivalent

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	27	41	56
INCREASES	-	-	-
Reflects FTE estimated actuals for FY 2009	14	-	-
Increases	14	-	-
Reflects FTE estimate for FY 2010	-	15	-
DHS Balanced Workforce Strategy	-	-	14
Subtotal, Increases	14	15	14
DECREASES	-	-	-
Year End Actual / Estimated FTEs:	41	56	70
Net Change from prior year base to Budget Year Estimate:	14	15	14

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
DHS/FEMA assessment of WCF	128	179	184	5
Total Working Capital Fund	128	179	184	5

DEPARTMENT OF HOMELAND SECURITY
Federal Emergency Management Agency
National Flood Insurance Fund



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

National Flood Insurance Fund

I. Appropriation Overview

A – Mission Statement for the National Flood Insurance Fund:

The National Flood Insurance Fund (NFIF), which was established by the National Flood Insurance Act of 1968 (42 U.S.C. 4001), is a premium revenue and fee-generated fund that supports the National Flood Insurance Program (NFIP). The Act, as amended, authorizes the Federal government to provide flood insurance on a national basis to owners of properties located in vulnerable areas. The National Flood Insurance Reform Act of 1994 (P.L.103-325) made flood insurance mandatory for all federally backed mortgages of properties located in the special flood hazard areas (SFHA). Currently, the NFIP insures more than 5.6 million residential and commercial policyholders totaling approximately \$1.1 trillion in insurance coverage. By supporting flood hazard reduction grant programs and floodplain management efforts, the National Flood Insurance Program estimates that more than \$1.2 billion in flood-related losses are avoided annually.

The NFIP is not just an insurance program. It also works to reduce the cost of flood damage through identifying, analyzing, and reducing flood risk. By encouraging and supporting mitigation efforts, FEMA leads our Nation in reducing the impact of disasters. FEMA applies insurance concepts and methods to reduce the nation's vulnerability to natural hazards and manages the National Flood Insurance Program (NFIP) to provide consumer-oriented flood insurance to accelerate recovery from floods, to mitigate future losses and to reduce personal and national costs of flood disasters. FEMA administers the NFIP so that insurance and floodplain management policies and operations are mutually reinforcing. Further, FEMA works to increase the NFIP policy base so that more people are indemnified by insurance for future flood losses, facilitating their recovery, rebuilding communities and reducing costs to taxpayers.

The National Flood Insurance Program consists of three major functions that focus on reducing flood risk and the impact of flood disasters:

- **Identifying and Analyzing Flood Risk.** The first component of the business strategy requires reliable information about flood risk. FEMA flood mapping activities help identify and analyze flood risk for communities nationwide by updating and maintaining community flood hazard information, including map maintenance and distribution activities that complement the Risk MAP activities. The Flood Mapping component of the strategy produces flood hazard maps, also known as Flood Insurance Rate Maps (FIRMs) that identify areas at risk of flooding. However, flood risk changes over time and many maps no longer reflect current risks, due to land development and changes in the environment. FEMA continues to produce more reliable, up-to-date flood data by using the latest mapping technology

and delivering it in a Geographic Information System (GIS)-based format. Flood hazard information is now available to a wide range of users including: the public, floodplain managers, developers, and the insurance industry. With the new maps, communities can more efficiently manage flood risks, land use, water resources, disaster mitigation, and disaster recovery operations. Property owners can more reliably assess their flood risks and make decisions about flood insurance based on those risks.

- **Reducing Flood Risk.** The second component of the business strategy is to reduce the risk associated with flood events through floodplain management as well as flood-related grants and assistance such as Flood Mitigation Assistance, Repetitive Flood Claims, and Severe Repetitive Loss.

FEMA promotes sound local Floodplain Management to reduce the risk to new or planned buildings and infrastructure, and funding in the form of Flood Related Grants for reducing existing community risk. The NFIP plays a critical role in encouraging communities to adopt and enforce floodplain management regulations and to implement broader floodplain management programs aimed at reducing risk to new or planned buildings and infrastructure. By law, FEMA can only provide flood insurance to those States or communities that adopt and vigorously enforce floodplain management regulations that meet or exceed minimum NFIP requirements. Communities incorporate NFIP requirements into their zoning codes, subdivision ordinances, and/or building codes or they adopt special purpose floodplain management ordinances.

The NFIP requirements include:

- Elevation of new and substantially improved residential structures above the base flood level
- Elevation or dry floodproofing (made watertight) of new or substantially improved non-residential structures
- Regulation of development in floodways, the central portion of a riverine floodplain needed to carry deeper and faster moving water, to ensure that there are no increases in upstream flood elevations
- Additional requirements to protect buildings in coastal areas from the impacts of waves, high velocity, and storm surge

These requirements are the most cost-effective way to reduce the flood risk to new buildings and infrastructure. Structures built to NFIP standards experience 80 percent less damage than structures not built to these standards and have resulted in \$1.2 billion per year in reduced flood losses.

FEMA provides funding to reduce the risk of flood damage to existing buildings and infrastructure by providing Flood Related Grants to states, communities and Tribal Nations. The NFIP funds three programs specifically designed to reduce the fund's loss exposure. The Flood Mitigation Assistance program (FMA) provides funds on an

annual basis so that measures can be taken to reduce or eliminate risk of flood damage to buildings insured under the NFIP. The Repetitive Flood Claims program (RFC) provides funding to reduce or eliminate the long-term risk of flood damage to structures insured under the NFIP that have had one or more flood claim payments. The Severe Repetitive Loss program (SRL) provides funds on an annual basis to reduce the risk of flood damage to residential structures insured under the NFIP that are qualified as severe repetitive loss structures.

- Insuring Flood Risk.** The third component of the business strategy is to insure against flood loss. NFIP provides a vehicle through which homeowners can take an active role in protecting their property against flood losses. Floods are the most common and costly natural disaster in the United States. Fortunately, property owners who live in communities participating in the NFIP can purchase affordable protection to insure against flood losses. Since 1969, the NFIP has paid over \$36 billion dollars in flood insurance claims that have helped hundreds of thousands of families and businesses recover from flood events. Most people who live or own businesses in NFIP participating communities are eligible to purchase federally-backed flood insurance. Even after a property has been damaged by flood previously, owners and renters are still eligible to purchase flood insurance, provided that the community is participating in the NFIP.

Residents who live in Special Flood Hazard Areas are required by law to purchase flood insurance if they have a mortgage from a federally regulated lender. They also must carry the insurance for the life of the mortgage. Residents with property outside high-risk areas can also purchase flood insurance and may be eligible for significant premium rate reductions. Flood Insurance Operations manages the insurance program by supporting various management activities, including underwriting, operations, and claims payments.

The following chart illustrates the steps that can be taken to reduce flood risk:



B – Budget Activities:

Funding for the National Flood Insurance Program is derived from two primary sources:

- Flood insurance premiums (mandatory) which is used to pay out claims and to provide funding to support the operating and administrative costs associated with maintaining the program. FEMA estimates mandatory premium collections of \$3.065 billion in FY 2011.
- Policy fee income (discretionary) which also is paid by flood insurance policy holders which supports floodplain management, flood mapping, insurance operations, flood-related grants, and NFIP management. For FY 2011, FEMA projects fee collections of \$169.0 million, which reflect an increase of \$23 million in additional revenue resulting from increases in the policy fee that went into effect in FY 2010.

The NFIP appropriation supports the following key program elements:

NFIP Management and Flood Insurance Operations

- **NFIP Management** – NFIP management reflects the overall management of the Flood Insurance Program. FEMA applies insurance concepts and methods to reduce the nation's vulnerability to natural hazards and manages the National Flood Insurance Program (NFIP) to provide consumer-oriented flood insurance to accelerate recovery from floods, to mitigate future losses and to reduce personal and national costs of flood disasters. FEMA administers the NFIP so that insurance and floodplain management policies and operations are mutually reinforcing. Further, FEMA works to increase the NFIP policy base so that more people are indemnified by insurance for future flood losses, facilitating their recovery, rebuilding communities and reducing costs to taxpayers.
- **Flood Insurance Operations** - Flood Insurance Operations provides for all aspects of managing the insurance program including: the development and oversight of insurance coverage policy and regulations; analysis and evaluation of insurance risks and claims data used to determine premium rates; and, oversight of insurance companies that write flood insurance policies and adjust claims.

Floodplain Management and Flood Mapping

- **Flood Mapping and Risk Analysis** - Flood Mapping produces flood hazard maps, also known as Flood Insurance Rate Maps (FIRMs) that identify areas at risk of flooding. Land development and changes in the environment change flood risk over time and causes many maps to become outdated. This program enables FEMA to produce reliable, up-to-date flood data by using the latest mapping technology and delivering it in a Geographic Information System (GIS)-based format. With the new maps, communities can more efficiently manage flood risks, land use, water resources, disaster mitigation, and disaster recovery operations. Property owners can

more reliably assess their flood risks and make decisions about flood insurance based on those risks.

- **Floodplain Management** - The National Flood Insurance Program plays a critical role in encouraging communities to adopt and enforce floodplain management regulations. Communities are informed and educated about the benefits of implementing broader floodplain management programs aimed at reducing risk to new or planned buildings and infrastructure. By law, FEMA can only provide flood insurance to those States or communities that adopt and vigorously enforce floodplain management regulations that meet or exceed minimum NFIP requirements. The NFIP works with communities to incorporate these requirements into their zoning codes, subdivision ordinances, and/or building codes. In some cases, communities receive assistance with efforts to adopt special purpose floodplain management ordinances.

National Flood Insurance Fund (Mandatory)

The National Flood Insurance Act of 1968 (42 U.S.C. 4001), as amended, authorizes the Federal Government to provide flood insurance on a national basis. Flood insurance may be sold or continued only in communities that participate in the NFIP and enact and enforce appropriate floodplain management measures. Federally regulated funding institutions cannot provide loans to non-participating communities with an identified flood hazard.

Flood Related Grants

The National Flood Insurance Fund supports flood hazard reduction efforts facilitated through its flood related grants and assistance program: Flood Mitigation Assistance, Repetitive Flood Claims, and Severe Repetitive Loss. These programs reduce the risk of flood damage to existing buildings and infrastructure by providing grants to states, communities and tribal nations. The Flood Mitigation Assistance (FMA) grants provide funds for activities that decrease or eliminate risk of flood damage to structures insured under the NFIP. The Severe Repetitive Loss (SRL) and the Repetitive Flood Claims (RFC) fund activities that decrease the long-term risk of flood damage to residential structures insured under the NFIP that have experienced repetitive losses from previous flood damage.

Table One below shows the how NFIP funding supports the six key activities described above. It also shows how the Flood Map Modernization Fund supports flood mapping activity:

Funding Source	Floodplain Management	Flood Mapping / Risk Analysis	Flood Mitigation & Insurance Ops	TOTAL
NFIF Salaries & Expenses	\$ 17,877,481	\$ 10,224,307	\$ 22,145,000	\$ 50,246,788
NFIF Program Funds	\$ 12,354,753	\$ 106,398,459		\$ 118,753,212
NFIF Flood Insurance Operations			\$ 85,000,000	\$ 85,000,000
NFIF Flood Related Grants			\$ 50,000,000	\$ 50,000,000
Flood Hazard Mapping & Risk Analysis (formerly FMMF)		\$ 194,000,000		\$ 194,000,000
TOTAL	\$ 30,232,234	\$ 310,622,766	\$ 157,145,000	\$ 498,000,000
FTE	93	134	103	330

C – Budget Request Summary:

The FY 2011 budget request for NFIP reflects the following elements:

- Budget authority from mandatory premium collections of \$3.015 billion in FY 2011. This reflects \$50.5 million in additional premium collections from estimated flood policy rate increases. The rate increase is based on the Annual Actuarial Rate Review conducted to ensure that premium rates are adequate to meet projected claims requirements. These funds will be used to pay claims of the National Flood Insurance Program (NFIP) in addition to operating expenses. These funds will also support the Repetitive Flood Claims and the Flood Mitigation Assistance programs. The Severe Repetitive Loss program will not receive new funding in FY 2011 but instead will operate from unobligated balances. Currently, there is \$113 million unobligated and available for this program in FY 2011.
- Discretionary fee authority of \$169.0 million in FY 2011 for the National Flood Insurance Fund. FEMA anticipates \$23 million in additional revenue for FY 2011 resulting from increases in the policy fee that will go into effect by May 1, 2010. This represents an average increase of 14 percent for Special Flood Hazard Area policies. The overall fee increase represents less than 1 percent of the average policy premium of \$560 and brings the total increase in policy fees over the past ten years to \$10. The additional revenue will be used to increase support flood mapping and floodplain management activities. In addition, the policy fee increase will help strengthen management, oversight, and community compliance activities of the National Flood Insurance Program (NFIP) including improving oversight of the 85 Write-Your-Own insurance companies that sell and service 5.6 million NFIP policies.

Table Two shows the fee increases for the various policy categories.

	Previous Fee Rate	Increase (in dollars)	Revised Fee Rate
Preferred Risk Policy (PRP)	\$13	\$7	\$20
Single family and condos	35	5	40
2 - 4 Units	70	10	80
5 - 10 Units	175	25	200
11 - 20 Units	385	55	440
21 or More Units	735	105	840

**Group Flood policies are policies that are written to financially disadvantaged people after a Presidential Disaster Declaration and pay no Federal Policy Fee.*

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund**

Summary of FY 2011 Budget Estimates by Program/Project Activity
FY 2011 Request
(Dollars in Thousands)

Program/Project Activity	FY 2009 Actuals		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Flood Mitigation and Flood Insurance Operations	264	\$39,719	242	\$38,680	81	\$22,145	(161)	(\$16,535)	---	---	(161)	(\$16,535)
Floodplain Management and Flood Mapping	---	\$105,706	---	\$107,320	179	\$146,855	179	39,535	---	---	179	39,535
National Flood Insurance Fund - Mandatory	---	\$4,695,472	---	\$2,965,000	---	\$3,015,546	---	50,546	---	---	---	50,546
Severe Repetitive Loss	1	\$69,558	18	\$70,000	18	\$0	---	(70,000)	---	(70,000)	---	---
Repetitive Flood Claims	---	\$8,588	---	\$10,000	---	\$10,000	---	---	---	---	---	---
Flood Mitigation Assistance	0	\$31,504	11	\$40,000	11	\$40,000	---	---	---	---	---	---
Subtotal, Enacted Appropriations and Budget Estimates	265	\$4,950,547	271	\$3,231,000	289	\$3,234,546	18	\$3,546	---	(\$70,000)	18	\$73,546
Less: Adjustments for Other Funding Sources:												
Offsetting Collections - Mandatory	(1)	(\$4,812,373)	(29)	(\$3,085,000)	(29)	(\$3,065,546)	---	19,454	---	\$70,000	---	(50,546)
Net, Enacted Appropriations and Budget Estimates	264	\$138,174	242	\$146,000	260	\$169,000	18	\$23,000	---	\$0	18	\$23,000

III. Current Services Program Description by PPA

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
Program Performance Justification**
(Dollars in Thousands)

PPA: Flood Mitigation and Flood Insurance Operations

	Perm. Pos	FTE	Amount
2009 Actuals	330	264	39,719
2010 Enacted	310	242	38,680
2011 Adjustments-to-Base	-177	-139	-16,535
2011 Current Services	133	103	22,145
2011 Program Change			
2011 Total Request	133	103	22,145
Total Change 2010 to 2011	-177	-139	-16,535

FEMA requests \$22.1 million in FY 2011 for this activity, a net decrease of \$16.5 million from the FY 2010 Enacted. This adjustment reflects FEMA's proposal to consolidate staffing, operational and program funding dedicated to floodplain management and flood mapping activities under that PPA. Funding will provide for the annualization of 2010 pay increases, the 2011 cost of living allowance, and inflation.

CURRENT SERVICES PROGRAM DESCRIPTION:

This PPA supports National Flood Insurance Program (NFIP) management functions, programs, and activities, including the salaries and expenses of program management and implementation staff at FEMA's national and ten regional offices. NFIP management supports the management and administration of the key program activities of NFIP: flood mapping, flood plain management, insurance operations, payment of insurance claims, and flood-related grant programs in a separate PPA.

Flood Insurance Operations activities include:

- Actuarial management to analyze insurance risks, claims data, and financial models in order to evaluate and communicate all aspects of the financial solvency of the program and to set the appropriate premium rates.
- Operations management for more than 5.6 million NFIP flood policies with over \$1.1 trillion of insurance in force, to include issuance, renewal, claims, and resolution of claims appeals.

- Underwriting management to set policy and develop regulations regarding insurance coverage eligibility and the classification of risks.
- Claims management to set policy and develop regulations regarding the adjustment and payment of claims.
- Management of the private insurance companies that write flood insurance policies and adjust claims for the NFIP, including conducting periodic operational reviews.
- Education, training, and technical assistance for private insurance company agents and adjustors.
- Management of the vendors that supply services to the NFIP, such as the Bureau and Statistical Agent and the Direct Servicing Agent.
- Management of flood insurance marketing and public communications, including advertising, community outreach programs and publicity.
- Partnering with stakeholders in the private sector and other government agencies, including lenders who require the purchase of flood insurance for certain loans.

PPA: Floodplain Management and Flood Mapping

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	0	0	105,706
2010 Enacted	0	0	107,320
2011 Adjustments-to-Base	177	157	39,535
2011 Current Services	177	157	146,855
2011 Program Change			
2011 Total Request	177	157	146,855
Total Change 2010 to 2011	177	157	39,535

FEMA requests \$146.9 million in FY 2011 for this activity, a net increase of \$39.5 million above the FY 2010 Enacted. This adjustment includes the realignment of \$16.5 million and 209 positions from the NFIP Management and Flood Insurance Operations PPA (formerly Salaries and Expenses) to consolidate staffing and operational costs with floodplain management and flood mapping program funding under the same PPA.

The FY 2011 Request also provides a \$23 million increase in revenue that will be used to support additional floodplain management and flood mapping activities.

CURRENT SERVICES PROGRAM DESCRIPTION:

FEMA's Flood Mapping and Risk Analysis program provides the identification and delivery of flood hazard data and communicates flood risk information through flood insurance rate maps and related flood risk assessments products. Under the flood mapping program, grantees and contractors produce the flood insurance rate maps and related flood risk assessments as well as other regulatory letters of map change. FEMA supports this effort by:

1. Assisting community officials in understanding the impacts of flood risk;
2. Overseeing and managing risk analysis grants and contracts;
3. Addressing technical engineering issues and concerns raised by grantees, contractors, individuals and businesses; and,
4. Supporting community adoption of the land use and building code requirements when Flood Insurance Rate Map changes are proposed.

As noted above, FEMA flood mapping activities are funded from two primary sources of funds -- the Flood Map Modernization Fund (FMMF) appropriation and fees received from policy holders under the National Flood Insurance Program (NFIP). This shared funding is critical to the development and implementation of new flood maps in communities across the nation.

The work accomplished through the NFIP includes some production but primarily enables the program to meet statutory and regulatory requirements for processing map

change requests from communities and citizens; respond to stakeholder correspondence; distribute flood hazard data products; establish and maintain cost and schedule controls; track and monitor performance; and, support the development of State and local capabilities to participate in the management and delivery of Risk MAP through the Cooperating Technical Partners (CTP) program and other core program functions.

Since FY 2009, flood mapping activities have surged as new flood maps with updated risk information have been developed. Communities who receive their preliminary maps are given twelve months from the date of receipt to adopt and put them into effect unless there are protracted community appeals and concerns.

FY 2009 accomplishments include:

- Provided ongoing map maintenance activities; issued more than 25,000 Letters of Map Change and more than 1,500 Letters of Map Revision.
- Distributed map products to more than 2,050 communities and enhanced the distribution services – including provisions for digital products, subscription services, and links to other hazard data for community officials, homeowners, banks, lenders, real estate agents, and other interested parties.
- Provided program management oversight of grantees and contractors performing flood risk analyses.
- Provided funding to States for the development of the capability and capacity to manage the production of and to maintain flood hazard data. These efforts complemented and supported the Flood Map Modernization Fund activities.

FY 2010 planned accomplishments include:

- Provide ongoing map update activities based on submissions from communities and applicants, including approximately 26,000 Letters of Map Change and approximately 1,500 Letters of Map Revision.
- Distribute map products to approximately 3,000 communities and enhance the distribution of digital products, subscriptions, and links to other hazard data provided to community officials, homeowners, banks, lenders, real estate agents, and other interested parties, particularly as FEMA's ceases production of paper map products.
- Provide program management oversight of grantees and contractors performing flood risk analyses.
- Support the expansion of risk analysis capability and capacity among States and other regional governments. When capable, FEMA delegates the management and production of Flood Insurance Rate Map, flood risk analysis, and/or Letters of Map Revision to Cooperating Technical Partners (State, regional, and local governments with the capability and interest in performing these functions.)

FY 2011 planned accomplishments include:

- Provide ongoing map update activities based on submissions from communities and applicants and distribute digital products, subscriptions, and links to other hazard data provided to community officials, homeowners, banks, lenders, real estate agents, and other interested parties. FEMA will review more than 26,000 Letters of Map Change

and more than 1,500 Letters of Map Revision in FY 2011. The digital products depicting flood hazards will be used more than 30 million times in FY 2011.

- Provide program management oversight of grantees and contractors performing flood risk analyses as demonstrated through earned value, quality, and other performance metrics.
- Support the expansion of risk analysis capability and capacity among States and other regional governments. When capable, FEMA delegates the management and production of Flood Insurance Rate Map, flood risk analysis, and/or Letters of Map Revision to Cooperating Technical Partners (State, regional, and local governments with the capability and interest in performing these functions.)

Floodplain Management programs are designed to identify and assess risk and to reduce risk through land use and building code regulations. Through these programs, FEMA encourages communities and their citizens to take informed and effective mitigation actions before a flood in order to reduce the long-term risk to people and property. Structures built to NFIP standards experience 80% less damage than structures not built to these standards.

The NFIP plays a critical role in encouraging communities to adopt and enforce floodplain management regulations and to implement broader floodplain management programs aimed at reducing risk to new or planned buildings and infrastructure. The National Flood Insurance Act of 1968 states that FEMA can only provide flood insurance to those States or communities that adopt and vigorously enforce floodplain management regulations that meet or exceed minimum NFIP requirements. Communities incorporate NFIP requirements into their zoning codes, subdivision ordinances, and/or building codes. They can also choose to adopt special purpose floodplain management ordinances.

The NFIP requirements include:

- Elevation of new and substantially improved residential structures above the base flood level
- Elevation or dry flood proofing (made watertight) of new or substantially improved non-residential structures
- Regulation of development in floodways, the central portion of a riverine floodplain needed to carry deeper and faster moving water, to ensure that there are no increases in upstream flood elevations
- Additional requirements to protect buildings in coastal areas from the impacts of waves, high velocity wind, and storm surge

These requirements are the most cost-effective way to reduce the flood risk to new buildings and infrastructure. Structures built to NFIP standards experience 80 percent less damage than structures not built to these standards and have resulted in \$1.5 billion in fiscal year 2009 in reduced flood losses.

In addition to various Floodplain Management programs, FEMA also provides operational and administrative support for the Community Rating System. The

Community Rating System (CRS) is a voluntary program implemented in 1990 as an incentive-based program designed to recognize and encourage community floodplain management activities that exceed the minimum NFIP standards. Under the CRS, flood insurance premium rates are adjusted to reflect the reduced flood risk resulting from community activities that meet CRS goals, including reduction of flood losses, accurate insurance rating, and promotion of flood insurance awareness.

Participating communities are rated by Class from 1 to 10, with Class 1 communities receiving the greatest premium rate reductions. Non-participating communities are rated as Class 10. Credits can be applied toward a community's CRS classification for various activities under the following floodplain management headings:

- Public Information - includes outreach to citizens about flood risk management steps they can take to minimize risk.
- Mapping Regulations - enhances the community's floodplain management efforts.
- Flood Damage Reduction - includes removal of flood-prone structures, hardening of critical facilities, etc.
- Flood Preparedness - ensures citizens know evacuation routes and first responders are prepared for floods and flood hazards.

FY 2009 accomplishments include:

- Developed a variety of outreach materials to assist all entities of Federal, State, and local governments to effectively maintain sound floodplain management practices, and educate the general public on mitigation actions that may be taken in a pre-disaster environment.
- Provided technical assistance to the 20,900 plus communities participating in the NFIP and monitored the compliance with program requirements.
- Provided grant funds to States and territories to help furnish this technical assistance and monitoring.
- Developed policy, guidance, and regulations to improve implementation of floodplain management at the State and community levels to enhance compliance by communities with NFIP requirements.
- Reduced potential annual flood losses by nearly \$1.5 billion through NFIP insurance and floodplain management activities.

FY 2010 planned accomplishments include:

- Increase Community Rating System (CRS) participation by at least 3 percent and class improvements by 5 percent. The program has established annual performance metrics and tracking. In FY 2009, the program achieved the following results and exceeded its targets:
 - 31 communities joined the CRS, raising the total number of CRS communities from 1,089 in FY 2008 to 1,120 in FY 2009.
 - 86 CRS communities achieved class improvements of which 29 communities improved to CRS Class 6 or better.
- Publish proposed rule-strengthening floodplain management in over 20,900 participating communities.

- Reduce potential annual flood losses by up to an additional 7 percent through NFIP insurance and floodplain management activities.
- Support the development of the capacity for State and local governments to manage the production of and to maintain flood hazard data. These efforts complement and support the Flood Map Modernization Fund activities.

FY 2011 planned accomplishments include:

- Continue to increase Community Rating System (CRS) participation and class improvements. Performance metrics are currently being determined for FY 2011 based on planned activities.
- Reduce potential annual flood losses by up to an additional 7 percent through NFIP insurance and floodplain management activities.
- Support the development of the capacity for State and local governments to manage the production of and to maintain flood hazard data. These efforts complement and support the Flood Map Modernization Fund activities.

PPA: National Flood Insurance Fund Offsetting Collections - Mandatory

	Perm Pos	FIE	Amount
2009 Actuals	0	0	4,695,472
2010 Enacted	0	0	2,965,000
2011 Adjustments-to-Base			50,546
2011 Current Services	0	0	3,015,546
2011 Program Change			
2011 Total Request	0	0	3,015,546
Total Change 2010 to 2011	0	0	50,546

FEMA requests \$3.015 billion in FY 2011 for this activity, an increase of \$50.5 million above the FY 2010 Enacted. This adjustment reflects FEMA’s plan to increase fee rates certain rate categories. Funding will provide for the payment of flood claims and operating costs of the program including: WYO expenses and commissions and taxes of agents and interest expenses.

CURRENT SERVICES PROGRAM DESCRIPTION:

The National Flood Insurance Act of 1968 (42 U.S.C. 4001), as amended, authorizes the Federal Government to provide flood insurance on a national basis. Flood insurance may be sold or continued only in communities that participate in the NFIP and enact and enforce appropriate floodplain management measures. Federally regulated funding institutions cannot provide loans to non-participating communities with an identified flood hazard.

The NFIP limits the impact of disasters by encouraging property owners and others to manage their risk through flood insurance and other hazard insurance mechanisms. More than 20,800 communities in all States and territories participate in the NFIP. Structures built to NFIP criteria experience 80% less damage through reduced frequency and severity of losses. The floodplain management program requirements are estimated to save over \$1.4 billion per year in flood losses avoided.

Despite the unsettled economy of FY 2009, the NFIP saw a 1 percent growth in policy retention in FY 2009 over FY 2008. FEMA uses three strategies to increase the number of flood insurance policies in force: enhancing lender compliance, simplifying program operations, and expanded marketing. For example, FEMA is enhancing lender compliance by educating financial regulators about the mandatory flood insurance requirement for properties that are located in floodplains and have mortgages from federally regulated lenders to strengthen lender compliance which may result in policy growth. FEMA is simplifying program operations by streamlining forms, making computer systems more efficient, and expanding the use of plain-language insurance

materials. FEMA continues marketing flood insurance nationwide through its FloodSmart education campaign targeting the consumer market.

For FY 2011, FEMA anticipates \$50.5 million in additional premium collections based on estimated flood policy rate increases. The rate changes occur based on the Annual Actuarial Rate Review that determines future premium level needs by combining the estimates of the number of claims based on: (a) theoretical probability curves; and (b) the average severity of those claims by reviewing past loss history with the future expenses.

FY 2009 accomplishments include:

- Despite a 1.02% decline in net policy growth due to a down economy program performance includes 5.56 million flood insurance policies, \$2.97 billion in written premium, and over \$1.19 trillion insurance in force.
- Reduced subsidies to pre-Flood Insurance Rate Map (FIRM) properties to 22.2%.
- Saved an estimated \$1.5 billion in annual flood disaster losses
- Expanded program management and oversight of the 85 Write-Your-Own insurance companies that sell and service NFIP policies including the thousands of insurance agents and claims adjusters who deliver the insurance program to individual customers.

FY 2010 planned accomplishments include:

- Increase the number of NFIP policies with the active assistance of new and existing program partners by 5 percent.
- Reduce subsidies to pre-Flood Insurance Rate Map (FIRM) properties by 5 percent. The National Flood Insurance Program has the ability to increase the rates on subsidized policyholders administratively. Since Hurricane Katrina, four separate increases for subsidized policyholders have increased the average premium by 34%. The plan to reduce subsidies over the next five years will address the shortfall due to the subsidy currently estimated at \$1 billion (the amount by which long term expected losses and current operating expenses exceeds current premium revenue). Our goal is to reduce that subsidy by 25% over a 5-year period. The goal for FY 2010 is a \$50 million reduction.
- Achieve progress in operating efficiency by improving the NFIP income to combined loss and expense ratio by 1 percent.
- The National Flood Insurance Program (NFIP) held a Listening Session on November 5-6, 2009 in Washington, DC. There were over 175 participants representing a very broad set of stakeholder groups. The NFIP collected many valuable comments dealing with concerns relative to the NFIP, and many ideas on how to improve the products and services being provided. Additional valuable input relative to the NFIP has been collected through the website comment page. A multi-program area workgroup will analyze these comments and draft a path forward. The work group will be work with FEMA leadership to prioritize improvement opportunities.

FY 2011 planned accomplishments include:

- Achieve performance goal of increasing the number of NFIP policies by five percent by developing program partnerships and continuing marketing activities including

lender compliance, program simplification, and a comprehensive national marketing program.

- Reduce subsidies to pre-Flood Insurance Rate Map (FIRM) properties through NFIP flood loss reduction grants. The goal for FY 2011 is to reduce the subsidy by an additional 5 percent.
- Achieve progress in operating efficiency by improving the NFIP income to combined loss and expense ratio by 1 percent through a concentrated, detailed actuarial rate review of the NFIP.

PPA: Severe Repetitive Loss Program (Flood Related Grants)

	<u>Perm Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	14	1	69,558
2010 Enacted	18	18	70,000
2011 Adjustments-to-Base			
2011 Current Services	18	18	70,000
2011 Program Change			-70,000
2011 Total Request	18	18	0
Total Change 2010 to 2011	0	0	-70,000

The FY 2011 Request provides no new funding for this program. This represents a \$70.0 million decrease from the FY 2010 Enacted. The Severe Repetitive Loss Program has sufficient unobligated balances to provide for the salaries and expenses needed to fully operate and to continue awarding grants.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Severe Repetitive Loss Mitigation (SRL) Program is a mandatory program which provides funding to reduce or eliminate the long-term risk of flood damage to severe repetitive loss residential structures insured under the NFIP. Section 1361A of the National Flood Insurance Act (42 U.S.C. § 4102a) defines an SRL property as a residential property that is covered under an NFIP flood insurance policy and:

- (a) That has at least four NFIP claim payments (including building and contents) over \$5,000 each, and the cumulative amount of such claims payments exceeds \$20,000; or
- (b) For which at least two separate claims payments (building payments only) have been made with the cumulative amount of the building portion of such claims exceeding the market value of the building.

For both (a) and (b) above, at least two of the referenced claims must have occurred within any 10-year period, and must be greater than 10 days apart. There are approximately 8,800 properties meeting the legislative definition of severe repetitive loss.

The long-term goal of the SRL program is to reduce or eliminate claims under the NFIP through project activities that will result in the greatest savings to the NFIP in the shortest period of time. FEMA may contribute up to 75% Federal funding for the amount approved under the grant award to implement approved activities. Any State or federally recognized Indian Tribal government that has taken actions to reduce the number of

repetitive loss properties, including severe repetitive loss properties, and has a FEMA-approved State Mitigation Plan that specifies how it has and how it intends to reduce the number of such repetitive loss properties, is eligible to receive an increased Federal cost share of up to 90% Federal funding for SRL grants. Unlike the other flood mitigation grant programs, SRL focuses on the most severe repetitive loss residential structures.

FY 2009 accomplishments include:

- Awarded \$63.0 million in assistance grants for mitigation activities affecting 410 SRL properties.
- Aligned all four pre-disaster mitigation programs into a unified Hazard Mitigation Assistance (HMA) program guidance and application cycle. This comprehensive approach helped FEMA accomplish the HMA objectives of efficiency and standardization, thus creating a platform for future updates and refinements of program policies and practices to make them more unified and user-friendly.
- Engaged partners and coordinated the SRL program to identify opportunities for future program improvements.

FY 2010 planned accomplishments include:

- Align all five mitigation programs (including HMGP) into unified Hazard Mitigation Assistance program guidance.
- Provide opportunities for transparency and partnership with States, territories, and tribal and local governments through the HMA Summit, the External Stakeholders Workgroup, focus groups and training courses.
- Provide up to \$45.0 million in grant funds for mitigation activities affecting approximately 300 properties. These measures are expected to provide a savings to the National Flood Insurance Program of approximately \$90.0 million in reduced claims payments.
- Continue to refine and apply an enhanced cost-effectiveness approach based on past insurance losses to make it easier for State and local communities to demonstrate the cost effectiveness requirements of the mitigation grant programs.
- Continue to identify and implement internal program improvements to increase the effectiveness of the SRL program.

FEMA has determined that there is sufficient carryover funding to deliver and administer the SRL program for FY 2011. Additional funding will be requested to deliver and administer the SRL program in 2012.

FY 2011 planned accomplishments include:

- Evaluate the enhanced cost effectiveness approach based on past insurance losses to determine its value to the SRL program and other flood grant programs.
- Use unobligated balances to provide up to \$45.0 million in grant funds for mitigation activities affecting approximately 300 properties.

PPA: Repetitive Flood Claims Program (Flood Related Grants)

	<u>Perm Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	0	0	8,588
2010 Enacted	0	0	10,000
2011 Adjustments-to-Base			
2011 Current Services	0	0	10,000
2011 Program Change			
2011 Total Request	0	0	10,000
Total Change 2010 to 2011	0	0	0

The FY 2011 Request provides no change in funding from FY 2010 Enacted. Funding will support the FY 2011 grant awards program and related operational costs.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Repetitive Flood Claims (RFC) grant program was established by the Flood Insurance Reform Act of 2004 (P.L. 108-264) as a mandatory program that provides funding to reduce or eliminate the long-term risk of flood damage to structures insured under the NFIP that have had one or more flood claim payments. The long-term goal of RFC program is to reduce or eliminate claims under the NFIP through mitigation activities that are in the best interest of the NFIP.

RFC grants are awarded on a national basis without reference to State allocations, quotas, or other formula-based allocations of funds. Funding is restricted to a maximum of \$1.0 million for minor localized flood reduction projects. RFC grants are not limited to residential flood mitigation projects.

FY 2009 accomplishments include:

- Awarded \$8.0 million in assistance grants for mitigation activities affecting 44 properties.
- Aligned all four pre-disaster mitigation programs into a unified Hazard Mitigation Assistance (HMA) program guidance and application cycle. This comprehensive approach helped FEMA accomplish the HMA objectives of efficiency and standardization, thus creating a platform for future updates and refinements of program policies and practices to make them more unified and user-friendly.
- Engaged partners through the SRL Focus Workgroup, the External Stakeholder Workgroups, the HMA Summit and HMA stakeholder training to help identify programmatic and process efforts that will enable both stakeholders and FEMA to more efficiently and effectively deliver the RFC program. FEMA will continue to

evaluate the program requirements and processes and the award processes to determine where refinements can be made that improve the overall effectiveness and delivery of the program.

FY 2010 planned accomplishments include:

- Align all five mitigation programs into a unified Hazard Mitigation Assistance (HMA) program guidance.
- Provide opportunities for transparency and partnership with States, territories, and tribal and local governments through the HMA Summit, the External Stakeholders Workgroup, focus groups and training courses.
- Provide up to \$10.0 million in grant funds for mitigation activities affecting approximately 40 properties. These measures are expected to provide a savings to the National Flood Insurance Program of approximately \$20.0 million in reduced claims payments.

FY 2011 planned accomplishments include:

- Identify and implement program improvements to increase the effectiveness of the RFC program. The enhanced cost-effectiveness approach for the SRL program will be considered for use in the RFC program.
- Continue to provide opportunities for transparency and partnership with States, territories, and tribal and local governments through the HMA Summit, the External Stakeholders Workgroup, focus groups and training courses.
- Provide up to \$10.0 million in grant funds for mitigation activities affecting approximately 40 properties.

PPA: Flood Mitigation Assistance Program (Flood Related Grants)

	Perm Pos	FTE	Amount
2009 Actuals	8	0	31,504
2010 Enacted	11	11	40,000
2011 Adjustments-to-Base			
2011 Current Services	11	11	40,000
2011 Program Change			
2011 Total Request	11	11	40,000
Total Change 2010 to 2011	0	0	0

The FY 2011 Request provides no change in funding from FY 2010 Enacted. Funding will support the FY 2011 grant awards program and related operational costs.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Flood Mitigation Assistance (FMA) grant program is a mandatory program which provides funding to States, federally recognized Indian tribal governments, and communities so that cost-effective measures can be taken to reduce or eliminate the long-term risk of flood damage to buildings, manufactured homes, and other structures insured under the NFIP.

The total amount of FMA grant funds provided during any 5-year period will not exceed \$10.0 million to any State agency or \$3.3 million to any community. The total amount of FMA grant funds provided to any State, including all communities located in the State, will not exceed \$20.0 million during any 5-year period. However, the Administrator may waive these limits for any 5-year period when a major disaster or emergency is declared pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act for flood conditions.

FY 2009 accomplishments include:

- Awarded \$28.0 million in assistance grants for mitigation activities affecting 174 properties.
- Aligned all four pre-disaster mitigation grant programs into a unified Hazard Mitigation Assistance (HMA) program guidance and application cycle. This comprehensive approach accomplished HMA objectives of efficiency and standardization, thus creating a platform for future updates and refinements of program policies and practices to make them more unified and user-friendly.
- Reduce potential annual losses to the NFIP by \$56.0 million through FMA grants based on a ratio of \$2 in savings for every \$1 spent supporting mitigation activities.

FY 2010 planned accomplishments include:

- Finalize alignment of all five mitigation grant programs (including HMGP) into a unified Hazard Mitigation Assistance (HMA) program guidance.
- Provide opportunities for transparency and partnership with States, territories, and tribal and local governments through the HMA Summit, the External Stakeholders Workgroup, focus groups and training courses.
- Reduce potential annual losses to the NFIP by \$80.0 million through the FMA grants.

FY 2011 planned accomplishments include:

- Identify and implement program improvements to increase the effectiveness of the FMA program. The enhanced cost-effectiveness approach for the FMA program will be considered for use in the FMA program.
- Continue to provide opportunities for transparency and partnership with States, territories, and tribal and local governments through the HMA Summit, the External Stakeholders Workgroup, focus groups and training courses.
- Provide up to \$40.0 million in grant funds for mitigation activities.

IV. Program Justification Changes

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund**

Justification of Program Changes
(Dollars in Thousands)

Program Decrease #1: Severe Repetitive Loss Program

Program Decrease: -\$70,000

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	-	-	-	-	-	-	18	18	70,000
Program Decrease	-	-	-	-	-	-			-70,000
Total Request							18	18	0

Description of Item

The FY 2011 Request does not include new funding for the Severe Repetitive Loss Program.

Justification

The Severe Repetitive Loss Program has retained a large unobligated balance that is substantial enough to fully support the program and provide sufficient of funding for awarding grants in FY 2011. Currently, there are \$113 million in unobligated balances for this program in FY 2011. The program will not be impacted by a reduction in funding. In fact, the program will be able refine the method it uses to process grants with the goal of becoming more efficient and timely. This will align the program's funding to its historical rate of obligation.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in National Flood Insurance Fund
Appropriation Language**

For activities under the National Flood Insurance Act of 1968 (42 U.S.C. 4001 et seq.) and the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001 et seq.), **\$169,000,000, which shall remain available until September 30, 2012 and shall** be derived from offsetting collections assessed and collected under section 1308(d) of the National Flood Insurance Act of 1968 (42 U.S.C. 4015(d)), which is available for salaries and expenses associated with flood mitigation and flood insurance operations; and, flood plain management and flood mapping: **Provided, That not to exceed \$22,145,000 shall be available for salaries and expenses associated with flood mitigation and flood insurance operations: Provided further, That** any additional fees collected pursuant to section 1308(d) of the National Flood Insurance Act of 1968 (42 U.S.C. 4015(d)) shall be credited as an offsetting collection to this account, to be available for flood plain management and flood mapping: Provided further, That in fiscal year **2011**, no funds shall be available from the National Flood Insurance Fund under section 1310 of that Act (42 U.S.C. 4017) in excess of: (1) \$85,000,000 for operating expenses; (2) **\$1,035,105,000** for commissions and taxes of agents; (3) such sums as are necessary for interest on Treasury borrowings; and (4) \$50,000,000, which shall remain available until expended for flood mitigation actions, of which \$10,000,000 is for repetitive insurance claims properties under section 1323 of the National Flood Insurance Act of 1968 (42 U.S.C. 4030), and of which \$40,000,000 is for flood mitigation assistance under section 1366 of the National Flood Insurance Act of 1968 (42 U.S.C. 4104c) notwithstanding subparagraphs (B) and (C) of subsection (b)(3) and subsection (f) of section 1366 of the National Flood Insurance Act of 1968 (42 U.S.C. 4104c) and notwithstanding subsection (a)(7) of section 1310 of the National Flood Insurance Act of 1968 (42 U.S.C. 4017): Provided further, That amounts collected under section 102 of the Flood Disaster Protection Act of 1973 and section 1366(i) of the National Flood Insurance Act of 1968 shall be deposited in the National Flood Insurance Fund to supplement other amounts specified as available for section 1366 of the National Flood Insurance Act of 1968, notwithstanding 42 U.S.C. 4012a(f)(8), 4104c(i), and 4104d(b)(2)-(3): Provided further, That total administrative costs shall not exceed 4 percent of the total appropriation.(Department of Homeland Security Appropriations Act, 2010)

Explanation of Change:

FEMA proposes to modify the language to remove the no less than restriction. The proposed language modifications are also needed to reflect the realignment of staffing and operating costs associated with floodplain management and flood mapping under a single PPA.

B: FY 2010 to FY 2011 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
FY 2010 to FY 2011 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2009 Actuals	352	265	\$4,950,547
FY 2010 Enacted	339	271	146,000
Adjustments-to-Base			
Increases			
Annualization of 2010 pay raise and vacancy fills.....	-	18	572
2011 pay increase.....	-	-	1,716
GSA Rent.....	-	-	118
Anticipated Federal Policy fee increase.....	-	-	23,000
Total Increases.....	-	18	25,406
Decreases			
Non-recurring costs and funding adjustments.....			(2,406)
Total Decreases.....	-	-	(2,406)
Total Adjustments-to-Base	-	18	23,000
2011 Current Services	339	289	169,000
Program Changes			
Program Increases/(Decreases)			
Total Program Changes	-	-	-
Offsetting Fee Collections - National Flood Insurance Fund - Mandatory			3,065,546
Adjustment for Other Funding Sources			(\$3,065,546)
2011 Request	339	289	169,000
2010 to 2011 Total Change	-	18	23,000

C: Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
Summary of Requirements
(Dollars in Thousands)**

	2011 Request		
	Perm. Pos.	FTE	Amount
FY 2009 Actual	352	264	\$138,174
2010 Enacted	339	242	146,000
Adjustments-to-Base (See "FY 2010 to FY 2011 Budget Change" for details)			
Transfers	---	---	---
Increases	---	18	25,406
Decreases	---	---	(2,406)
Total Adjustments-to-Base	---	18	23,000
2011 Current Services	339	260	169,000
Program Changes (See "FY 2010 to FY 2011 Budget Change" for details)	---	---	---
2011 Total Request	339	260	169,000
2010 to 2011 Total Change	---	18	23,000

Estimates by Program/Project Activity	2010 Enacted			2011 Adjustments-to-Base			2011 Program Change			2011 Request			2010 to 2011 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Flood Mitigation and Flood Insurance Operations	310	242	38,680	(209)	(161)	(16,535)	---	---	\$ ---	101	81	\$22,145	(209)	(161)	(\$16,535)
2 Floodplain Management and Flood Mapping	---	---	107,320	209	179	39,535	---	---	---	209	179	146,855	209	179	39,535
3 National Flood Insurance Fund - Mandatory	---	---	2,965,000	---	---	50,546	---	---	---	---	---	3,015,546	---	---	50,546
4 Severe Repetitive Loss	18	18	70,000	---	---	---	---	---	(70,000)	18	18	---	---	---	(70,000)
5 Repetitive Flood Claims	---	---	10,000	---	---	---	---	---	---	---	---	10,000	---	---	---
6 Flood Mitigation Assistance	11	11	40,000	---	---	---	---	---	---	11	11	40,000	---	---	---
7 Offsetting Collections - Mandatory	---	---	(3,085,000)	---	---	(50,546)	---	---	70,000	---	---	(3,065,546)	---	---	19,454
Total	339	271	\$146,000	---	18	\$23,000	---	---	\$0	339	289	\$169,000	---	18	\$23,000

D. Summary of Reimbursable Resources

Not Applicable

E: Summary of Requirements by Object Class

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund**

Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
11.1 Total FTE & personnel compensation	\$25,886	\$27,073	\$33,708	\$6,635
11.3 Other than full-time permanent	112	183	190	7
11.5 Other Personnel Compensation	861	791	478	(313)
11.8 Special Service Pay	---	---	---	---
12.1 Benefits	6,733	7,401	8,937	1,536
13.0 Benefits - former	---	---	---	---
Total, Personnel Comp. & Benefits	\$33,592	\$35,448	\$43,313	\$7,865
Other Object Classes:				
21.0 Travel	1,442	2,705	4,518	1,814
22.0 Transportation of things	18	15	16	1
23.1 GSA rent	4,227	4,182	4,266	84
23.3 Communications, utilities, & other misc. charges	164	492	501	9
24.0 Printing and reproduction	1,683	1,044	1,045	0
25.1 Advisory and assistance services	15,849	7,995	8,218	223
25.2 Other services	2,094,210	1,415,509	1,477,942	62,433
25.3 Purchases of goods & svcs. from Gov't accounts	874	2,138	2,168	30
25.4 Operation & maintenance of facilities	---	---	---	---
25.5 Research and development contracts	---	---	---	---
25.6 Medical care	---	---	---	---
25.7 Operation and maintenance of equipment	300	---	---	---
26.0 Supplies and materials	86	85	147	61
31.0 Equipment	740	248	204	(43)
41.0 Grants/Subsidies/Contributions	139,260	196,065	137,105	(58,959)
42.0 Indemnity	2,359,786	1,652,000	1,652,000	---
43.0 Interest & dividends	298,300	125,736	226,646	100,909
Total, Other Object Classes	\$4,916,955	\$3,408,214	\$3,514,775	\$106,561
Total, Direct Obligations	\$4,950,547	\$3,443,662	\$3,558,088	\$114,426
Unobligated balance, start of year	(3,110,108)	(934,807)	(724,679)	
Unobligated balance, end of year	934,807	724,679	401,137	
Unobligated balances expiring	1,468	---	---	
Net transfers	(4,100)	---	---	
Portion applied to repay debt	347,988	---	---	
Recoveries of prior year obligations	(8,108)	---	---	
Offsetting Collections Mandatory	(2,974,320)	(3,085,000)	(3,065,546)	
Total requirements	\$138,174	\$148,534	\$169,000	

F: Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
Permanent Positions by Grade**

Grades and Salary Ranges	Actual	Enacted	Request	Change
	Pos.	Pos.	Pos.	Total
Total, SES	2	2	2	---
GS-15	38	38	38	---
GS-14	77	72	72	---
GS-13	94	90	90	---
GS-12	100	96	96	---
GS-11	12	12	12	---
GS-9	6	6	6	---
GS-8	4	4	4	---
GS-7	14	14	14	---
GS-6	4	4	4	---
GS-3	1	1	1	---
Total Permanent Positions	352	339	339	---
Unfilled Positions EOY	85	---	---	---
Total Perm. Employment EOY	267	339	339	---
FTE	265	271	289	18
Headquarters	167	157	157	---
U.S. Field	185	182	182	---
Foreign Field	---	---	---	---
Total Permanent Positions	352	339	339	---
Average ES Salary	\$ 152,601	\$ 156,294	\$ 158,482	\$ 2,188
Average GS Salary	\$ 82,845	\$ 84,855	\$ 86,043	\$ 1,188
Average GS Grade	12.50	12.50	12.50	---

G. Capital Investment and Construction Initiative Listing

**Federal Emergency Management Agency
National Flood Insurance Fund**

Not applicable.

H: PPA Budget Justifications

Department of Homeland Security Federal Emergency Management Agency Flood Mitigation and Flood Insurance Operations

Funding Schedule

(Dollars in Thousands)

PPA: Flood Mitigation and Flood Insurance Operations	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Object Classes:				
11.1 Perm Positions	\$25,493	\$24,624	\$12,255	(\$12,368)
11.3 Other than perm	112	183	85	(98)
11.5 Other per comp	861	678	190	(488)
12.1 Benefits	6,636	6,719	3,095	(3,624)
13.0 Benefits-former				---
21.0 Travel	891	725	1,753	1,028
22.0 Transportation of things	1			---
23.1 GSA rent	4,227	3,824	1,271	(2,553)
23.3 Communication, Utilities, and misc charges		431	143	(288)
24.0 Printing	65	94	94	---
25.1 Advisory & Assistance Services	1,272	139	253	114
25.2 Other Services	115	58	2,519	2,461
25.3 Purchase from Govt. Accts.		375	383	8
26.0 Supplies & materials	26	52	71	19
31.0 Equipment	20	90	34	(56)
Total, Flood Mit & Ins Ops	\$39,719	\$37,991	\$22,145	(\$15,846)
Full Time Equivalents	264	242	81	(161)
Total requirements	\$39,719	\$38,680	\$22,145	(\$16,535)

PPA Mission Statement

Resources under this activity support the salaries and expenses of FTE managing the National Flood Insurance Program (NFIP) and flood mitigation programs. In FY 2011, FEMA will continue to support the NFIP and to provide operational and administrative support for the Community Rating System and will enhance oversight of the program.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Salaries and Benefits	\$33,102	\$32,203	\$15,625	(\$16,578)

The FY 2011 Request provides for the annualization of 2010 pay adjustment and the January 2011 increase in personnel compensation as well as a realignment of positions and funding to the Floodplain Management and Floodmapping PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Travel	\$891	\$725	\$1,753	\$1,028

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The increase in travel for the FY 2011 Request level reflects plans for additional conferences, community assistance and audits of WYOs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
GSA rent	\$4,227	\$3,824	\$1,271	(\$2,553)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request reflects the decrease in costs for the positions that have been realigned to the Floodplain Management & Floodmapping PPA.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actuals	Enacted	Request	Change
Communication, Utilities, and miscellaneous charge	\$0	\$431	\$143	(\$288)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request reflects the decrease in costs due to the realignment of positions to the Floodplain Management and Floodmapping PPA.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actuals	Enacted	Request	Change
Advisory and Assistance Services	\$1,272	\$139	\$253	\$114

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 Request provides for non pay inflation and the expansion of existing services.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actuals	Enacted	Request	Change
Other Services	\$115	\$58	\$2,519	\$2,461

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 increase from the FY 2010 Request is due to non pay inflation and the restoration of contracted personnel, IT and financial services that support the NFIP.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actuals	Enacted	Request	Change
Supplies & materials	\$26	\$52	\$71	\$19

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request provides for non-pay inflation.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actuals	Enacted	Request	Change
Equipment	\$20	\$90	\$34	(\$56)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request reflects a decrease in equipment requirements.

H: PPA Budget Justifications

**Department of Homeland Security
Federal Emergency Management Agency
Floodplain Management and Flood Mapping
Funding Schedule
(Dollars in Thousands)**

PPA: Floodplain Management and Flood Mapping		FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Object Classes:					
11.1	Perm Positions			\$18,789	\$18,789
11.3	Other than perm			105	105
11.5	Other per comp			174	174
12.1	Benefits			5,096	5,096
21.0	Travel		1,100	1,883	783
22.0	Transportation of things	2		1	1
23.1	GSA rent			2,630	2,630
23.3	Communication, Utilities, and misc charges			297	297
24.0	Printing	197	201	201	0
25.1	Advisory & Assistance Services			107	107
25.2	Other Services	67,760	50,921	106,671	55,750
25.3	Purchase from Govt. Accts.		777	792	16
26.0	Supplies & materials			42	42
31.0	Equipment	0		12	12
41.0	Grants/Subsidies/Contributions	37,747	57,544	10,057	(47,487)
Total, Floodplain & Flood Mapping		\$105,706	\$110,543	\$146,855	\$36,312
Full Time Equivalents		---	---	179	179
Total requirements		\$111,233	\$107,320	\$146,855	\$39,535

PPA Mission Statement

Through Floodplain Management programs, FEMA encourages communities and their citizens to take informed and effective mitigation actions before a flood in order to reduce the long-term risk to people and property. Through the delivery of mitigation programs, FEMA leads a national effort to: identify and improve the understanding of communities' hazards and their risks; develop and improve techniques and planning processes which mitigate those risks; provide an environment at the State and local levels that is conducive to applying those techniques and processes; provide financial and technical assistance to facilitate application of those techniques and processes; and support development of incentives and disincentives which make application of those techniques and processes a social, political and/or economic priority.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Salaries and Benefits	\$0	\$0	\$24,163	\$24,163

The FY 2011 Request provides for the annualization of 2010 pay adjustment and the January 2011 increase in personnel compensation as well as a realignment of positions and funding from the Flood Mitigation and Flood Insurance Operations PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Travel	\$0	\$1,100	\$1,883	\$783

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request provides for non pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Transportation of Things	\$2	\$0	\$1	\$1

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 Request provides for anticipated costs for shipping and courier services.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actuals	Enacted	Request	Change
GSA rent	\$0	\$0	\$2,630	\$2,630

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request reflects the costs for the positions that have been realigned from the Flood Mitigation and Flood Insurance Operations PPA.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actuals	Enacted	Request	Change
Communication, Utilities, and miscellaneous charge	\$0	\$0	\$297	\$297

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 Request reflects the costs for the positions that have been realigned from the Flood Mitigation and Flood Insurance Operations PPA.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$0	\$0	\$107	\$107

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 Request provides for non pay inflation and the expansion of existing services.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actual	Enacted	Request	Change
Other Services	\$67,760	\$50,921	\$106,671	\$55,750

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The increase in FY 2011 provides for non-pay inflation. The FY 2011 Request reflects the costs of flood map production, technical services and program support. In addition, funding provides for costs associated with the positions that have been realigned from the Flood Mitigation and Flood Insurance Operations PPA.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$0	\$777	\$792	\$16

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request provides for non pay inflation.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actual	Enacted	Request	Change
Supplies & materials	\$0	\$0	\$42	\$42

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 Request provides for costs associated with the positions that have been realigned from the Flood Mitigation and Flood Insurance Operations PPA.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actual	Enacted	Request	Change
Equipment	\$0	\$0	\$12	\$12

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request provides for costs associated with the positions that have been realigned from the Flood Mitigation and Flood Insurance Operations PPA.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$37,747	\$57,544	\$10,057	(\$47,487)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The decrease in FY 2011 from the FY 2010 Request is due to the reduction in flood mapping services being provided through grant awards from this funding source. Instead flood mapping services are captured under object class 25.2.

H: PPA Budget Justifications

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund - Mandatory
Funding Schedule
(Dollars in Thousands)**

PPA: NFIF - Mandatory		FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Object Classes:					
22.0	Transportation of things	15	15	15	---
23.2	Other rent	32			---
23.3	Communication, Utilities, and misc charges	157	20	20	---
24.0	Printing	1,413	750	750	---
25.1	Advisory & Assistance Services	14,577	7,605	7,605	---
25.2	Other Services	2,019,326	1,355,116	1,356,116	1,000
25.3	Purchase from Govt. Accts.	874	879	883	4
25.7	Operation & maintenance of equipment	300			---
26.0	Supplies & materials	54	20	20	---
31.0	Equipment	655	20	20	---
42.0	Indemnity	2,359,786	1,652,000	1,652,000	---
43.0	Interest and Dividends	298,300	125,736	226,646	100,909
99.0	Other	(17)			---
Total, NFIF Mandatory		\$4,695,472	\$3,142,161	\$3,244,075	\$101,914
Full Time Equivalents		---	---	---	---
Unobligated balance, start of year		(2,977,492)	(783,058)	(228,529)	554,530
Unobligated balance, end of year		783,058	605,897		(605,897)
Recoveries of prior year obligations					---
Total requirements		\$2,501,038	\$2,965,000	\$3,015,546	\$50,546

PPA Mission Statement

The National Flood Insurance Act of 1968, as amended, authorizes the Federal Government to provide flood insurance on a national basis. Flood insurance may be sold or continued in force only in communities that enact and enforce appropriate floodplain management measures. Communities must participate in the program within 1 year of the time they are identified as flood-prone in order to be eligible for flood insurance and some forms of Federal financial assistance for acquisition or construction purposes. In addition, Federally regulated funding institutions cannot provide loans to nonparticipating communities with an identified flood hazard.

More than 20,000 communities in all States and Territories participate in the NFIP. Structures built to NFIP criteria experience 80 percent less damage through reduced frequency and severity of losses. The flood mitigation program requirements are estimated to save in excess of \$1 billion per year in flood losses avoided. The NFIP limits the impact of disaster by encouraging property owners and others to manage their risk through flood insurance and other hazard insurance mechanisms.

Summary Justification and Explanation of Changes

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Other Services	\$2,019,326	\$1,355,116	\$1,356,116	\$1,000

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes increases for non-pay inflation, program expenses and contract costs.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Purchase from Government Accounts	\$874	\$879	\$883	\$4

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request provides for non pay inflation.

H: PPA Budget Justifications

Department of Homeland Security Federal Emergency Management Agency Severe Repetitive Loss

Funding Schedule
(Dollars in Thousands)

PPA: Severe Repetitive Loss	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Object Classes:				
11.1 Perm Positions	\$389	\$1,428	\$1,556	\$128
11.5 Other per comp		66	65	(1)
12.1 Benefits	96	396	435	39
21.0 Travel	385	619	619	---
23.1 GSA rent		222	226	4
23.3 Communication, Utilities, and misc charges	0	25	26	1
24.0 Printing	8			---
25.1 Advisory & Assistance Services		203	205	2
25.2 Other Services	4,730	4,750	7,944	3,194
25.3 Purchase from Govt. Accts.		67	68	1
26.0 Supplies & materials	6	8	8	0
31.0 Equipment	20	80	81	1
41.0 Grants/Subsidies/Contributions	63,925	73,050	83,779	10,729
Total, Severe Repetitive Loss	\$69,558	\$80,915	\$95,013	\$14,098
Full Time Equivalents	1	18	18	---
Unobligated balance, start of year	(113,515)	(123,957)		123,957
Unobligated balance, end of year	123,957	113,042		(113,042)
Total requirements	\$80,000	\$70,000	\$95,013	\$25,013

PPA Mission Statement

The Flood Insurance Reform Act of 2004 introduced several new requirements and program initiatives. This included the establishment of the Severe Repetitive Loss Pilot Program, initially authorized at \$40 million annually. The Program provides technical and financial assistance to State and local governments to mitigate severe repetitive loss properties under the National Flood Insurance Program (NFIP). The Program focuses on a subset of the repetitive loss properties – severe repetitive loss properties - that have the largest impact on claims paid from the NFIF. Mitigating potential damages to these properties will result in savings to the NFIF. This program is funded from mandatory, premium collections.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Salaries and Benefits	\$485	\$1,890	\$2,056	\$165

Salaries and Benefits includes costs for 14 FTEs and provides for the annualization of the 2010 pay increase and the proposed January 2011 increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Other Services	\$4,730	\$4,750	\$7,944	\$3,194

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request includes an increase for non-pay inflation and additional contracted services required to award the 2011 grants.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Purchase from Government Accounts	\$0	\$67	\$68	\$1

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request provides for non pay inflation.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actuals	Enacted	Request	Change
Equipment	\$20	\$80	\$81	\$1

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 Request provides funding for non pay inflation and equipment requirements.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actuals	Enacted	Request	Change
Grants/Subsidies/Contributions	\$63,925	\$73,050	\$83,779	\$10,729

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 Request reflects an increase in the number of grants to be awarded in 2011.

H: PPA Budget Justifications

**Department of Homeland Security
Federal Emergency Management Agency
Repetitive Flood Claims
Funding Schedule**
(Dollars in Thousands)

PPA: Repetitive Flood Claims		FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Object Classes:					
21.0	Travel	8	54	55	1
25.1	Advisory & Assistance Services		5	5	0
25.2	Other Services	444	914	923	9
26.0	Supplies & materials		1	1	0
31.0	Equipment	12	16	16	---
41.0	Grants/Subsidies/Contributions	8,124	10,576	9,000	(1,575)
Total, Repetitive Flood Claims		\$8,588	\$11,565	\$10,000	(\$1,565)
Full Time Equivalents		---	---	---	---
Unobligated balance, start of year		(845)	(2,257)		2,257
Unobligated balance, end of year		2,257	692		(692)
Total requirements		\$10,000	\$10,000	\$10,000	(\$0)

PPA Mission Statement

The Flood Insurance Reform Act of 2004 introduced several new requirements and program initiatives. This included the establishment of a grant program which provides a mechanism to mitigate properties that have experienced repetitive losses where the State or community does not meet eligibility requirements under the Flood Mitigation Assistance program. Although not necessarily focused on Severe Repetitive Loss Properties, the Act does direct FEMA to give priority to "Worst-Case Properties" that would result in the greatest savings to the NFIF. This program will be funded from mandatory, premium collections.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Travel	\$8	\$54	\$55	\$1

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request provides for non pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Other Services	\$444	\$914	\$923	\$9

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request provides for non-pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Grants/Subsidies/Contributions	\$8,124	\$10,576	\$9,000	(\$1,575)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 Request reflects a decrease in available funding for grants from carryover.

H: PPA Budget Justifications

**Department of Homeland Security
Federal Emergency Management Agency
Flood Mitigation Assistance
Funding Schedule
(Dollars in Thousands)**

PPA: Flood Mitigation Assistance		FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Object Classes:					
11.1	Perm Positions	\$4	\$1,022	\$1,109	\$87
11.5	Other per comp		47	49	2
12.1	Benefits	1	285	311	26
21.0	Travel	158	206	208	2
23.1	GSA rent		136	138	3
23.3	Communication, Utilities, and misc charges	7	15	16	0
25.1	Advisory & Assistance Services		44	44	0
25.2	Other Services	1,835	3,750	3,768	19
25.3	Purchase from Govt. Accts.		41	42	1
26.0	Supplies & materials		4	4	---
31.0	Equipment	34	41	41	0
41.0	Grants/Subsidies/Contributions	29,464	54,895	34,268	(20,627)
Total, Flood Mitigation Assistance		\$31,504	\$60,486	\$40,000	(\$20,486)
Full Time Equivalents		0	11	11	---
Unobligated balance, start of year		(18,256)	(22,452)		22,452
Unobligated balance, end of year		22,452	1,966		(1,966)
Total requirements		\$35,700	\$40,000	\$40,000	(\$0)

PPA Mission Statement

The Flood Mitigation Activities (FMA) support activities to eliminate at-risk structures that are repetitively flooded. Through fee-generated discretionary funds transferred from the National Flood Insurance Fund (NFIF), FMA supports activities to eliminate at-risk structures that are repetitively flooded, and provides flood mitigation assistance planning support to States and communities. In FY 2008, these activities were funded from the National Flood Mitigation Fund appropriation.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Salaries and Benefits	\$5	\$1,354	\$1,469	\$115

Salaries and Benefits includes costs for 8 FTEs and provides for the annualization of the 2010 pay increase and the proposed January 2011 increase.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	2010 to 2011 Change
Travel	\$158	\$206	\$208	\$2

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 Request provides for non pay inflation.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actuals	Enacted	Request	Change
GSA rent	\$0	\$136	\$138	\$3

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 Request provides for non-pay inflation.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actuals	Enacted	Request	Change
Other Services	\$1,835	\$3,750	\$3,768	\$19

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 Request provides for non-pay inflation.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actuals	Enacted	Request	Change
Purchase from Government Accounts	\$0	\$41	\$42	\$1

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 Request provides for non-pay inflation.

	FY 2009	FY 2010	FY 2011	2010 to 2011
	Actuals	Enacted	Request	Change
Grants/Subsidies/Contributions	\$29,464	\$54,895	\$34,268	(\$20,627)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 Request reflects a decrease in available funding for grants from carryover.

I: Changes in Full-Time Equivalents

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
Changes in Full-Time Equivalents**

	FY 2009	FY 2010	FY 2011
Base: Year-end Actual from Prior Year	245	265	271
INCREASES			
Increase #1: FY 2009 Description: Reflects actual staffing level in FY 2009.	20		
Increase #2: FY 2010 Description: Reflects actual staffing level in FY 2010.		6	
Increase #3: FY 2011 Description: Reflects actual staffing level in FY 2011.			18
Sub-Total Increases	20	6	18
DECREASES			
Decrease #1: Description:			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	265	271	289
Net Change from prior year base to Budget Year Estimate:	20	6	18

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund**

**FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	Actual	FY 2010 Anticipated	FY 2011 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
DHS/FEMA assessment of WCF	\$1,027	\$1,372	\$1,414	\$42
Total Working Capital Fund	\$1,027	\$1,372	\$1,414	\$42

Department of Homeland Security
Federal Emergency Management Agency
Disaster Assistance Direct Loan Program



Fiscal Year 2011
Overview
Congressional Budget Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Disaster Assistance Direct Loan Program

I. Appropriation Overview

A – Mission Statement for Disaster Assistance Direct Loan Program

The Disaster Assistance Direct Loan Program account provides loan authority and subsidy budget authority for disaster assistance direct loans.

B – Budget Activities:

The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) authorizes two types of direct loans: 1) Section 319 (State Share) loans to States for the non-Federal portion of cost-shared Stafford Act programs and 2) Section 417 (Community Disaster) loans to local governments that incurred substantial losses of tax and other revenues as a result of a major disaster and require financial assistance in order to perform governmental functions. In accordance with the Federal Credit Reform Act of 1990, this account supports subsidy budget authority and authorizes loan levels for the direct loan programs; however, in FY 2011, no funds are requested for section 417 (Community Disaster) loan subsidy.

C – Budget Request Summary:

Loan subsidy of \$295,000 and a direct loan limitation of \$25 million for section 319 (State Share) loans are requested for FY 2011. No funds are requested for section 417 (Community Disaster Loans) loan subsidy in FY 2011.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Federal Emergency Management Agency
Disaster Assistance Direct Loan Program
 Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
 (Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Direct Loan Subsidy	-	60,568	-	295	-	295	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	-	60,568	-	295	-	295	-	-	-	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	-	60,568	-	295	-	295	-	-	-	-	-	-

III. Current Services Program Description by PPA

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Assistance Direct Loan Program
Direct Loan Subsidy
Program Performance Justification**
(Dollars in Thousands)

PPA: Direct Loan Subsidy

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	-	-	60,568
2010 Enacted	-	-	295
2011 Current Services	-	-	295
2011 Total Request	-	-	295
Total Change 2010 to 2011	-	-	-

Loan Limitation

	<u>Perm Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Projected EOY Actual	0	0	\$25,000
2010 President's Budget	0	0	\$25,000
2011 Adjustments-to-Base	0	0	\$0
2011 Current Services	0	0	\$25,000
2011 Program Change	0	0	\$0
2011 Request	0	0	\$25,000
Total Change 2010-2011	0	0	\$0

Note: The Loan Limitation amount above does not reflect the loan limitation carryover associated with the supplemental appropriation for Section 419 Special Community Disaster Loans.

FEMA requests \$25 million in loan authority and \$295,000 in subsidy budget authority for section 319 loans for FY 2011. This represents no change from FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

Under the Stafford Act, FEMA may make two types of direct loans:

State Share Loans: Under section 319 of the Stafford Act, FEMA may lend or advance to a State or an eligible applicant the portion of assistance for which the applicant is responsible under cost-sharing provisions of the Stafford Act. To be deemed eligible for a loan, the governor of the affected State must demonstrate, where damage is overwhelming and severe, that the State is unable to assume immediately its financial responsibility to meet the cost-share because (1) the State is responding to concurrent, multiple disasters/emergencies or has incurred extraordinary costs as a result of a particular disaster or emergency; and (2) the damages caused by such disaster or disasters are so overwhelming and severe it is not possible for the State to assume immediately its financial responsibility. \$217 million in State Share loans have been approved, with the last loan issued in 1996. There are no outstanding State Share loans.

Community Disaster Loans (CDLs): Under section 417 of the Stafford Act, loans may be authorized to local governments that have suffered a substantial loss of tax and other revenues as a result of a major disaster, and have demonstrated a need for financial assistance in order to perform their municipal operating functions. The loans, not to exceed 25 percent of the annual operating budget of that local government for the fiscal year in which the major disaster occurred, are made at the current Treasury rate for a term of 5 years and may not exceed \$5 million. All or part of such loans may be canceled to the extent that revenues of the local government during the full 3 post-disaster fiscal years are insufficient to meet its operating budget as the result of the disaster. A local government is not eligible for further CDLs during any period in which the jurisdiction is in arrears with respect to required repayment of an existing loan. \$300 million in Traditional Community Disaster loans have been approved, with the last loan issued in 2009.

Community Disaster Loans that were obligated in FY 2009 include:

IOWA

City of Cedar Rapids	5,000,000
City of New Hartford	118,811
City of Oakville	51,588
City of Palo	304,722
City of Parkersburg	385,295
Total	5,860,416

LOUISIANA

LaFourche Parish Hospital Svc Dis #1	2,621,457
Town of Jean Lafitte	279,063
Town Of Delcambre	283,447

Cameron Parish School Board	5,000,000
St. Bernard Parish Gov.	5,000,000
Total	13,183,967

TEXAS

City of Galveston	5,000,000
Galveston Park Bd of Trustees	2,290,726
Galveston Co Health District	1,282,048
Sabine Pass	175,974
Chambers-Liberty Navigation District	301,517
City of Bridge City	1,175,289
Village of Surfside Beach	354,446
Galveston Independent School District	5,000,000
Bridge City Independent School District	4,892,892
West Orange-Cove CISD	5,000,000
Barbers Hill ISD	5,000,000
Galveston Co, Tx	5,000,000
Bd of Trustees of Galveston Wharves	3,739,399
Total	39,212,291

Special Community Disaster Loans (SCDLs): The Community Disaster Loan Act of 2005 (PL 109-88) authorized FEMA to transfer \$750 million from the Disaster Relief Fund to provide up to \$1 billion in loan authority to assist communities impacted by Hurricanes Katrina and Rita. For these Special Community Disaster Loans, three elements were added to the traditional program under section 417: 1) It removed the \$5 million limit on individual loans; 2) the loans were restricted “to assist local governments in providing essential services;” and 3) the loan cancellation provision of section 417(c)(1) of the Stafford Act was inapplicable.

The Emergency Supplemental Appropriations Act for Defense, the Global War on Terror, and Hurricane Recovery, 2006 (PL 109-234) appropriated an additional \$278,800,000 to support \$371,733,000 in SCDLs. However, certain eligibility criteria were different from those in the 2005 Act: 1) the maximum loan amount was increased to 50 percent of the applicant’s operating budget the fiscal year of the disaster; 2) the loan analysis could only consider “tax revenue” loss and not “other revenues” as allowed for in the 2005 Act; and 3) applicants were required to demonstrate actual loss in tax revenues of 25 percent or greater. The loan cancellation provision continued to be inapplicable.

The U.S. Troop Readiness, Veterans' Care, Katrina Recovery, and Iraq Accountability Appropriations Act, 2007 (PL 110-28) removed the loan cancellation prohibitions contained in the 2005 and 2006 Acts. This statutory change now gives FEMA discretionary authority, limited by the language in section 417(c)(1) of the Stafford Act, to cancel SCDLs issued pursuant to either the 2005 or 2006 Acts.

From October 2005 to September 2006, FEMA approved 152 SCDLs totaling \$1,270,501,241 to 109 eligible applicants in Mississippi and Louisiana.

In accordance with the Federal Credit Reform Act of 1990, three accounts are used to record cash flow data for direct loans:

- Disaster Assistance Direct Loan Program Account. This is the budget account into which an appropriation is made to cover the subsidy costs of a direct loan, and from which such costs are disbursed into the financing account.
- Disaster Assistance Loan Liquidating Account. This budget account records all cash flows to and from FEMA for pre-1992 direct loans made under the State Share and Community Disaster loan programs. There is no longer any activity in this account.
- Disaster Assistance Direct Loan Financing Account. The loan financing account is a non-budgetary account that records all cash flows to and from FEMA resulting from CDLs and State Share direct loans obligated in 1992 and beyond. This account holds balances, receives the subsidy cost payment from the program account, and includes all other cash flows resulting from post-1991 direct loans. The funds in this account are a means of financing and are not included in the budget totals. Loans are obligated from this account, using the subsidy budget authority from the Disaster Assistance Direct Loan Program Account and borrowing authority from the Department of the Treasury.

IV. Program Justification Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in Disaster Assistance Direct Loan Program
Appropriation Language**

For activities under section 319 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5162), [\$295,000] \$295,000 is for the cost of direct loans: *Provided*, That gross obligations for the principal amount of direct loans shall not exceed \$25,000,000: *Provided further*, That the cost of modifying such loans shall be as defined in section 502 of the Congressional Budget Act of 1974 (2 U.S.C. 661a). (*Department of Homeland Security Appropriations Act, 2011*).

Explanation of Changes:

No substantive changes are proposed.

B. FY 2010 to 2011 Budget Change

Department of Homeland Security
Federal Emergency Management Agency
Disaster Assistance Direct Loan Program
 FY2010 to FY2011 Budget Change
 (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2009 Actuals	-	-	60,568
FY 2010 Enacted	-	-	295
Adjustments-to-Base	-	-	-
FY 2011 Current Services	-	-	295
 Program Changes	 -	 -	 -
Total, Program Changes	-	-	-
 FY 2011 Request	 -	 -	 295
 FY 2010 to FY 2011 Total Change	 -	 -	 -

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Assistance Direct Loan Program
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	-	-	60,568
FY 2010 Enacted	-	-	295
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
FY 2011 Current Services	-	-	295
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	-	-	295
Total Change 2010 to 2011	-	-	-

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Direct Loan Subsidy	-	-	295	-	-	295	-	-	-	-	-	-	-	-	-
Subtotal, Estimates Program Project Activity	-	-	295	-	-	295	-	-	-	-	-	-	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	-	-	295	-	-	295	-	-	-	-	-	-	-	-	-

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Assistance Direct Loan Program
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	39	-	-	-
25.2 Other services	3,066	-	-	-
33.0 Loans	57,463	43,295	295	(43,000)
Total, Object Class	60,568	43,295	295	(43,000)
Unobligated Balance, end of year	43,000	-	-	-
Unobligated Balance, start of year	(5,781)	(43,000)	-	43,000
Total, Adjustments	37,219	(43,000)	-	43,000
Total, Direct Obligations	97,787	295	295	-

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Assistance Direct Loan Program
Direct Loan Subsidy
Funding Schedule
(Dollars in Thousands)**

PPA: Direct Loan Subsidy	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
Object Classes:				
21.0 Travel	39	-	-	-
25.2 Other services	3,066	-	-	-
33.0 Loans	57,463	43,295	295	(43,000)
Total, Direct Loan Subsidy	60,568	43,295	295	(43,000)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) authorizes two types of direct loans: 1) Section 319 (State Share) loans to States for the non-Federal portion of cost-shared Stafford Act Programs and 2) Section 417 (Community Disaster) loans to local governments that incurred substantial losses of tax and other revenues as a result of a major disaster and require financial assistance in order to perform governmental functions. In accordance with the Federal Credit Reform Act of 1990, this account supports subsidy budget authority and authorizes loan levels for the direct loan programs.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
33.0 Loans	57,463	43,295	295	(43,000)

Loans provide loan subsidies for two types of direct loans: 1) Section 319 (State Share) loans and 2) Section 417 (Community Disaster) loans. The FY 2011 request reflects no change from FY 2009.

I. Changes in Full Time Equivalent

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Assistance Direct Loan Program
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	3	-	-
INCREASES	-	-	-
DECREASES	-	-	-
FTEs realigned to OM&A appropriation	(3)	-	-
Decreases	(3)	-	-
Subtotal, Decreases	(3)	-	-
Year End Actual / Estimated FTEs:	-	-	-
Net Change from prior year base to Budget Year Estimate:	(3)	-	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security

Federal Emergency Management Agency



Fiscal Year 2011
Strategic Context
Congressional Justification

FY 2011 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA)

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A. Mission and Description of Component

The Federal Emergency Management Agency (FEMA) was created as an independent agency in 1979 by an Executive Order of the President. The Homeland Security Act of 2002 realigned FEMA under the new Department of Homeland Security (DHS). *FEMA's mission is to support our citizens and first responders to ensure that, as a nation, we work together to build, sustain, and improve our capability to prepare for, protect against, respond to, recover from, and mitigate all hazards.*

FEMA manages and coordinates the federal response to and recovery from major domestic disasters and emergencies of all types, under the authority of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, and in accordance with the National Response Framework and established regulations and policies. The Agency coordinates programs to improve the effectiveness of emergency response providers at all levels of government to respond to terrorist attacks, major disasters, and other emergencies. Through the Disaster Relief Fund, FEMA provides individual and public assistance to help families and communities affected by declared disasters to rebuild and recover. FEMA also supports state and local government programs designed to help prevent or respond to threats or incidents of terrorism and other catastrophic events, as well as administers hazard mitigation programs that reduce the risk to life and property from floods and other hazards. FEMA stands ready around-the-clock to provide rapid technical, materiel, and/or financial assistance in emergency situations whenever state and local capabilities are overwhelmed or seriously threatened. At any Presidentially-declared disaster location, FEMA leads the federal response and recovery effort by providing emergency management expertise and coordinating critical support resources from across the country.

The Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA) assigned additional functions and requirements to FEMA. In addition to incorporating National Preparedness Programs and DHS Grant Programs within FEMA, PKEMRA called for FEMA to (among other new requirements):

- Improve the Agency's core capabilities and strengthen their regions;
- Expand FEMA's mission beyond mitigation, response, and recovery to include preparedness and protection;
- Establish a National Emergency Child Locator Center;
- Establish a National Emergency Family Registry and Locator System;
- Conduct pilot disaster housing and debris removal programs;
- Engage new constituencies, such as the law enforcement community;
- Establish a national emergency management system; and,
- Implement a national preparedness system.

FEMA's major mission components include Preparedness and Protection, Response and Recovery, and Mitigation. In addition to its headquarters in Washington, D.C., FEMA has ten regional offices, three area offices, six Logistics Distribution Centers, six Mobile Emergency Response Support detachments, three National Processing Service Centers, and various temporary disaster-related facilities/sites that carry out the agency's operations throughout the United States and its territories.

B. Major Activities and Key Strategic Goals

As a component of the Department of Homeland Security, FEMA has developed strategic goals that align with the Secretary's vision and goals for the Department and the Quadrennial Homeland Security Review (QHSR) mission areas.

In FY2009, FEMA worked in close coordination with state and local authorities to respond to severe storms in Arkansas, Kentucky, Missouri, and multiple other States, including record flooding in North Dakota and Minnesota. In addition, FEMA worked hard to accelerate and improve recovery efforts in the Gulf Coast region over the past year. Prior year investments, which were targeted at improving operational capacity and capability, have significantly improved the Agency's ability to fulfill its disaster support mission. Key improvements include implementing Incident Management Assistance Teams (IMATs); reconfiguring and improving logistics to improve asset visibility as well as operational coordination; and establishing national contracts for critical evacuation support resources, such as ambulances.

In FY2010 and FY2011, the Agency will work to improve the outcomes of disasters through more effective and integrated Preparedness, Protection, Response, Recovery, and Mitigation activities. The Agency will focus on enhancing coordination between headquarters and regional offices in all aspects of disaster management, as well as continue to operationally re-empower regional offices, recognizing that FEMA's regional operations have the lead for supporting state and local emergency management activities. FEMA will also continue to emphasize the promotion and improvement of personal/citizen preparedness, with the focus on increasing individual resiliency; i.e., their ability to quickly recover from a disaster. Moreover, the Agency is placing greater emphasis on underserved populations, including children, the elderly, and the disabled, which often do not receive adequate focus and attention in disaster management efforts. Finally, with a significant number of employees nearing retirement age in the coming years, FEMA will prioritize recruiting, retaining, and better developing the next generation of diverse emergency management professionals to lead the Agency into the future.

PREPAREDNESS

FEMA's National Preparedness Directorate (NPD) works to ensure that the Nation is prepared for disasters of all kinds. NPD is focused on improving the Nation's ability to plan, train, exercise, evaluate, and assess the success of our preparedness activities. It also implements Homeland Security Presidential Directives #5 and #8 by establishing policies that strengthen national preparedness for terrorist attacks, natural disasters, and other emergencies.

In FY2009, NPD accomplishments included the following:

- The release of the Comprehensive Preparedness Guide (CPG) 101, which provides guidance to State, local and tribal communities on how to plan for disasters.
- A revised National Incident Management System (NIMS), which provides a comprehensive, systematic approach to incident management.

In FY2010 and FY2011, NPD intends to accomplish the following:

- Assess the effectiveness of state and local plans through another Nationwide Plan Review (the first review was conducted in FY2006).

- Prioritize the assessment of Federal, State and local preparedness levels by developing and implementing a Comprehensive Assessment System to assess the nation's performance through qualitative and quantitative metrics.
- Lead an effort to consolidate overlapping and often duplicative reporting requirements that have been levied on State and local governments over the years. FEMA will continue an agency-wide review of existing data collection systems in order to reduce the reporting burden placed on State, Territory, Tribal, and Local governments while, simultaneously, ensuring the receipt of accurate, comprehensive, and useful information.

FEMA's Grant Programs Directorate (GPD) plays an important role in national preparedness efforts by providing financial support to assist Federal, state, and local governments to prepare, prevent, plan for, and respond to acts of terrorism and major disasters. GPD also serves as the executive agent for development of grant guidance, including the formulation of the risk methodology used to support nationwide grant allocations. The grant programs administered by GPD include the Homeland Security Grant Program, the Port and Transit Security Grant Programs, Assistance to Firefighters Grant Program, and Emergency Management Performance Grants.

In FY2009, GPD accomplishments included the following:

- Awarded over \$3 billion dollars in homeland security grants, including approximately \$840 million to protect from acts of terrorism the nation's ports, rail and mass transit systems, trucking industry, intercity bus systems, and other critical infrastructures.
- Initiated the Cost-to-Capability (C2C) Initiative in June 2009 to demonstrate how homeland security and preparedness grant programs improve the Nation's ability to respond to all-hazard threats.
- Expanded its outreach efforts to engage stakeholders in a dialogue on its Grants Management programs and processes throughout the FY 2009 application cycle.

In FY2010, and continuing with implementation in FY11, GPD intends to accomplish the following:

- Establish and implement a Local, State, Tribal, and Federal Preparedness Task Force required by the Department of Homeland Security Appropriations Act of FY2010. This Task Force will be charged with generating actionable recommendations on issues such as preparedness policies and guidance that need updating; determining which grant programs work most efficiently and where programs can be improved; and establishing the most appropriate way to collectively assess our capabilities and our capability gaps.
- Continue monitoring and enhancing internal evaluation capabilities to further guide program planning, as well as release revised program guidance packages that may reflect program consolidation to reduce the burden on grantees as well as monitor the evaluations of technical assistance efforts.
- Continue the effort to consolidate all of the non-disaster grants management system and other DHS grants and financial assistance management systems into a single grants management system.

The United States Fire Administration (USFA) supports national preparedness efforts by promoting the professional development of the fire and emergency response community and its allied professionals.

In FY2009, USFA accomplishments included the following:

- Delivered 3,811 training programs to 116,350 fire and emergency response personnel, both on and off campus, through its diverse delivery system and network of national training partners.
- Completed the development of a newly integrated and streamlined Course Schedule Instructor Database; began using a new on-line collaboration tool to facilitate meetings, briefings and training delivery demonstration projects; and developed a web version of the National Fire Incident Reporting Systems client Data Entry Tool.
- Distributed a monthly INFOGRAM to 35,000 first responders and periodic Critical Infrastructure Protection bulletins to a vetted audience of 11,000 emergency services leaders.

In FY2010 and FY2011, USFA intends to accomplish the following:

- Expand fire and emergency response training programs through the use of both on-campus and online distance learning programs.
- Increase the delivery of courses at the state and local level through the use of State fire training assistance partnership agreements and distance learning methodologies. In addition, USFA will develop six new on- and off-campus courses and continue to update existing courses to address modern leadership, management, and technical practices.
- Collaborate with the Assistance to Firefighter Grants Program Office to utilize the National Fire Incident Reporting System to assist in improving delivery of both Staffing for Adequate Fire and Emergency Response and Assistance to Firefighters Grants.

PROTECTION

FEMA's National Continuity Programs Directorate (NCP) is the Federal Lead Agent for developing, coordinating, and assessing continuity of national operations to help guarantee the survival of an enduring constitutional government in response to national emergencies. In this role, NCP is responsible for providing direction, guidance, and planning assistance to Federal, state, local, tribal, and territorial governments to help ensure they are capable of performing their essential functions during any situations that may disrupt normal operations.

In FY2009, NCP accomplishments included the following:

- As part of the conversion to the Integrated Public Alert and Warning System (IPAWS), FEMA initiated the collection of all applicable IPAWS public alert and warning systems data used by Federal, state, territorial, tribal, and local agencies at 1,932 emergency operations centers.
- Deployed Digital Emergency Alert System (EAS) in 8 states and Puerto Rico, to provide emergency operation centers with an alternate means of distributing alerts and warnings.

In FY2010 and FY2011, NCP intends to accomplish the following:

- Publish an Inventory Assessment Report of public alert and warning system capabilities and resources.
- Manage major systems upgrades to the FEMA National Radio System to replace logistically unsupportable legacy equipment and improve interoperability.
- Develop, coordinate, and conduct the Eagle Horizon 2010 National Continuity exercise to authoritatively assess the efficacy of department and agency continuity programs.

- Increase the capability to send alerts to end-user devices, including alerts to those that do not speak English and those who are deaf or hard of hearing.
- Integrate alert and warning networks to link state, tribal, and local emergency operations centers with Federal partners to facilitate recovery activities and help return individuals and communities affected by Federally-declared disasters to normal function as quickly and efficiently as possible.
- Manage capital improvements at the Mount Weather Emergency Operations Center, including mechanical infrastructure improvements, safety enhancements, and improvements to information technology sites.

RESPONSE

FEMA's Disaster Response Directorate provides the core Federal operational capabilities needed to support efforts to save lives, minimize suffering, and protect property in a timely and effective manner in communities overwhelmed by natural disasters, acts of terrorism, or other emergencies. Disaster Response offers a unique capability that ensures that Federal emergency response systems and capabilities are properly poised to support Federal decision makers and immediately receive and react to requirements necessary to support states overcome by an emergency or major disaster.

In FY2009, Disaster Response accomplishments included the following:

- Implemented additional Incident Management Assistance Teams (IMATs) at the national and regional-levels to improve management and coordination of the national response for catastrophic incidents.
- Improved disaster workforce management by standardizing the hiring, training, and credentialing of FEMA's disaster response cadres.
- Updated the National Response Framework (NRF) Catastrophic Incident Supplement based on empirical damage and societal impact data collected for the New Madrid Seismic Zone Catastrophic Disaster Planning Initiative, completed state Catastrophic Earthquake Annexes for the five remaining New Madrid Seismic Zone states (for a total of eight plans), and developed four Federal Regional Earthquake Annexes.

In FY2010 and FY2011, Disaster Response intends to accomplish the following:

- Use FEMA's enhanced operational planning capacity to develop vertically and horizontally-integrated response plans compliant with the National Incident Management System and the NRF.
- Expand FEMA's focus on catastrophic disaster response planning through Federal planning, both regionally- and nationally-focused, that synchronizes with urban area/regional planning accomplished as part of the Homeland Security Grant Program, and prepare for the 2011 National-Level Exercise (NLE-2011) based on the complete suite of New Madrid Seismic Zone (NMSZ) Plans.
- Develop and issue a *Strategy for Improving the National Response and Recovery from an IND Attack* by early 2010.
- Working in coordination with other DHS components, develop Urban Shelter-in-Place guidance in FY2011, including scientifically based guidance for post Radiological/Nuclear incident shelter-in-place and evacuation.

FEMA's Logistics Directorate (LD) supports Federal response activities by providing logistics operations, logistics planning, distribution management, and property management for FEMA and its emergency management partners. LD provides FEMA with the foundation to re-define disaster logistics and move beyond the simple provision of commodities to a more comprehensive management approach.

In FY2009, Logistics Directorate accomplishments included the following:

- Utilized funding increases to help institutionalize command and control of strategic logistics planning, operations, and management functions, while pushing operational control to the most effective level of execution. This included bolstering both regional and headquarters staffing with additional logistics planners, logistics operational specialists, and National Emergency Housing Unit Site Managers.
- Incorporated a comprehensive Third Party Logistics environment into the FEMA logistics structure. This will allow FEMA, as a focal point for disaster logistics management, to outsource the most basic types of supply chain management functions; i.e., warehousing and transportation services that can be scaled and customized to emergent needs based on existing conditions and the demands and delivery service requirements for products and materials.
- Implemented the next phase of the Total Asset Visibility (TAV) system, developing expanded asset visibility of inventories and requests across all FEMA regions and asset categories.

In FY2010 and FY2011, Logistics Directorate intends to accomplish the following:

- Leverage the Logistics Management Transformation Initiative (LMTI) to drive transformation actions and further maturity of FEMA's logistics capabilities and responsiveness. The focus of LMTI is to continue the transition of FEMA Logistics to a 21st century enterprise utilizing both private and public sector best practices and models.
- Develop and implement enterprise-based systems and tools, such as the Logistics Supply Chain Management System (LSCMS), which represents a complete end-to-end logistics management system that will enable FEMA to manage each segment of the supply chain and at the same time generate essential management reports from data input through the warehousing, request, ordering, shipment/transportation, and receiving processes.

RECOVERY

FEMA's Disaster Recovery Directorate works to ensure that individuals and communities affected by disasters, including catastrophic events and terrorist attacks, receive rapid, situation-appropriate, and accurately targeted disaster assistance through the Agency's Individual Assistance and Public Assistance programs. Supported by three primary and more than a dozen supporting Federal Government agencies, FEMA continues to coordinate long-term recovery activities with state, regional, local and private sector efforts under the aegis of NRP Emergency Support Function 14, Long-Term Community Recovery. In addition, FEMA leads Federal agencies, state and local governments, and representatives of non-governmental organizations in developing, coordinating, and implementing the PKEMRA-required National Disaster Recovery Framework and National Disaster Housing Strategy.

In FY2009, Recovery Directorate accomplishments included the following:

- Enhanced capabilities for managing mass evacuations and displaced populations, including additional state and local planning and improvement of evacuee tracking systems. For example, through the FEMA National Shelter System, the Agency enhanced data sharing capabilities and the ability to provide expanded, accurate data to Federal, state, and local users. The Agency also improved the National Emergency Family Registry Locator System to facilitate the reunification process and enable non-U.S. citizens to utilize the system.
- To improve the intake of applications for individual assistance, FEMA also piloted a new in-person recertification protocol intended to reduce or eliminate the need for recertification via the postal system (which is often confusing for survivors), and increase the reliability and surety of the process.

In FY2010 and FY2011, the Recovery Directorate intends to accomplish the following:

- Strengthen the Agency's disaster recovery management infrastructure including implementing Emergency Management Mission Integrated Environment (EMMIE) Version II for Public Assistance, which will allow staff to quickly capture information on damaged facilities and directly input the data into EMMIE for processing.
- Begin development of the Emergency Assistance Information System, which will integrate existing mass care software and information systems and enable states to manage multiple mass care information requirements through a single system.
- By FY2011, develop a national strategy and capability to provide sustainable (non-congregate) sheltering for disaster survivors, with the planning goal of identifying and providing sustainable sheltering for up to 500,000 disaster survivors within 60 days of a disaster.

MITIGATION

FEMA's Mitigation Program works to strengthen mitigation nationwide to reduce the Nation's risk to natural disasters or other emergencies, and to facilitate adoption and enforcement of up-to-date design and construction practices through state and local building codes. Mitigation supports activities that result in sound risk management decisions by individuals and both private- and public-sector entities. Mitigation programs are conducted through three core activities: risk analysis, risk reduction, and insurance against flood risk. These programs work together to reduce the loss of life and property, to improve resiliency by enabling individuals to recover more rapidly from floods and other disasters, and to lessen the financial burden on taxpayers.

In FY2009, Mitigation accomplishments included the following:

- Established a program with 29 states and territories in areas of high-seismic risk to strengthen, enhance, and maintain State earthquake hazard reduction programs. FEMA enhanced its Building Science programs, which provide information about proven safe construction methods and are designed to improve the understanding of hazards such as wind storms and floods and their impacts, and support implementation of cost-effective mitigation measures to reduce those impacts.

In FY2010 and FY2011, Mitigation intends to accomplish the following:

- Continue working with local communities to review, refine, and update the flood hazard data reflected on Flood Insurance Rate Maps. The Risk MAP (Mapping, Assessment, and

Planning) Program will build upon the Flood Map Modernization Program to provide sound flood hazard data, align flood map updates with flood risk assessments to support stronger hazard mitigation planning, and enable broader flood risk communications crucial to a national reduction in flood risk.

KEY STRATEGIC GOALS

FEMA will strive to improve the linkages between the priorities of Preparedness, Protection, Response, Recovery, and Mitigation, as well as better balance Headquarters and Regional responsibilities, in terms of operational mission management.

FEMA Regions will continue to have an expanded and more empowered role in executing the agency’s mission, as they are uniquely and geographically best positioned to coordinate jurisdictional-level activities with their geographically respective Federal counterparts, state and local governments, public and private sectors, and individual citizens.

FEMA will promote personal preparedness and increase community resiliency through public education, awareness, community restoration, engagement, planning, and outreach. FEMA will also create safer communities by clearly and consistently communicating all-hazard risk information and promoting mitigation, sound risk management decisions, and physical and economic loss reduction measures.

Recognizing the compelling needs for improving the Nation’s ability to respond to major disasters and, in particular, those of catastrophic magnitude, FEMA will continue to work diligently to establish stronger vertical and horizontal partnerships and improved levels of coordination.

C. Resources Requested and Performance Impact

The FY 2011 FEMA budget request reflects the funding required to sustain the existing improvements in operational response and internal capacity mandated by PKEMRA. The FY 2011 budget request reflects \$7.24 billion in net discretionary budget authority. FEMA has proposed a modest increase of \$23.3M to support neglected facilities. While the proposed budget reflects a modest decrease for certain grant programs and other activities, it upholds the Federal commitment to support state and local government programs that help prevent or respond to threats or incidents of terrorism and other catastrophic events, and enables FEMA to effectively meet its emergency management mandate.

FY 2011 Initiatives:

- **Facilities Improvements**\$23.3M (0 FTE)

FEMA will reach the point in FY2011 where the capacity of our facilities will be unable to absorb projected and necessary staffing increases and mission responsibilities. FEMA also faces a critical need for adequate resources to maintain and repair our aging and deteriorating national facilities. To address these needs, FEMA has developed a five-year capital plan, of which \$23.3 million is required in FY2011 to begin critical regional facility acquisitions and repairs, as well as support critical and long-overdue capital improvements to FEMA’s entire real estate portfolio.

Of the \$23.3 million, \$11.4 million would be allocated to additional facilities to provide adequate space for a force strength that has increased from 2,131 permanent full time employees (prior to PKEMRA) to over 4,000 in FY2010, with much of this plus-up occurring in regional offices with facilities that lack any expansion capability. As a result, the 10 regional offices are now extremely cramped for space, and FEMA regional staff are often forced to work in over-crowded conditions. Nationwide, FEMA's facilities require upgrades to meet safety requirements. These working conditions not only impact personnel productivity, but impair FEMA's ability to attract and retain quality staff.

The remaining \$11.9 million would be allocated to facility repairs and capital improvements. The accepted business practice for Federal facilities is to set aside sufficient funding at the level of 2-4% of the agency real estate portfolio. This enhancement request would elevate the base funding of \$9.6 million to a total \$21.5 million in FY2011 and place it within the accepted business practice range.

D. Performance Highlights, Resources, and Alignment to Strategic Goals

For each mission-oriented program, the program performance goal, total dollars and FTE, and Government performance and Results Act measures are shown below.

Program: Disaster Recovery						
Performance Goal: Help individuals and communities affected by federally - declared disasters return to normal function quickly and efficiently, while planning for catastrophic disaster recovery operations.						
Secretary's Priority Supported: Ensuring Resilience from Disasters.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$20,730,361	\$5,104,310	\$11,595,049	\$1,590,222	\$1,521,152	\$2,087,832
FTE	6,995	3,191	3,227	7,925	4,758	5,079

Performance Plan Measures

Measure: Percent of customers satisfied with Individual Recovery Assistance						
Description of Measure: This measure indicates the percent of Americans affected by disaster or other emergency who express satisfaction with the Individual Disaster Recovery Assistance provided by FEMA. Recovery assistance helps individuals affected by disasters and emergencies return to normal quickly and efficiently.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	90%	91%	92%	93%	91%	91%
Actual:	91%	92.2%	92.7%	90%	N/A	N/A

Measure: Percent of customers satisfied with Public Recovery Assistance						
Description of Measure: This measure reflects the percent of communities affected by disaster or other emergencies who indicate satisfaction with the Public Disaster Recovery Assistance provided by FEMA on a customer survey. Disaster Recovery Assistance includes debris removal, emergency protective measures, and repair or replacement of damaged infrastructure. FEMA conducts a series of Program Evaluation and Customer Satisfaction Surveys each Fiscal Year to gather data on customer satisfaction with performance in specific program areas, including Public Recovery efforts that are used to track improvement in operations and identify areas in need of attention. These areas surveyed include: Overall Program and Process, Project Worksheet Process, Information Dissemination, Public Assistance Administrative Burden, Timely Service and Staff Performance						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	88%	88%	90%	90%	90%	91%
Actual:	88%	88%	90%	0%	N/A	N/A

Measure: Percent of disaster households up to a capacity of 500,000 able to be temporarily housed within 60 days						
Description of Measure: Develop a national strategy and capability to provide sustainable (non - congregate) sheltering for up to 500,000 disaster households within 60 days of the disaster. This goal directly facilitates the recovery of individuals and communities impacted by large disasters						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	20%	40%
Actual:	None	None	None	None	N/A	N/A

Program: Disaster Response						
Performance Goal: Provide the core Federal operational capabilities needed to save lives, minimize suffering, and protect property in a timely and effective manner in communities overwhelmed by acts of terrorism, natural disaster, or other emergencies.						
DHS Secretary's Priority Supported: Ensuring Resilience from Disasters.						

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$1,115,945	\$465,967	\$223,181	\$224,199	\$230,927	\$241,418
FTE	801	986	1,070	414	409	414

Performance Plan Measures

Measure: Percent of response teams reported at operational status.						
Description of Measure: This measure gauges the percent of three types of FEMA's response teams indicating they are ready to respond quickly and effectively to acts of terrorism, natural disasters, and other emergencies. Operational readiness is defined as having the necessary staffing, equipment, and training required for response to a disaster or incident. The measure tracks the readiness of three types of teams: the 28 task forces of Urban Search and Rescue (USR); the five Mobile Emergency Response Support (MERS) detachments; and the six Incident Management Assistance Teams (IMATs).						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	85%	88%	91%	94%	97%	100%
Actual:	85%	88%	93%	94%	N/A	N/A

Program: Grants Program						
Performance Goal: Enhance the Nation's preparedness by increasing the capability of States, territories, and local jurisdictions to prevent, protect, respond, and recover from terrorism and all - hazard incidents.						
DHS Secretary's Priority Supported: Ensuring Resilience from Disasters						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$2,683,809	\$3,354,555	\$3,825,286	\$4,323,319	\$3,778,827	\$3,459,893
FTE	184	216	234	1,179	614	1,180

Performance Plan Measures

Measure: Percent of grantees reporting significant progress toward the goals and objectives identified in their State homeland security strategies						
Description of Measure: This measure reflects grantees' progress toward the goals and objectives identified in their State homeland security strategies. These strategies detail jurisdictions' plans to strengthen their preparation for and response to acts of terrorism, as well as natural and man - made threats. Grantees can also provide written comments on the program and highlight "best practices" and major initiatives in the State as a result of grant funding. Progress toward homeland security strategies provides an over - arching assessment of grantees' ability to coordinate emergency management efforts.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	Baseline (25%)	26%	69%	35%	40%
Actual:	None	67%	26%	31%	N/A	N/A

Measure: Percent of significant progress toward implementation of National Preparedness Priorities.						
Description of Measure: Outcome measure which indicates the degree of progress states are making on national priorities set forth in the National Preparedness Goal. States will make progress on different priorities at different rates. An increase indicates improvement and also indicates an improvement in the area of building the culture of preparedness based on progress against a common set of priorities. Implementation is monitored by Preparedness Officers.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	25%	73%	52%	55%
Actual:	None	77%	51.6%	42%	N/A	N/A

Measure: Percent of States and territories accredited by the Emergency Management Accreditation Program						
Description of Measure: The Emergency Management Accreditation Program (EMAP) is a voluntary review process for State and local emergency management programs. The goal of EMAP is to provide a meaningful, voluntary accreditation process for State, territorial, and local programs that have the responsibility of preparing for and responding to disasters. By offering consistent standards and a process through which emergency management programs can demonstrate compliance, EMAP will strengthen communities' capabilities in responding to all types of hazards and encourage an examination of jurisdictions strengths and weaknesses, pursuit of corrective measures, and communication and planning among different sectors of government and the community.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	Baseline	40%	38%	40%
Actual:	None	None	None	37%	N/A	N/A

Measure: Percent reduction in firefighter injuries in jurisdictions receiving Assistance to Firefighter Grants funding compared to the national average.						
Description of Measure: This measure compares the percent reduction in fighter injuries in jurisdictions that receive Assistance to Firefighter Grants (AFG) to the average percent reduction in firefighter injuries nationwide. The measure specifically focuses on line - of - duty firefighter injuries, not any injury that a firefighter may have.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	15.5%	18%	21%	22%	25%
Actual:	None	44.3%	18%	N/A	N/A	N/A

Program: Logistics Management						
Performance Goal: Improve the response to domestic emergencies and special events by ensuring logistics management capabilities exist to provide the full - range of necessary assets.						
DHS Secretary's Priority Supported: Ensuring Resilience from Disasters						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$4,062,146	\$33,831	\$171,265	\$192,977	\$198,768	\$207,798
FTE	1,566	155	168	138	137	138

Performance Plan Measures

Measure: Percent accuracy of inventory of disaster response supplies						
Description of Measure: The federal government financial balance sheets are reconciled on an annual basis. This reconciliation requires the physical inventory of all supplies and equipment at least once annually, or at an interval acceptable to generally accepted accounting procedures. The standard for physical inventories of strategic stocks and capital equipment has been established as annual. Historically, property inventories were conducted but inventories of consumable supplies were only conducted to aid in purchases of additional goods. This contributed to occasional overstock, poor record keeping, and the inability to obtain an accurate and complete financial audit. This measurement is the average accuracy rate of twelve monthly cyclic inventories over a year period, rather than one annual inventory. In addition, a 100% physical inventory will be taken annually.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	95%	95%
Actual:	None	None	None	None	N/A	N/A

Measure: Percent of shipments arriving with the requested materials in good condition at the requested location by the accepted delivery date.						
Description of Measure: This measurement evaluates the percent of shipments from either FEMA Distribution Centers or ordered from logistics partners such as Defense Logistics Agency, US Army Corp of Engineers or General Services Administration that arrive at the specified location by the agreed upon delivery date. The measurement is a percentage measurement derived by dividing the number of shipments that are received on time by the total number of shipments						

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	80%	85%
Actual:	None	None	None	None	N/A	N/A

Program: Mitigation						
Performance Goal: Reduce the impact of natural hazards on people and property through the analysis and reduction of risks and the provision of flood insurance.						
DHS Secretary's Priority Supported: Ensuring Resilience from Disasters						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$4,648,200	\$3,701,083	\$4,198,069	\$3,976,654	\$3,987,143	\$3,996,558
FTE	1,322	962	1,044	553	457	570

Performance Plan Measures

Measure: Estimated value of potential property losses, disasters, and other costs avoided						
Description of Measure: This measure reports the estimated dollar value of losses to the American public which are avoided or averted through a strategic approach of natural hazard risk management. Losses are avoided to property (buildings and infrastructure) through the provision of: 1) Financial and technical assistance to States, territories, tribes, and communities to implement pre - identified, cost - effective mitigation measures (via Hazard Mitigation Assistance grants); 2) Sound floodplain management; and 3) State - of - the - art building science technologies, guidance and expertise for natural and man - made hazards (Disaster Resistant Building Sciences), thus protecting American citizens from disasters through assistance, education, and technology. A Multi - Hazard Mitigation Council reported that mitigation saves society an average of four dollars for every dollar spent.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	\$2.27B	\$2.40B	\$2.10B	\$2.2B	\$2.3B	\$2.3B
Actual:	2.30B	2.61B	2.53B	\$3.12B	N/A	N/A

Measure: Percent of the national population whose safety is improved through the availability of flood risk data in Geospatial Information System (GIS) format.						
Description of Measure: This measure reports the cumulative percent of the national population that has updated digital flood risk data available online for their community. This digital data replaces old - fashioned paper flood maps. There are some communities, representing eight percent of the population, with little to no flood risk that will not be mapped.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	50%	60%	70%	80%	92%	93%
Actual:	47.7%	60%	71%	80%	N/A	N/A

Program: National Continuity Programs						
Performance Goal: Ensure all Federal Departments and Agencies have fully operational Continuity of Operations and Continuity of Government capabilities.						
DHS Secretary's Priority Supported: Ensuring Resilience from Disasters						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$129,342	\$157,770	\$165,770	\$190,099	\$195,804	\$204,699
FTE	227	309	334	113	109	113

Performance Plan Measures

Measure: Percent of Federal departments and agencies with fully operational Continuity of Operations (COOP) capabilities						
Description of Measure: The National Continuity Program works with Federal departments and agencies to develop and exercise plans that ensure the continuation of federal operations and the continuity and survival of an enduring constitutional government. COOP capable is being able to perform essential functions from an alternate location. Agencies perform self - assessments of COOP plans using the COOP						

self - assessment tool. This ensures the agencies are aware of their COOP capability. The program collects the results of exercises and self - assessments to measure the percentage of departments and agencies that have in place the necessary plans and capabilities.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	95%	100%	100%	100%	75%	80%
Actual:	95%	100%	100%	89%	N/A	N/A

Measure: Percent of United States with resilient emergency alert coverage

Description of Measure: FEMA is transforming the Emergency Alert System from audio-only notification to a system that can reliably send alerts by voice, text, or video to all Americans, including those with disabilities or who cannot understand English. EO 13407 states "It is the policy of the United States to have an effective, reliable, integrated, flexible, and comprehensive system to alert and warn the American people in situations of war, terrorist attack, natural disaster, or other hazards to public safety and well - being (public alert and warning system), taking appropriate account of the functions, capabilities, and needs of the private sector and of all levels of government in our Federal system, and to ensure that under all conditions the President can communicate with the American people." This program will increase the percentage of U.S. residents that will be able to receive an emergency alert message from a broadcast station designed to withstand an emergency for greater than 30 days.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	66%	69%
Actual:	None	None	None	None	N/A	N/A

Program: National Preparedness

Performance Goal: Improve the Nations ability to prepare for, respond to, and recover from acts of terrorism, natural disasters, or other emergencies through exercise facilitation, implementation of the National Incident Management System, and the provision of emergency management training.

DHS Secretary's Priority Supported: Ensuring Resilience from Disasters

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$210,551	\$393,238	\$487,152	\$389,568	\$401,259	\$282,143
FTE	340	517	561	313	303	312

Performance Plan Measures

Measure: Percent increase in knowledge, skills, and abilities of State and local homeland security preparedness professionals receiving training

Description of Measure: This measure evaluates the gain in knowledge, skills, and abilities of students through pre and post course assessments of State and local homeland security professionals after the completion of training, which demonstrates strengthened first responder preparedness and mitigation with respect to acts of terrorism, natural disasters, and other emergencies. Measuring these improvements indicates the impact of training services on the Nation's preparedness level.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	38%	27%	27%	28%	28%	29%
Actual:	27%	25%	27%	28%	N/A	N/A

Measure: Percent of Federal, State, local and tribal governments compliant with the National Incident Management System (NIMS)

Description of Measure: This measure tracks the percent of critical partners who are compliant with the National Incident Management System (NIMS). Critical partners include Federal agencies, State, local and tribal governments. Federal Agencies are required to identify a point of contact within their agency to act as a liaison with NIMS Integration Center, create a NIMS Implementation Plan, incorporate NIMS into their respective Emergency operations Plans, and train all appropriate personnel in the NIMS standard training curriculum. States are required to submit self - certification of compliance based on 23 compliance

requirements in the NIMCAST system. FEMA's Headquarters office monitors and verifies NIMS compliance for the 50 States and U.S. Territories.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	100%	100%	100%	100%	100%	N/A
Actual:	100%	100%	95%	100%	N/A	N/A

Measure: Percent of Radiological Emergency Preparedness Program communities with a nuclear power plant that are fully capable of responding to an accident originating at the site.						
Description of Measure: This measure reports the percent of U.S. communities surrounding a nuclear power plant that are prepared and capable of responding to and recovering from an accident or terrorist attack. This assessment is based on first responder performance in exercises conducted at the facilities.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	100%	100%	100%	100%	100%	N/A
Actual:	100%	100%	100%	100%	N/A	N/A

Measure: Percent of respondents reporting they are better prepared to deal with disasters and emergencies as a result of training						
Description of Measure: This measure reports the percent of students attending training at the Emergency Management Institute (EMI) and in FEMA's Employee Development program who responded to a survey indicating that they are better prepared to deal with disasters and emergencies as a result of the training they received. Training is conducted at the EMI dedicated training facility in Emmitsburg, MD, and also at the Noble Training Center in Anniston, AL, as well as online. This training provides Federal, State, local and tribal officials having key emergency responsibilities with the knowledge and skills needed to strengthen nationwide preparedness and respond to, recover from, and mitigate against acts of terrorism, natural disasters, and other emergencies.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	91%	90%	92%	93%	94%
Actual:	None	89%	92.9	92%	N/A	N/A

Program: U.S. Fire Administration						
Performance Goal: Reduce the effect of fire and all hazard emergencies by supporting and enhancing the delivery of state and local fire and emergency services and promoting public preparedness.						
DHS Secretary's Priority Supported: Ensuring Resilience from Disasters						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$699,109	\$41,349	\$43,300	\$44,979	\$45,588	\$47,655
FTE	148	114	43	127	126	127

Performance Plan Measures

Measure: Percent of supervisors of students trained who believe their staff are better prepared as a result of National Fire Academy training						
Description of Measure: The measure assesses the increase in the level of students trained as reported by individual first - line supervisors. These supervisors observe and report through an on - line survey how training skills are being used on - the - job and whether or not their subordinate is better prepared to respond to disasters and emergencies as a result of the National Fire Academy training they received.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	80%	81%
Actual:	None	None	None	None	N/A	N/A

Measure: The per capita loss of life due to fire in the U.S.						
Description of Measure: This measure analyzes the reduction in the rate of loss of life from fire - related events by one percent per year. It examines the fatalities in the U.S. per million population using modified targets based on the review of historical data. The National Fire Protection Association (NFPA) reports data in September for the previous year. NFPA Survey data are analyzed to produce the report on fire related civilian fatalities.						

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	13.5	13.1	13.0	12.9	12.7	12.6
Actual:	12.4	13.1	11.4	10.9	N/A	N/A

E. High Priority Performance Goals

High Priority Performance Goal (Secretary’s Priority Area: Area 5 – Ensuring Resilience to Disasters) – Strengthen disaster preparedness and response by improving FEMA’s operational capabilities and strengthening State, local and private citizen preparedness.

FEMA strives to both build its capacity to be an effective leader of the federal response to disasters, as well as enabling the capabilities of its state and local partners. Key to planning for and responding to a disaster is having a comprehensive strategy for logistics management, improved disaster sheltering strategies, and strengthening of operational capabilities for State and local governments based upon an event driven methodology.

With regard to its partnerships with state and local entities, FEMA strives to better define what constitutes an ideal level of capability for these partners. In order to ensure the Federal, State, local and tribal first responder community is able to carry out their roles to the highest degree, it is vital that FEMA NPD (National Preparedness Directorate) be able to provide the most relevant and effective training possible. Training evaluation helps integrate and streamline training services provided to the first responder community by measuring preparedness through improved performance.

High Priority Performance Goal Measures

Component	FYHSP Program Name	Program Performance Goal	Performance Measure	DHS Objective Supported	Secretary’s Priority	Secretary’s Priority Goal
FEMA	Recovery	Help individuals and communities affected by federally declared disasters return to normal function quickly and efficiently, while planning for catastrophic disaster recovery operations.	Percent of disaster households up to a capacity of 500,000 able to be temporarily housed within 60 days	4.2	4 - Resilience from Disasters	4.D. - Rapidly Recover
FEMA	Response	Improve the response to domestic emergencies and special events by ensuring logistics management capabilities exist to provide the full-range of necessary assets.	Percent of shipments arriving with the requested materials in good condition at the requested location by the requested delivery date	4.2	4 - Resilience from Disasters	4.C. - Effective Emergency Response
FEMA	Preparedness	Improve the Nation’s ability to prepare for, respond to, and recover from acts of terrorism, natural disasters, or other emergencies through exercise facilitation, implementation of the National Incident Management System, and the provision of emergency	Percent of respondents reporting they are better prepared to deal with disasters and emergencies as a result of training	4.1	4 - Resilience from Disasters	4.B. - Enhance Preparedness

		management training.				
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E. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Digest of FY 2011 Budget Estimates by Activity and FYHSP Program
(dollars in thousands)

FYHSP Program	FY 2009 Revised Enacted		FY 2010 Enacted		FY 2011 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
Logistics Management	138	\$192,977	137	\$198,768	138	\$207,798
Response Logistics		\$119,078		\$122,652		\$128,223
Logistics Management and Administration	138	\$73,899	138	\$76,116	138	\$79,575
Recovery	7,925	\$1,490,222	4,758	\$1,521,152	5,079	\$2,087,832
Planning and Evaluation		\$15,226		\$15,683		\$16,395
Public Assistance	3,371	\$675,500	1,923	\$680,202	2,003	\$1,004,229
Individual Assistance	3,554	\$758,204	1,904	\$706,619	2,081	\$943,169
Disaster Management		\$26,066		\$26,848		\$28,068
Recovery Program Management		\$15,226		\$15,683		\$16,395
Disaster Assistance Management and Administration	1,000	\$73,899	931	\$76,117	995	\$79,576
Response	414	\$224,199	409	\$230,927	414	\$241,418
Response Direction, Command and Control		\$39,655		\$40,845		\$42,701
Response Teams		\$61,655		\$63,505		\$66,390
Response Planning		\$36,655		\$37,755		\$39,470
Response Program Management		\$36,655		\$37,755		\$39,470
Disaster Operations Management and Administration	414	\$49,579	409	\$51,067	414	\$53,387
Grants Program	1,179	\$3,683,319	614	\$3,778,827	1,180	\$3,459,893
State Preparedness Grants Program		\$1,670,578		\$1,529,166		\$1,476,295
Urban Areas Security Initiative Grants		\$1,048,412		\$972,527		\$1,065,513
Infrastructure Protection Program		\$189,329		\$195,011		\$203,870
Assistance to Firefighters Grants	54	\$775,000	58	\$810,258	64	\$580,000
Grants Program Management and Administration	1,125	\$263,943	556	\$271,865	1,116	\$134,215
National Preparedness	313	\$389,568	303	\$401,259	312	\$282,143

Readiness, Prevention, and Planning		\$13,447		\$13,851		\$14,480
National Integration Center		\$26,894		\$27,701		\$28,960
Radiological Emergency Preparedness		(\$505)		(\$520)		(\$544)
Office of National Capital Region Coordination (NCR)		\$6,342		\$6,532		\$6,829
National Incident Management System (NIMS) Integration		\$26,894		\$27,701		\$28,960
State and Local Training		\$197,200		\$203,118		\$100,000
Technical Assistance		\$11,000		\$11,330		\$11,845
National Exercise Program		\$40,299		\$41,508		\$43,394
Systems Support Program		\$0		\$0		\$0
Evaluation and National Assessment Program		\$16,000		\$16,480		\$17,229
National Preparedness Management and Administration	313	\$51,997	303	\$53,558	312	\$30,990
U.S. Fire Administration	127	\$44,979	126	\$45,588	127	\$47,655
U.S. Fire Administration		\$33,734		\$34,191		\$36,155
U.S. Fire Administration Management and Administration	127	\$11,245	126	\$11,397	127	\$11,500
National Continuity Programs	113	\$190,099	109	\$195,804	113	\$204,699
Continuity of Government (COG)		\$35,890		\$36,967		\$38,646
Continuity of Operations (COOP)		\$35,890		\$36,967		\$38,646
Contingency Programs (CP)		\$35,890		\$36,967		\$38,646
Integrated Public Alert Warning System (IPAWS)		\$35,890		\$36,967		\$38,646
National Continuity Management and Administration	113	\$46,539	109	\$47,936	113	\$50,115
Mitigation	278	\$782,655	186	\$756,143	281	\$762,012
Risk Analysis	109	\$124,378	31	\$128,111	113	\$133,930
Risk Reduction	15	\$674,378	15	\$644,616	15	\$645,420
Risk Insurance		(\$62,640)		(\$64,520)		(\$67,451)
Mitigation Management and Administration	154	\$46,539	140	\$47,936	153	\$50,113
Net Discretionary Authority	10,497	\$6,998,418	6,642	\$7,128,468	7,644	\$7,293,450
Mitigation						
Risk Insurance	275	\$3,193,999	271	\$3,231,000	289	\$3,234,546
Mandatory Authority	275	\$3,193,999	271	\$3,231,000	289	\$3,234,546
Subtotal	10,762	\$10,192,017	6,913	\$10,359,468	7,933	\$10,527,996
Supplementals						
Grants - State Preparedness Grants		\$130,000				
American Recovery and Reinvestment Act						
Recovery - Individual Assistance		\$100,000				
Grants - Assistance to Firefighter Grants		\$210,000				

Grants - State Preparedness Grants		\$300,000				
Total Budget Authority	10,762	\$10,932,017	6,913	\$10,359,468	7,933	\$10,527,996

Department of Homeland Security
Citizenship & Immigration Services



Fiscal Year 2011
Overview
Congressional Justification

i. Summary of FY Budget Estimates by Appropriation without Emergency Funding

**Department of Homeland Security
Citizenship & Immigration Services**
Summary of FY 2011 Budget Estimates by Appropriation

Total Appropriations
(Dollars in Thousands)

Appropriation	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses:	179	143,084	303	224,000	1,289	385,800	986	161,800	199	64,400	787	97,400
Immigration Examinations Fee Account:	10,043	2,340,845	9,874	2,513,138	9,403	2,375,479	(471)	(137,659)	(199)	(26,102)	(272)	(111,557)
H-1B Nonimmigrant Petitioner Account	-	12,251	-	13,000	-	13,000	-	-	-	-	-	-
Fraud Prevention and Detection Account	156	30,524	658	109,859	186	38,078	(472)	(71,781)	-	-	(472)	(71,781)
Subtotal, Enacted Appropriations and Budget Estimates	10,378	2,526,704	10,835	2,859,997	10,878	2,812,357	43	(47,640)	-	38,298	43	(85,938)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	10,378	2,526,704	10,835	2,859,997	10,878	2,812,357	43	(47,640)	-	38,298	43	(85,938)

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security
Citizenship & Immigration Services**
Homeland and Non-Homeland Allocation by Program/Project Activity
(Dollars in Thousands)

Budget Activity	2009 Actual						2010 Enacted						2011 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	---	---	179	143,084	179	143,084	---	---	303	\$224,000	303	\$224,000	---	---	1,289	\$385,800	1,289	\$385,800
Asylum and Refugee Services / Military Naturalizations	---	---	---	---	---	---	---	---	---	55,000	---	55,000	---	---	744	207,000	744	207,000
Immigrant Integration & Citizenship	---	---	---	---	---	---	---	---	3	11,000	3	11,000	---	---	23	18,000	23	18,000
Data Center Development	---	---	---	---	---	---	---	---	---	11,000	---	11,000	---	---	---	23,400	---	23,400
REAL-ID	---	---	---	---	---	---	---	---	2	10,000	2	10,000	---	---	2	---	2	---
E-Verify	---	---	174	115,234	174	115,234	---	---	298	137,000	298	137,000	---	---	338	103,400	338	103,400
Citizenship Education Grants	---	---	---	1,200	---	1,200	---	---	---	---	---	---	---	---	---	---	---	---
Benefit Parole Programs	---	---	5	518	5	518	---	---	---	---	---	---	---	---	---	---	---	---
SAVE	---	---	---	---	---	---	---	---	---	---	---	---	---	---	182	34,000	182	34,000
Business Transformation	---	---	---	25,382	---	25,382	---	---	---	---	---	---	---	---	---	---	---	---
Website Restructuring	---	---	---	750	---	750	---	---	---	---	---	---	---	---	---	---	---	---
Total Direct Appropriations and Budget Estimates	---	---	179	143,084	179	143,084	---	---	303	224,000	303	224,000	---	---	1,289	385,800	1,289	385,800
Fee Accounts	---	---	10,199	2,383,620	10,199	2,383,620	---	---	10,532	2,635,997	10,532	2,635,997	---	---	9,589	2,426,557	9,589	2,426,557
Immigration Examinations Fee	---	---	10,043	2,340,845	10,043	2,340,845	---	---	9,874	2,513,138	9,874	2,513,138	---	---	9,403	2,375,479	9,403	2,375,479
H-1B Nonimmigrant Petitioner	---	---	---	12,251	---	12,251	---	---	---	13,000	---	13,000	---	---	---	13,000	---	13,000
Fraud Prevention and Detection	---	---	156	30,524	156	30,524	---	---	658	109,859	658	109,859	---	---	186	38,078	186	38,078

iii. Status of Congressional Requested Studies, Reports and Evaluation

**Department of Homeland Security
Citizenship & Immigration Services**
Status of Congressional Requested Studies, Reports and Evaluation

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009	11/15/2009	PL. 110-161	4th Qtr. - FY 09 Backlog Elimination Status Report: CIS to continue to report quarterly on the status of application processing and the backlog reduction plan.	Action Office. Currently incorporating proposed edits into report and finalizing for transmission.

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
U.S. Citizenship & Immigration Services**

Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2011 Request
	Fiscal Year	Amount	Amount	Amount
Salaries and Expenses		631,745	707,392	385,800
INS Citizenship Services	2002	631,745	707,392	385,800
Total Direct Authorization/Appropriation		\$631,745	\$707,392	\$385,800
Fee Accounts		---	---	2,426,557
Immigration Examinations Fee		---	---	2,375,479
H-1B Nonimmigrant Petitioner		---	---	13,000
Fraud Prevention and Detection		---	---	38,078

Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Salaries and Expenses:

I. Appropriation Overview

A – Mission Statement for Salaries and Expenses:

The U.S. Citizenship and Immigration Services (USCIS) will secure America’s promise as a nation of immigrants by providing accurate and useful information to our customers, granting immigration and citizenship benefits, promoting an awareness and understanding of citizenship, and ensuring the integrity of the immigration system.

USCIS has established six goals: (1) ensure the security and integrity of the immigration system, (2) provide efficient customer-oriented immigration benefits and information services, (3) increase understanding of citizenship and its privileges and responsibilities, (4) ensure flexible and sound immigration policies and programs that meet the needs and obligations of the nation, including our international treaties on humanitarian protection and trade, (5) strengthen the infrastructure necessary to achieve USCIS’ mission, and (6) operate as a high-performance organization and position USCIS as an employer of choice.

USCIS is a component of the Department of Homeland Security (DHS) that facilitates legal immigration for people seeking to enter, reside, or work in the United States. USCIS possesses the authority to grant or deny immigration benefits – approving over six million immigration benefits each year. These immigration benefits range from work authorization documents to asylum and refugee applications, to petitions for immediate relatives to immigrate to the United States.

The Salaries and Expenses account encompasses all of the discretionary funding of USICS. The most significant program funded through this account has been E-Verify. E-Verify is an automated system that allows U.S. employers to electronically verify names, dates of birth (DOB), and social security numbers (SSN), along with immigration information for non-citizens, against Federal databases to ensure the employment eligibility of both citizen and non-citizen new hires.

Starting in FY 2010, funding was enacted covering a portion of the cost of refugee, asylum, and military naturalization operations, an allocated share of the International Operations Division, the cost of processing Adjustment of Status (I-485) applications for refugees, which are exempt from fees by law, and a share of indirect overhead expenses tied to these activities. The purpose of these appropriations was to eliminate certain fee surcharges on applications for activities unrelated to the cost of providing services on those applications. These activities were previously funded within the Immigration Examinations Fee Account (IEFA).

B – Budget Activities:

The salaries and expenses appropriation funds activities related to maintaining operational support of E-Verify, including expanded activities approved in FY 2010. Funding is also requested to continue Immigrant Integration initiatives started in FY 2010 to help immigrants adjust to life in the United States. In addition, USCIS is requesting appropriated resources to support the Refugee and Asylum programs. New funding is requested to eliminate “surcharges” on immigration application fees for SAVE and the Office of Citizenship, both were previously funded in FY 2010 within the IEFA account.

C – Budget Request Summary:

USCIS requests 1,289 positions, 1,289 FTE and \$385,800,000 for the FY 2011 Salaries and Expenses Request. The total change from the FY 2010 President’s Budget is a net increase of 986 FTE and an increase of \$161,800,000. This amount includes increases of \$34,000 to SAVE, \$7,000,000 to the Office of Citizenship, \$23,400,000 to Data Center Development and a decrease of \$10,000,000 to the REAL ID program.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security Citizenship & Immigration Services Salaries and Expenses:

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Business Transformation	-	25,382	-	-	-	-	-	-	-	-	-	-
SAVE	-	-	-	-	182	34,000	182	34,000	182	34,000	-	-
E-Verify	174	115,234	298	137,000	338	103,400	40	(33,600)	-	-	40	(33,600)
Real ID Act Implementation	-	-	2	10,000	2	-	-	(10,000)	-	-	-	(10,000)
Benefit Parole Program	5	518	-	-	-	-	-	-	-	-	-	-
Asylum and Refugee Services/Military Naturalization	-	-	-	55,000	744	207,000	744	152,000	-	-	744	152,000
Immigrant Integration & Citizenship	-	-	3	11,000	23	18,000	20	7,000	17	7,000	3	-
Data Center Development	-	-	-	11,000	-	23,400	-	12,400	-	23,400	-	(11,000)
Immigration service programs	-	1,200	-	-	-	-	-	-	-	-	-	-
Website Restructuring	-	750	-	-	-	-	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	179	143,084	303	224,000	1,289	385,800	986	161,800	199	64,400	787	97,400
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	179	143,084	303	224,000	1,289	385,800	986	161,800	199	64,400	787	97,400

III. Current Services Program Description by PPA

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Business Transformation
Program Performance Justification
(Dollars in Thousands)**

PPA: Business Transformation

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	-	-	25,382
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	-

No funds were requested for this PPA in FY 2010 or FY 2011.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
SAVE
Program Performance Justification
(Dollars in Thousands)**

PPA: SAVE

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Program Change	182	182	34,000
2011 Total Request	182	182	34,000
Total Change 2010 to 2011	182	182	34,000

USCIS is requesting funding for SAVE through the Salaries and Expenses budget for FY 2011.

CURRENT SERVICES PROGRAM DESCRIPTION:

The SAVE program helps state, local, or federal agencies determine a non-citizen's eligibility for public benefits by checking their immigration status. As of January 2010, the SAVE program has a total 347 registered agencies. This includes 185 state agencies, 36 DMVs, 98 local agencies, and 28 federal agencies. Through December 31, 2009, there were 2.6 million SAVE queries run through the system. Large agency customers include the Social Security Administration, the U.S. Department of Housing and Urban Development, the U.S. Department of Education, and the California Department of Motor Vehicles.

FY 2009 Accomplishments:

- AAMVAnet Pilot for DMV access to SAVE for REAL-ID.
- Retired multiple access methods and migrated customers to the efficient Web-3 access method Achieved 25% growth in customer base, expanding to 300 agencies.
- Created and implemented a Memorandum of Agreement (MOA) to strengthen and standardize program requirements for enhancing overall program compliance.

FY 2010 Planned Activities:

- Develop and implement a Customer Relationship Management Plan.
- Develop an implementation plan to address surges in business activities due to new and pending legislation.
- Develop system requirements for registration re-engineering and profile-based system (PBS) / SAVE modernization.
- Establish Independent Validation and Verification (IV&V) for oversight of AAMVA Verification of Lawful Status (VLS) and REAL ID projects.

FY 2011 Planned Activities:

- Implement full-scale registration re-engineering and profile-based system (PBS) / SAVE modernization.
- Conduct assessment of source data to enhance program efficiency.
- Conduct a large-scale independent SAVE Program evaluation.
- Conduct a Six Sigma root cause analysis of SAVE referrals to minimize additional verification.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
E-Verify
Program Performance Justification
(Dollars in Thousands)**

PPA: E-Verify

	Perm. Pos	FTE	Amount
2009 Actuals	256	174	115,234
2010 Enacted	338	298	137,000
2011 Adjustments-to-Base	-	40	(33,600)
2011 Current Services	338	338	103,400
2011 Total Request	338	338	103,400
Total Change 2010 to 2011	-	40	(33,600)

USCIS requests \$103,400,000, 338 positions, and 338 FTE for this activity.

CURRENT SERVICES PROGRAM DESCRIPTION:

E-Verify is a program that provides participating employers an automated system to run employment authorization checks for newly hired employees against DHS, Social Security Administration (SSA) and Department of State databases.

The E-Verify program was established by the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRIRA) and is based on the Employment Eligibility Verification Form (Form I-9). The Form I-9 was created for employers to use when verifying the identity and employment eligibility of employees in accordance with the Immigration Reform and Control Act of 1986 (IRCA), which mandated that all U.S. employers verify that employees hired after November 6, 1986 are both work-eligible and in possession of valid work authorization documents. With a few exceptions, the Form I-9 must be completed for all newly-hired employees regardless of citizenship or national origin.

E-Verify is the best available means for confirming an employee's authorization to work in the United States. Employers enter information from the Form I-9 into the internet-based E-Verify program and electronically check that information against federal government databases. This is accomplished through use of the Verification Information System (VIS). VIS consists of an integrated database that both pulls verification data from other related agency systems as well as processes verification requests. USCIS has

added database system capacity to match anticipated future query growth and developed a plan to migrate VIS to a government controlled data center.

E-Verify has a photo tool feature to combat false positives related to identity theft through immigration document fraud. The tool allows an employer to match the employee-provided document photo (for the Form I-9) to the photo on file with that document's issuing agency. The photo tool helps combat against the use of counterfeit or photo-substituted documents to verify employment eligibility through E-Verify. The photo tool currently includes Permanent Resident Card ("Green Card") and Employment Authorization Document (EAD) photographs, both DHS-issued identity documents.

Over the last few years, voluntary program use has increased significantly. E-Verify maintains an outreach campaign to increase the number of employers using the program and also developed a customer contact center to provide additional channels of communication for E-Verify users. As of December 15, over 175,000 employers at over 650,000 worksites nationwide were enrolled in E-Verify and an estimated 200,000 employers will be enrolled by the end of FY 2010, representing over six million business locations and running an estimated 12 million E-Verify queries.

To detect and deter improper system use E-Verify has a Monitoring and Compliance (M&C) unit. M&C staff identify behaviors that indicate potential system misuse, such as document fraud (multiple social security numbers or A-Numbers in the system), and discrimination (prescreening, verifying existing workforce). M&C reviews this data to identify pertinent incidences and patterns. In addition, M&C has developed Standard Operating Procedures (SOPs) to conduct compliance through a series of escalating actions ("touches") to include letters, calls, referrals to enforcement agencies, and other actions. E-Verify has established relationships with our enforcement partners—U.S. Immigration and Customs Enforcement (ICE) and the Office of Special Counsel for Immigration Related Unfair Employment Practices (OSC) in the Department of Justice—and refers cases of immigration related non-compliance that fall under their jurisdiction. USCIS signed a Memorandum of Understanding (MOU) with ICE in December 2008 formalizing an information exchange for enforcement and partnership assistance involving egregious cases. Furthermore, USCIS is currently working with OSC to establish a similar MOU to govern information sharing and case referral. The E-Verify program has responded to over 140 external data requests from ICE and OSC as of August 2009.

To enhance monitoring analysis and compliance activity capabilities, E-Verify has implemented a Compliance Tracking and Management System (CTMS) tool, and is establishing business requirements for a Data Analysis System (DAS) capable of automatically detecting discrimination and fraud patterns using data discovery techniques. The CTMS has enabled M&C staff to assign cases to staff, group cases by incident, employer and other identifiers, and safely store Personally Identifiable Information (PII) in compliance with the Privacy Act. Once fully implemented, the DAS tool will employ algorithms and statistical techniques to detect incidents of potential misuse, abuse, fraud, discrimination, and other types of non-compliant behavior. DAS

will generate initial compliance actions (emails and letters to employers) and record the data in the CTMS to develop cases and maintain auditable data on instances of system misuse.

The E-Verify M&C unit is also leveraging other compliance assistance techniques such as a call center, outreach, and education. These techniques will give employers the tools and information they need to self-monitor their E-Verify usage. The E-Verify program receives an average of 10,000 calls per month via the toll-free call center. In addition, E-Verify undertakes advertising and outreach events geared toward educating prospective employers about correct E-Verify usage. The program is also partnering with the DHS Office of Civil Rights and Civil Liberties to develop a bilingual video for employers and employees on proper E-Verify use.

To accommodate E-Verify employer growth, M&C has a staffing plan based on the number of non-compliant employers that they project to touch. The staffing formula is also adjustable and determines staffing levels based on the touch rate proportion and types of touches (emails, desk audits, etc.) proposed. As of December, there were 13 E-Verify M&C personnel in the metropolitan Washington, DC area and 28 in Buffalo, NY. The Buffalo regional office will accommodate 32 M&C personnel once fully staffed in FY 2010.

FY 2009 Accomplishments:

- The E-Verify program launched the Compliance Tracking and Management System (CTMS) in June 2009. CTMS will be the key tool in incident communication, case tracking, workflow or operating procedure management, and M&C branch activity results tracking.
- A contact center operation: offers multiple contact methods for program participants; provides telephone and IT infrastructure; provides Interactive Voice Response System (IVR) services, transaction processing, management information, and decision support systems; and, supplies the facilities necessary to operate an inbound/outbound contact center.
- E-Verify expanded marketing to increase public and employer awareness of the program. Traditional advertising methods, including newspaper/magazine, radio, outdoor (billboard), and direct mail advertisements, as well as online banner advertisements and internet keyword searches were used where appropriate.
- DHS and the Department of State (DOS) signed an MOU allowing passport data to be included in the E-Verify system. This has decreased the number of TNCs issued to naturalized and derivative citizens who are not reflected as such in SSA databases, but are in DOS databases.
- E-Verify continued to work with the American Association of Motor Vehicle Administrators (AAMVA), an IT resource for nearly all DMVs, to augment its IT system with driver's license data from all 50 state DMVs. System design and implementation are in progress and will be in place in FY 2010. The E-Verify program is determining which state DMVs are interested in serving as "pilot" states for E-Verify driver's license verification.

- E-Verify began planning for the migration of VIS to a new environment allowing for a scalable and comprehensive infrastructure with full data recovery and continuity of operations plan (COOP) capabilities as mandated by DHS and USCIS.
- Starting September 8, 2009, employers with federal contracts or subcontracts that contain the Federal Acquisition Regulation (FAR) E-Verify clause were required to use E-Verify to determine the employment eligibility of employees performing direct, substantial work under federal contracts and all new hires, including employees not working on a federal contract. Federal contractors or subcontractors who have a contract with the (FAR) E-Verify clause also have the option to verify their entire workforce, including all existing employees.
- Ongoing analysis by independent evaluator Westat based on first quarter FY 2009 data (October through December 2008), found 96.9 percent of employees are automatically confirmed as work authorized, requiring no employee/employer action. This represents an improvement over the 96.1 percent statistic previously reported for the April through June 2008 time period.

FY 2010 Planned Activities:

- The E-Verify program will focus on enhancing the program's monitoring and compliance capability, and continuing to improve business practices.
- E-Verify will aim to automate the monitoring and compliance process by the end of FY 2010 through DAS, thereby improving the ability to detect non-compliance patterns and trends. DAS employs algorithms and statistical techniques to detect incidents of potential misuse, abuse, fraud, discrimination, and other types of non-compliant behavior. DAS implementation will interface with the Case Tracking and Management System (CTMS) and serve as a force multiplier.
- E-Verify will undergo CTMS 508 Remediation to enhance CTMS compliance with Section 508.
- E-Verify acquire U.S. passport photo access for E-Verify photo tool usage. The inclusion of passport photos will help prevent passport document fraud aimed at obtaining E-Verify employment authorization. The capability to verify U.S. passport photos will be used as part of the employment authorization (Form I-9 process).
- E-Verify will integrate MOUs into a new knowledge management system to modernize the employer registration process.
- E-Verify will work to add additional state DMVs in driver's license data with DHS, pending a formal MOU with a state regarding the sharing of data. This would prevent one possible avenue of identity theft currently used to deceive the system. Incorporating driver's license photos into the photo tool would represent a significant system enhancement, since new hires most often present this document to prove their identities.

FY 2011 Planned Activities:

- E-Verify will continue to improve the data matching success rate by using more sophisticated algorithms when matching data from disparate sources. This will ultimately reduce the rate of inaccurate results within the initial verification process.
- E-Verify will further enhance VIS by developing and implementing an E-Verify portal to provide a single user interface for the program's products and services. The portal will provide a customer centric "look and feel," search capabilities, role-base personalization, and single sign-on capabilities. The portal will ensure 508 Compliance in accordance with the Americans with Disabilities Act.
- E-Verify will work to deploy a Self Check function to allow employees to verify their own employment eligibility outside of the hiring process, and then proactively resolve any issues.
- E-Verify will enhance E-Verify monitoring and compliance activities through analytical capabilities that will support more robust fraud detection and improved analytic processes.
- E-Verify will implement a Customer Master File initiative to enable E-Verify Customer Support functions to gain a complete lifecycle view of all customer interactions.
- E-Verify will enhance the security of E-Verify by leveraging an identity assurance function that will authenticate users that run queries, while developing a prototype for employees being run through the system.
- E-Verify will continue developing system enhancements in response to customer feedback, surveys, mission requirements and capacity needs. E-Verify will also further upgrade security tools, processes, and encryption, including scheduling security audits and vulnerability assessments.
- E-Verify will continue marketing outreach to increase public and employer awareness of the E-Verify program, as well as provide employees with information regarding employee rights. Marketing efforts will include reaching out to prospective and current users through a variety of customized outreach venues and marketing techniques.
- E-Verify will plan for development of a tutorial system that permits participants to select more relevant or specific training content based on the company profile or user profile, thereby ending the tutorial structure that is based on access method and user role structures.
- E-Verify will be developing a new MOU for web service access, re-write the current MOUs in simplistic and concise language, and update the MOUs to reflect current security and privacy protocols.
- E-Verify will work to revise and enhance VIS capabilities in a two phases. The Registration Reengineering will allow a more user friendly interface and the automation of the current manual registration process within SAVE.
- E-Verify will implement a two phase project within SAVE, the Profile Based System Phase I and II that will allow SAVE to better serve both the agency and the agencies applicant for benefits. SAVE will determine, on a case-by-case basis,

the agencies' inputs and SAVE's results to make a determination whether an applicant is eligible for a benefit.

- E-Verify will implement VER Work Process System (SVS Reengineering), a case management system that allows Status Verifiers (MPAs) to review, research, and resolve manual and electronic SAVE and E-Verify cases that cannot be resolved in automated Primary Verification.
- E-Verify will explore several potential developments aimed at reducing false negatives. One example: eventual inclusion of the updated ICE database that houses student visa data—SEVIS II—which will reduce the number of tentative non-confirmations (TNCs) by verifying that non-immigrant students and exchange visitors are authorized to work.
- E-Verify will implement the final phase of the VIS migration to Stennis, MS and the VIS test and development environment migration to DHS/USCIS TECC (Transformation Engineering Consolidation Center) data center in Manassas, VA.
- E-Verify will continue marketing outreach to increase public and employer awareness of the E-Verify program, as well as provide employees with information regarding employee rights. Marketing efforts will include placing local advertisements for various outreach and training events, as well as national advertisements.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Real ID Act Implementation
Program Performance Justification**
(Dollars in Thousands)

PPA: Real ID Act Implementation

	Perm. Pos	FTE	Amount
2009 Actuals	2	-	-
2010 Enacted	2	2	10,000
2011 Adjustments-to-Base	-	-	(10,000)
2011 Current Services	2	2	-
2011 Total Request	2	2	-
Total Change 2010 to 2011	-	-	(10,000)

CURRENT SERVICES PROGRAM DESCRIPTION:

The REAL ID Act requires that a state must verify the information on source documents before it can issue a REAL ID-compliant driver’s license or identification card to applicants.

REAL ID will facilitate the development and deployment of information sharing and verification capabilities that will enable states to verify data against other state and federal databases as required by the REAL ID Act. USCIS is working with Mississippi, the Lead State, and other states to upgrade existing data communications networks to meet the requirements of the REAL ID Act. In addition, USCIS is working with federal agency database owners to enhance the capabilities of these databases to support the verification requirements of the REAL ID Final Rule. The scope of effort for this program is limited to enhancements to existing state and federal databases and communications networks and does not involve the development of any new databases or facilities. In addition, none of these funds will be used “to create any new system of records from the data accessible by such information technology system, or to create any means of access by Federal agencies to such information technology system other than to fulfill responsibilities pursuant to the REAL ID Act of 2005.”

The program includes enhancements to the following data verification and communication systems:

- The Commercial Driver Licensing Information System (CDLIS) – the system that currently supports the issuance of commercial driver’s license in 51 U.S. jurisdictions. The purpose of CDLIS is to help ensure that only one driver license card is issued to one driver. CDLIS is operated by the American Association of Motor Vehicle Administrators (AAMVA) under the mandate of the Federal Motor Carrier Safety Administration. *[State-to-State Verification Project]*
- The Systematic Alien Verification for Entitlement (SAVE) system – USCIS will work with states to improve the capabilities of the USCIS system that verifies lawful immigration status. *[REAL ID Program Support and SAVE-VLS Modernization Projects]*
- The Social Security On-line Verification System (SSOLV) – USCIS will work with states and the Social Security Administration to identify and fund enhancements to the system that currently verifies social security numbers for all 50 states and District of Columbia. *[SSOLV Upgrade Project]*
- The Electronic Verification of Vital Events (EVVE) System operated by the Association of Public Health Statistics and Information Systems (NAPHSIS) – funding will be provided to NAPHSIS and other vendors as needed to support the requirements of the REAL ID Final Act. *[Birth Verification Project]*
- USCIS, other DHS, and Department of State (DOS) systems needed to support verification of U.S. passports, U.S. visas, Consular Reports of Birth Abroad, and other DOS documents identified in the REAL ID Final Rule. *[Passport/Visa Verification Project]*
- AAMVAnet – the communications network owned and operated by AAMVA. AAMVAnet currently supports most of the verification requirements of the REAL ID Final Rule and provides a common, cost-effective communications and data verification interface to all state and federal agencies. *[Included in the scope of work for all program projects.]*

In FY 2008 DHS provided \$17 million in grant funding to the State of Mississippi to lead the effort to define, develop and deploy the capabilities needed to support the identity information verification requirements of the REAL ID Act. In January 2009, the five states of Mississippi, Kentucky, Indiana, Florida, and Nevada established a non-profit corporation (DIVS – DL/ID Information Verification Systems, Inc.) to provide program oversight, management and governance of the requirements definition process, development and deployment of the electronic verification capabilities as required by both Federal and state regulations. DIVS has participated in the alternative of analysis process, completed the requirements generations process and submitted those documents to DHS for review and approval. DHS is working with DOT, Mississippi, DIVS, other states, and other Federal agencies to review and approve the recommended information verification program requirements prior to moving forward to the system design and development phase. Development and deployment of these additional capabilities will likely extend through FY 2014 though DHS anticipates obligating all funds needed for completion by FY 2012.

A total of \$60 million has been appropriated for this purpose between FY 2009 and FY 2010. During FY 2010, USCIS with DHS support will finalize a detailed expenditure plan for these resources and will begin to obligate funds in support of this center.

FY 2010 Planned Activities:

- Select USCIS REAL ID Program Management Team (2 FTEs and contractor support).
- Approve the state-to-state systems requirement documents.
- Procurement of the state-to-state project.
- Completion of the design specifications for the state-to-state project.
- Completion of requirements for improvements to SAVE Program for verification of immigration status.
- Completion of requirements for enhancements to verification of SSNs and DOS documents.

FY 2011 Planned Activities:

- Completion of development and testing for the state-to-state verification project.
- Procurement for pilot testing and state deployment of state-to-state verification capabilities.
- Design and development of capabilities for immigration status, passport/visa, SSN, and birth verification enhancement projects.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Benefit Parole Program
Program Performance Justification**
(Dollars in Thousands)

PPA: Benefit Parole Program

	Perm. Pos	FTE	Amount
2009 Actuals	5	5	518
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	-

No funds were requested for this activity in FY 2010 or FY 2011. All costs will now be financed through fee-based resources within IEFA.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Asylum and Refugee Services/Military Naturalization
Program Performance Justification
(Dollars in Thousands)**

PPA: Refugee Services/Military Naturalization

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	-	-	55,000
2011 Adjustments-to-Base	744	744	152,000
2011 Current Services	744	744	207,000
2011 Total Request	744	744	207,000
Total Change 2010 to 2011	744	744	152,000

USCIS requests \$207,000,000, 744 positions, and 744 FTE for this activity.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Refugee, Asylum, and International Operations (RAIO) Directorate extends protection, citizenship, and other immigration benefits to eligible individuals. RAIO detects fraud and protects national security. RAIO has 852 permanent positions and comprises the three operational divisions. The Refugee Affairs Division is a headquarters-based operation whose officers' travel to conduct refugee processing. The Asylum Division has eight domestic asylum offices. The International Operations Division has three overseas district offices (Mexico City, Bangkok, Rome) and 29 field offices. With a broad footprint extending from U.S. embassies and consulates to additional refugee processing locations, RAIO is the face of USCIS abroad. Only 5% of the International Operations Division is included in the Current Services level. The other 95% is funded through IEFA.

RAIO officers conduct refugee and asylum interviews in the United States and in dozens of overseas locations, they authorize parole for individuals in emergent and humanitarian circumstances, and conduct a full range of other immigration benefit adjudications. RAIO officers reunite separated refugee and asylee family members, unite prospective adoptive parents with children who are in need of a home, and travel to overseas military bases to naturalize men and women as U.S. citizens who serve in the U.S. military. RAIO administers the Cuban and Haitian Entrant Program (CHEP), providing multi-million dollar grants to non-governmental organizations that provide orientations and

resettlement services to Cuban and Haitian migrants paroled into the U.S. In furtherance of USCIS' mission and United States interests, RAIIO liaises with United States and foreign government, international organizations, civil society, and private entities worldwide. RAIIO is vigilant in safeguarding the integrity of USCIS' various programs by deterring and detecting fraud and threats to national security.

FY 2009 Accomplishments:

- Completed 110,000 refugee determination interviews to support 75,000 refugee admissions to the United States.
- Implemented a comprehensive refugee standard operating procedure and expanded and improved capacity to capture and check biometrics for applicants for refugee resettlement.
- Achieved a six-month cycle time measured in real time for affirmative asylum.
- Completed more than 33,000 asylum applications resulting in 5,881 cases pending – an historic low.

FY 2010 Planned Activities:

- Conduct 95,000 refugee interviews to support up to 75,000 refugee admissions pursuant to the President's annual determination.
- Enhance the integrity of refugee adjudications by continuing to work with interagency partners to address vetting procedures and protocols.
- Expand and institutionalize the RAIIO Quality Assurance program piloted in FY 2009.
- In coordination with the Department of State, re-launch the refugee Priority 3 program for family-based access to the U.S. Refugee Admissions Program (USRAP), including the use of DNA evidence as appropriate.
- Provide specialized training for Supervisory Refugee Corps officers.
- Participate in interagency consultations with stakeholders to examine the refugee resettlement program.
- Improve the information on the USRAP available to the public on the USCIS website.
- Implement mechanisms to solicit information from adjudicators and supervisors regarding training needs, including information gathered through quality assurance reviews, and develop a national training agenda to meet adjudicator and supervisor educational needs.
- Establish and implement a country of origin information research and field engagement strategy.
- Analyze jurisdictions of asylum offices to determine whether there is any need for amendments and, if so, take appropriate actions to adjust jurisdictions.
- In coordination with the USCIS I-730 working group, revise the asylee and refugee following-to-join process to enhance efficiency and integrity, including information technology changes and implementation of procedures for the interview of domestic I-730 beneficiaries.
- Develop joint RAIIO training for all new Asylum and Refugee Officers.

FY 2011 Planned Activities:

- Continue a robust, worldwide schedule of circuit rides to support the annual refugee admissions ceiling.
- Identify opportunities to further enhance the integrity of refugee processing through strategic partnerships and the use of technology.
- Deliver targeted in-service training to address issues identified through the Quality Assurance Program, in addition to existing training programs.
- Work with program partners and stakeholders to improve the USRAP.
- Implement I-730 adjudication requirements and procedures.
- Implement new technologies and processes to enhance the integrity of asylum case processing.
- Provide training to new and established asylum officers annually, weekly, and periodically, developing new training programs to meet adjudicator and supervisor educational needs.
- Implement Joint RAIO training for all new Asylum and Refugee Officers.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Immigrant Integration & Citizenship
Program Performance Justification**
(Dollars in Thousands)

PPA: Immigrant Integration & Citizenship

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	6	3	11,000
2011 Adjustments-to-Base	-	3	-
2011 Current Services	6	6	11,000
2011 Program Change	17	17	7,000
2011 Total Request	23	23	18,000
Total Change 2010 to 2011	17	20	7,000

USCIS requests \$18,000,000, 23 positions, and 23 FTE for this activity.

CURRENT SERVICES PROGRAM DESCRIPTION:

Resources are requested for 23 positions, 23 FTE and \$18 million to support the mission and infrastructure of the Office of Citizenship to promote the rights and responsibilities of citizenship and provide integration tools and resources for immigrants, organizations, and other stakeholders. With this funding, the Office of Citizenship will:

- Develop and disseminate citizenship education and English as a Second Language (ESL) resources for immigrants and organizations
- Provide training and technical assistance to educators and volunteers preparing immigrants for citizenship
- Build community capacity to prepare immigrants for citizenship through a competitive grant program;
- Promote citizenship through outreach and targeted integration messages.

USCIS provides a valuable role in coordinating federal integration efforts and raising awareness of the importance of integration and citizenship among all sectors of society. Key to the success of this program are partnerships with state and local governments, U.S. businesses, non-profits, faith-based organizations, and academia, as all have important roles to play in improving integration.

FY 2009 Accomplishments:

- Through the competitive Citizenship Grant Program, USCIS awarded \$1.2 million to 13 community-based organizations nationwide to promote the rights and responsibilities of citizenship through citizenship education and naturalization preparation programs. The organizations estimate they will be able to provide direct citizenship services to more than 4,400 legal permanent residents from countries as diverse as Afghanistan, the Dominican Republic, El Salvador, and Russia, among others, and will be able to conduct citizenship-related outreach reaching an estimated 50,000 immigrants.
- USCIS began administering a new naturalization test that will more effectively assess an applicant's knowledge of U.S. history and government and ensure uniform test administration. The overall pass rate for the new test is currently above 90 percent.
- Training was provided in areas of American history, civics, and the naturalization process to volunteers and adult educators working to prepare adult immigrant students for U.S. citizenship. Throughout the year, USCIS held 18 workshops across the country for more than 1,100 volunteers and adult educators. A Master Teacher Course for its EL/Civics Online program was also developed. The course now provides in-depth information and teaching resources for users. The online course registered more than 2,000 new users and averaged 11,000 visitors monthly.

FY 2010 Planned Activities:

- Administer an expanded competitive Citizenship Grant Program to promote immigrant integration and the rights and responsibilities of citizenship.
- Develop requirements and issue an award for the development of a free web-based English language learning tool for naturalization applicants.
- Enhance an online searchable database so applicants can locate English as a Second Language (ESL) and citizenship classes in their local community.
- Provide a professional development tool for volunteers to improve skills to teach citizenship-based ESL to immigrants.
- Expand citizenship education and outreach initiatives. The Office of Citizenship will raise awareness about the rights, responsibilities, and importance of United States citizenship, as well as promote the free educational resources and tools that USCIS has developed to foster immigrant integration.

FY 2011 Planned Activities:

- Enhance educational products and resources that welcome immigrants, promote English language learning and education on the rights and responsibilities of citizenship, and prepare immigrants for naturalization.
- Expand the free web-based English language learning tool for naturalization applicants.

- Lead initiatives to promote citizenship awareness and demystify the naturalization process for aspiring citizens.
- Monitor and evaluate the administration and content of the new naturalization test.
- Support national and community-based organizations that prepare immigrants for citizenship through the competitive Citizenship Grant Program, free educational resources, and technical assistance.
- Build partnerships with state and local governments and non-governmental organizations to expand citizenship resources in communities.
- Increase volunteer capacity through training tools and raising awareness of opportunities for volunteers to prepare immigrants for citizenship.
- Conduct training workshops and enhance professional development and classroom resources for educators and organizations preparing immigrants for citizenship.
- Guide federal integration policy and priorities and lead collaboration on integration among federal agencies.
- Lead initiatives to engage the general public on integration and celebrate the importance of citizenship to the nation.
- Utilize research and evaluation mechanisms to assess immigrant integration efforts and the impact of specific Office of Citizenship initiatives.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Data Center Development
Program Performance Justification**
(Dollars in Thousands)

PPA: Data Center Development: Consolidate to secure data center environment

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	-
2010 Enacted	-	-	11,000
2011 Adjustments-to-Base	-	-	(11,000)
2011 Current Services	-	-	-
2011 Program Change	-	-	23,400
2011 Total Request	-	-	23,400
Total Change 2010 to 2011	-	-	12,400

CURRENT SERVICES PROGRAM DESCRIPTION:

FY 2011 data center development funding, to be managed through the DHS Working Capital Fund (WCF), will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2011. This includes:

- Discovery, migration planning, and scheduling activities specifically related to systems/applications that will transition to the DHS Data Centers in FY 2010
- Purchase of new equipment for placement in the DHS Data Centers as part of migration/transition efforts
- Installation of equipment racks at the DHS Data Centers
- Migration-related build-out of DHS Data Center infrastructure
- Transition of disaster recovery/backup/COOP (Continuity of Operations) capability to DHS Data Centers
- Installation of infrastructure support as part of system migrations at the DHS Data Centers
- Migration of USCIS hardware, systems/applications to occupy rack space at the DHS Data Centers.

Justification

The Data Center consolidation efforts will standardize IT resource acquisitions across DHS Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

With respect to USCIS, the primary intent for this FY 2011 request is to begin the migration of production applications from the Manassas Technology Engineering Consolidation Center (TECC) and other USCIS offices to the DHS data centers. USCIS anticipates this will be a two-year effort, with a third year required to move the TECC Development and Test Environments completely to the DHS data centers, allowing for the closure of the TECC. The consolidation of USCIS IT systems at the two DHS data centers will provide a standard IT environment that is more secure and under DHS operational control, promote interoperability and data sharing within DHS and with other government agencies, and provided an environment for future DHS-wide IT cost savings.

**Department of Homeland Security
 Citizenship & Immigration Services
 Salaries and Expenses:
 Immigration service programs
 Program Performance Justification**
 (Dollars in Thousands)

PPA: Immigration service programs

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	1,200
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	-

Related funds were requested within the “Immigrant Integration & Citizenship” program.

**Department of Homeland Security
 Citizenship & Immigration Services
 Salaries and Expenses:
 Website Restructuring
 Program Performance Justification
 (Dollars in Thousands)**

PPA: Website Restructuring

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	-	-	750
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	-

CURRENT SERVICES PROGRAM DESCRIPTION:

Congress approved a reprogramming in FY 2009 in order to complete a one-time restructuring of the USCIS website. No funds are requested for this activity in FY 2011.

IV. Program Justification Changes

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
SAVE
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Fee Structure Reform: Systematic Alien Verification Entitlements
PPA: SAVE
Program Increase: Positions 182.0, FTE 182.0, Dollars \$34,000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							182	182	34,000
Total Request	-	-	-	-	-	-	182	182	34,000

Fee Structure Reform

Resources are requested for 182 positions, 182 FTE, and \$34 million for Fee Structure Reform that encompasses moving the Systematic Alien Verification for Entitlements (SAVE) program to appropriated financing. FY 2010 enacted funding included the budget request to move the costs of asylum, refugee, and military naturalization activities from fee financing to appropriated financing to reduce undue cost burdens on persons and business that pay fees for immigration benefits. This request expands on the FY 2010 reforms by moving SAVE to appropriated financing. This activity bears virtually no relationship to the cost to the administration and adjudication of immigration benefits yet costs for it are currently attached to the price of applications and petition. A proposed rulemaking during FY 2010 will incorporate this request into a revised fee structure.

Justification

The request seeks \$34 million, 182 positions, and 182 FTE to support the cost of the SAVE program. The SAVE program currently helps more than 330 State, local, and Federal agencies validate the provision of government benefits by checking immigration status. Fees on agency users support less than 25 percent of program operations, resulting in costs being incorporated into fees of unrelated activities. The request assumes that all existing fees would be dropped and \$22 million of appropriated funding

will support base SAVE operations. Remaining funds will be used to improve cost integration with the E-Verify program and improve SAVE operations.

With respect to operational improvements, resources will be used to improving customer service and outreach efforts to assist customers with training and proper use of the system, as well as enhance business processes and information technology systems to increase efficiency and effectiveness. Among other things, resources would be used to:

- Improve the SAVE website.
- Enhance the online SAVE tutorial with compliance requirements and other information.
- Development of a Profile-Based System to update the current profile structure to ensure each user receives only the information required to make a determination.
- Develop a process to leverage agency fraud detection processes and tools.
- Establishing a self-audit capability for customers to monitor and address system misuse and abuse.
- Conduct a root cause analysis of SAVE referrals to minimize the need for 2nd and 3rd step verifications.
- Develop an internal process and IT solution to assist in identifying system data errors.
- Analyze potential data source improvements to connect directly to CLAIMS3 and/or CISCOR
- Complete a Record Data Matching project.

Impact on Performance (Relationship of Increase to Strategic Goals):

Additional funding above base operations will help to improve security through enhanced immigration services. We will increase security by denying immigration benefits to persons wishing to do us harm and integrating our information with that of other Federal agencies with an aim of keeping out dangerous individuals.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Immigrant Integration & Citizenship
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Fee Structure Reform: Immigration Integration
PPA: Immigrant Integration activities
Program Increase: Positions 17.0, FTE 17.0, Dollars \$7,000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							17	17	7,000
Total Request	-	-	-	-	-	-	17	17	7,000

Fee Structure Reform

Resources are requested for 17 positions, 17 FTE, and \$7 million for Fee Structure Reform that encompasses moving the Office of Citizenship to appropriated financing. FY 2010 enacted funding included the budget request to move the costs of asylum, refugee, and military naturalization activities from fee financing to appropriated financing to reduce undue cost burdens on persons and business that pay fees for immigration benefits. This request expands on the FY 2010 reforms by moving the Office of Citizenship to appropriated financing. This activity bears virtually no relationship to the cost to the administration and adjudication of immigration benefits yet costs for it are currently attached to the price of applications and petition. A proposed rulemaking during FY 2010 will incorporate this request into a revised fee structure.

Justification

The request seeks \$7 million, 17 positions, and 17 FTE to support moving currently-fee funded base operations of the Office of Citizenship to appropriated financing. FY 2010 enacted funding included \$11 million in appropriations for Immigrant Integration activities undertaken through the Office. While this function is extended within the FY 2011 request, nearly \$7 million of base costs are incorporated into fees of unrelated activities. The request will eliminate fee-based financing for the entire Office of Citizenship.

Impact on Performance (Relationship of Increase to Strategic Goals):

Additional funding above base operations will help to improve security through enhanced immigration services. We will increase security by denying immigration benefits to persons wishing to do us harm and integrating our information with that of other Federal agencies with an aim of keeping out dangerous individuals.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Data Center Development
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Data Center Development
 PPA: Data Center Development: Consolidate to secure data center environment
 Program Increase: Positions 0.0, FTE 0.0, Dollars \$23,400.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	23,400
Total Request	-	-	-	-	-	-	-	-	23,400

Resources are requested in FY 2011 for data center development funding, to be managed through the DHS Working Capital Fund (WCF). These funds will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2011. This will include:

- Discovery, migration planning, and scheduling activities specifically related to systems/applications that will transition to the DHS Data Centers in FY 2010
- Purchase of new equipment for placement in the DHS Data Centers as part of migration/transition efforts
- Installation of equipment racks at the DHS Data Centers
- Migration-related build-out of DHS Data Center infrastructure
- Transition of disaster recovery/backup/COOP (Continuity of Operations) capability to DHS Data Centers
- Installation of infrastructure support as part of system migrations at the DHS Data Centers
- Migration of USCIS hardware, systems/applications to occupy rack space at the DHS Data Centers.

Justification

The request seeks \$23.4 million, to support the cost of the data center development. These efforts will standardize IT resource acquisitions across DHS Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from

consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

With respect to USCIS, the primary intent for this FY11 request is to begin the migration of production applications from the Manassas Technology Engineering Consolidation Center (TECC) and other USCIS offices to the DHS data centers. USCIS anticipates this will be a two-year effort, with a third year required to move the TECC Development and Test Environments completely to the DHS data centers, allowing for the closure of the TECC. The consolidation of USCIS IT systems at the two DHS data centers will provide a standard IT environment that is more secure and under DHS operational control, promote interoperability and data sharing within DHS and with other government agencies, and provided an environment for future DHS-wide IT cost savings.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

For necessary expenses for citizenship and immigration services, [\$224,000,000] \$385,800,000, of which [\$50,000,000] \$207,000,000 is for processing applications for asylum or refugee status[; of which \$5,000,000 is for the processing of military naturalization applications]; and of which \$137,000,000 is for [the basic pilot program (] immigration verification programs, including the E-Verify Program[)], as authorized by section 402 of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1324a note), to assist United States employers with maintaining a legal workforce: Provided, [That of the amounts made available for the basic pilot program (E-Verify Program), \$30,000,000 shall remain available until September 30, 2011: Provided further,] That notwithstanding any other provision of law, funds available to United States Citizenship and Immigration Services may be used to acquire, operate, equip, and dispose of up to five vehicles, for replacement only, for areas where the Administrator of General Services does not provide vehicles for lease: Provided further, That the Director of United States Citizenship and Immigration Services may authorize employees who are assigned to those areas to use such vehicles to travel between the employees' residences and places of employment: [Provided further, That none of the funds made available under this heading may be obligated for processing applications for asylum or refugee status unless the Secretary of Homeland Security has published a final rule updating part 103 of title 8, Code of Federal Regulations, to discontinue the asylum/refugee surcharge: Provided further, That none of the funds made available under this heading may be obligated for development of the ``REAL ID hub" until the Committees on Appropriations of the Senate and the House of Representatives receive a plan for expenditure for that program that describes the strategic context of the program, the specific goals and milestones set for the program, and the funds allocated for achieving each of these goals and milestones:] Provided further, That none of the funds made available in this Act for grants for immigrant integration may be used to provide services to aliens who have not been lawfully admitted for permanent residence.(Department of Homeland Security Appropriations Act, 2010.)

B. FY 2010 to 2011 Budget Change

Department of Homeland Security Citizenship & Immigration Services Salaries and Expenses: FY2010 to FY2011 Budget Change (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2009 Actuals	263	179	143,084
FY 2010 Enacted	346	303	224,000
Adjustments-to-Base	-	-	-
Increases	-	-	-
2011 pay increase	-	-	497
Annualization of prior year part year funding	-	43	3,864
Fee Reform Adjustment: Asylum and Refugee Services	744	744	152,000
Total Increases	744	787	156,361
Decreases	-	-	-
Termination of One-Time Costs	-	-	(58,961)
Total Decreases	-	-	(58,961)
Total, Adjustments-to-Base	744	787	97,400
FY 2011 Current Services	1,090	1,090	321,400
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Data Center Development	-	-	23,400
Fee Structure Reform: Immigration Integration	17	17	7,000
Fee Structure Reform: Systematic Alien Verification Entitlements	182	182	34,000
Total, Program Changes	199	199	64,400
FY 2011 Request	1,289	1,289	385,800
FY 2010 to FY 2011 Total Change	943	986	161,800

C. Summary of Requirements

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	263	179	143,084
FY 2010 Enacted	346	303	224,000
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	744	787	156,361
Decreases	-	-	(58,961)
Total, Adjustments-to-Base	744	787	97,400
FY 2011 Current Services	1,090	1,090	321,400
Program Changes	-	-	-
Total, Program Changes	199	199	64,400
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	1,289	1,289	385,800
Total Change 2010 to 2011	943	986	161,800

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
SAVE	-	-	-	182	182	34,000	182	182	34,000	182	182	34,000	-	-	-
E-Verify	338	298	137,000	338	338	103,400	-	40	(33,600)	-	-	-	-	40	(33,600)
Real ID Act Implementation	2	2	10,000	2	2	-	-	-	(10,000)	-	-	-	-	-	(10,000)
Asylum and Refugee Services/Military Naturalization	-	-	55,000	744	744	207,000	744	744	152,000	-	-	-	744	744	152,000
Immigrant Integration & Citizenship	6	3	11,000	23	23	18,000	17	20	7,000	17	17	7,000	-	3	-
Data Center Development	-	-	11,000	-	-	23,400	-	-	12,400	-	-	23,400	-	-	(11,000)
Subtotal, Estimates Program Project Activity	346	303	224,000	1,289	1,289	385,800	943	986	161,800	199	199	64,400	744	787	97,400
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	346	303	224,000	1,289	1,289	385,800	943	986	161,800	199	199	64,400	744	787	97,400

D. Summary of Reimbursable Resources

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Summary of Reimbursable Resources
(Dollars in Thousands)**

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Department of Homeland Security	2	2	238	2	2	243	2	2	250	-	-	7
Department of State	1	1	200	1	1	200	-	-	-	(1)	(1)	(200)
Total Budgetary Resources	3	3	438	3	3	443	2	2	250	(1)	(1)	(193)

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
E-Verify [EEV]	3	3	438	3	3	443	2	2	250	(1)	(1)	(193)
Total Obligations	3	3	438	3	3	443	2	2	250	(1)	(1)	(193)

E. Summary of Requirements by Object Class

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	15,507	26,915	127,383	100,468
11.3 Other than full-time permanent	286	432	507	75
11.5 Other personnel compensation	527	824	2,126	1,302
12.1 Benefits	4,037	7,304	8,971	1,667
21.0 Travel	527	15,399	13,620	(1,779)
22.0 Transportation of things	53	268	278	10
23.1 GSA rent	2,492	2,359	12,881	10,522
23.2 Other rent	53	100	100	-
23.3 Communications, utilities, and misc. charges	1,956	597	989	392
24.0 Printing	13	47	2,082	2,035
25.1 Advisory and assistance services	46,209	58,393	107,373	48,980
25.2 Other services	834	34,097	54,951	20,854
25.3 Purchases from Gov't accts.	22,965	10,211	10,973	762
25.7 Operation and maintenance of equipment	31,195	52,514	43,205	(9,309)
26.0 Supplies and materials	206	1,910	2,349	439
31.0 Equipment	15,024	2,344	6,173	3,829
32.0 Land & structures	-	2,300	2,300	-
41.0 Grants/Subsidies/Contributions	1,200	37,925	33,107	(4,818)
99.0 Other	-	-	41	41
Total, Object Class	143,084	253,939	429,409	175,470
Unobligated Balance, start of year	(68,598)	(76,430)	(46,491)	29,939
Unobligated Balance, end of year	76,430	46,491	2,882	(43,609)
Recoveries of Prior Year Obligations	(2,230)	-	-	-
Offsetting Collections	2,252	-	-	-
Adjustment For Other Funding Sources	1,042	-	-	-
Total, Adjustments	8,896	(29,939)	(43,609)	(13,670)
Total, Direct Obligations	151,980	224,000	385,800	161,800

F. Permanent Positions by Grade

Department of Homeland Security Citizenship & Immigration Services Salaries and Expenses: Permanent Positions by Grade

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
GS-15	52	68	254	186
GS-14	78	102	381	279
GS-13	41	54	200	146
GS-12	19	25	93	68
GS-11	16	21	80	59
GS-9	34	45	167	122
GS-7	19	25	94	69
GS-6	1	2	7	5
GS-5	3	4	13	9
Total Permanent Positions	263	346	1,289	943
Unfilled Positions EOY	84	-	-	-
Total Permanent Employment EOY	263	346	1,289	943
Full Time Equivalents	179	303	1,289	986
Headquarters	203	206	501	295
U.S. Field	60	140	788	648
Foreign Field	-	-	-	-
Total, Location	263	346	1,289	943
Average ES Salary	-	-	-	-
Average GS Salary	91,889	80,486	82,176	1,690
Average Grade	13	11	11	-

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Business Transformation
Funding Schedule
(Dollars in Thousands)**

PPA: Business Transformation	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	25,075	-	-	-
25.2 Other services	307	-	-	-
Total, Object Class	25,382	-	-	-
Unobligated Balance, start of year	(25,382)	-	-	-
Total, Adjustments	(25,382)	-	-	-
Total, Business Transformation	-	-	-	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Business Transformation Program which is a multi-year effort to modernize USCIS business processes and supporting systems. In FY 2008, USCIS received \$47 million in no-year appropriated funding to support this initiative.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	25,075	-	-	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	307	-	-	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.1.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
SAVE
Funding Schedule
(Dollars in Thousands)**

PPA: SAVE	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	-	17,416	17,416
11.3 Other than full-time permanent	-	-	197	197
11.5 Other personnel compensation	-	-	40	40
21.0 Travel	-	-	52	52
22.0 Transportation of things	-	-	5	5
25.1 Advisory and assistance services	-	-	4,039	4,039
25.2 Other services	-	-	180	180
25.3 Purchases from Gov't accts.	-	-	1,801	1,801
25.7 Operation and maintenance of equipment	-	-	10,000	10,000
26.0 Supplies and materials	-	-	270	270
Total, Object Class	-	-	34,000	34,000
Total, SAVE	-	-	34,000	34,000
Full Time Equivalents	-	-	182	182

PPA Mission Statement

The SAVE program helps state, local, or federal agencies determine a non-citizen's eligibility for public benefits by checking their immigration status. As of January 2010, the SAVE program has a total 347 registered agencies. This includes 185 state agencies, 36 DMVs, 98 local agencies, and 28 federal agencies. Through December 31, 2009, there were 2.6 million SAVE queries run through the system. Large agency customers include the Social Security Administration, the U.S. Department of Housing and Urban Development, the U.S. Department of Education, and the California Department of Motor Vehicles.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	-	17,416	17,416

Salaries and Benefits provide for \$17,653,000 and 182 FTE. The FY 2011 increase of \$17,653,000 is due to the inclusion of the SAVE Program in it's entirety in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	-	-	197	197

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	-	-	40	40

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	-	-	52	52

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 increase of \$52,000 is due to the inclusion of the SAVE Program in it's entirety in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	-	-	5	5

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 increase of \$5,000 is due to the inclusion of the SAVE Program in it's entirety in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	-	4,039	4,039

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 increase of \$14,039,000 is due to the inclusion of the SAVE Program in it's entirety in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	-	180	180

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 increase of \$180,000 is due to the inclusion of the SAVE Program in it's entirety in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	-	-	1,801	1,801

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 increase of \$1,801,000 is due to the inclusion of the SAVE Program in it's entirety in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	-	-	10,000	10,000

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	-	-	270	270

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2011 increase of \$270,000 is due to the inclusion of the SAVE Program in it's entirety in the Salaries and Expenses Account.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
E-Verify
Funding Schedule
(Dollars in Thousands)**

PPA: E-Verify	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	15,053	26,270	29,654	3,384
11.3 Other than full-time permanent	286	432	310	(122)
11.5 Other personnel compensation	526	812	1,042	230
12.1 Benefits	3,974	7,118	8,217	1,099
21.0 Travel	527	830	830	-
22.0 Transportation of things	53	30	30	-
23.1 GSA rent	2,492	2,350	2,350	-
23.2 Other rent	53	100	100	-
23.3 Communications, utilities, and misc. charges	1,956	477	477	-
24.0 Printing	13	-	-	-
25.1 Advisory and assistance services	20,384	34,524	34,524	-
25.2 Other services	527	3,302	3,302	-
25.3 Purchases from Gov't accts.	22,965	8,568	8,568	-
25.7 Operation and maintenance of equipment	31,195	52,514	29,577	(22,937)
26.0 Supplies and materials	206	1,039	1,039	-
31.0 Equipment	15,024	1,922	1,922	-
32.0 Land & structures	-	2,300	2,300	-
Total, Object Class	115,234	142,588	124,242	(18,346)
Unobligated Balance, start of year	(43,216)	(26,430)	(20,842)	5,588
Unobligated Balance, end of year	26,430	20,842	-	(20,842)
Adjustment For Other Funding Sources	1,042	-	-	-
Total, Adjustments	(15,744)	(5,588)	(20,842)	(15,254)
Total, E-Verify	99,490	137,000	103,400	(33,600)
Full Time Equivalents	174	298	338	40

PPA Mission Statement

The E-Verify Program, a key component of the Department's Secure Border Initiative, involves electronic verification checks of the Social Security Administration and DHS databases, using an automated system to verify employment authorization.

The potential for system abuse grows with an increase in registered employers. By increasing and expanding aggressive monitoring and compliance initiatives fraudulent, discriminatory or misinformed use of E-Verify will be minimized, specifically, fraudulent use of Social Security numbers or Alien numbers. Aggressive monitoring and compliance will also deter prescreening of job applicants and adverse action against employees who receive tentative non-confirmation notices.

The requested amount will allow E-Verify to continue to support and operate a comprehensive electronic employment verification program, and initiate a phased-in expansion and improvement of existing employment verification systems, to ensure compliance with U.S. immigration and employment laws.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	15,053	26,270	29,654	3,384

Salaries and Benefits includes \$39,223,000 for 338 positions and 338 FTE in FY 2011. This is an increase of \$727,000 for pay inflation and \$3,864,000 for annualization of 40 FTE.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	286	432	310	(122)

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	526	812	1,042	230

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	3,974	7,118	8,217	1,099

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	527	830	830	-

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. There is no change to the FY 2011 request.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	53	30	30	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. There is no change to the FY 2011 request.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	2,492	2,350	2,350	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	53	100	100	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	1,956	477	477	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	13	-	-	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	20,384	34,524	34,524	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	527	3,302	3,302	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	22,965	8,568	8,568	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	31,195	52,514	29,577	(22,937)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects a decrease of \$23,337,000 in one-time costs in FY 2010 for the VIS Program.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	206	1,039	1,039	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request reflects no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	15,024	1,922	1,922	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	-	2,300	2,300	-

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request reflects no change.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Real ID Act Implementation
Funding Schedule
(Dollars in Thousands)**

PPA: Real ID Act Implementation	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	268	272	4
11.5 Other personnel compensation	-	7	7	-
12.1 Benefits	-	78	79	1
21.0 Travel	-	3	2	(1)
23.1 GSA rent	-	9	14	5
23.3 Communications, utilities, and misc. charges	-	1	2	1
25.1 Advisory and assistance services	-	9,984	4,388	(5,596)
25.3 Purchases from Gov't accts.	-	1,500	500	(1,000)
26.0 Supplies and materials	-	1	1	-
41.0 Grants/Subsidies/Contributions	-	22,500	17,502	(4,998)
Total, Object Class	-	34,351	22,767	(11,584)
Unobligated Balance, start of year	-	(50,000)	(25,649)	24,351
Unobligated Balance, end of year	50,000	25,649	2,882	(22,767)
Total, Adjustments	50,000	(24,351)	(22,767)	1,584
Total, Real ID Act Implementation	50,000	10,000	-	(10,000)
Full Time Equivalents	-	2	2	-

PPA Mission Statement

The REAL ID Act requires that a state must verify the information on source documents before it can issue a REAL ID-compliant driver's license or identification card to applicants.

The funding provided through USCIS is aimed specifically at the development and deployment of enhanced network communications and data verification capabilities that will enable States to meet the verification requirements of the REAL ID Act and Final Rule.

The integrity of the immigration system is facilitated if State efforts through REAL ID discourage the use of false immigration information to unlawfully obtain benefits.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	268	272	4

Salaries and Benefits provides \$358,000 for 2 FTE for FY 2011. This is an increase of \$5,000 for pay inflation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	-	7	7	-

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	-	78	79	1

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.2 Military personnel benefits	-	-	-	-

Replace and Type Budget Object Class Here

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	-	3	2	(1)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request reflects a decrease of \$1,000 for travel in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	-	9	14	5

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request reflects an increase of \$5,000 for GSA Rent costs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	-	1	2	1

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request reflects a decrease of \$1,000 in Communication costs.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	9,984	4,388	(5,596)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects a decrease of \$5,596,000 in one-time costs associated with FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	-	1,500	500	(1,000)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request reflects a decrease of \$1,000,000 of a one-time cost for an IAA in FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	-	1	1	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request reflects no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	22,500	17,502	(4,998)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request reflects a decrease of \$4,998,000 for one-time costs related to Grants in FY 2010.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Benefit Parole Program
Funding Schedule
(Dollars in Thousands)**

PPA: Benefit Parole Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	454	-	-	-
11.5 Other personnel compensation	1	-	-	-
12.1 Benefits	63	-	-	-
Total, Object Class	518	-	-	-
Total, Benefit Parole Program	518	-	-	-
Full Time Equivalents	5	-	-	-

PPA Mission Statement

In FY 2008, the Refugee, Asylum and International Operations Directorate incorporated into USCIS the Humanitarian Affairs Branch (HAB) previously located in ICE. HAB is responsible for the adjudication of approximately 1,500 requests for humanitarian parole and significant public benefit paroles each year, as well as for management of the Cuban Haitian Entrant Program (CHEP) that provides reception, processing, and resettlement assistance to Cuban and Haitian parolees.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	454	-	-	-

Salaries and Benefits reflects no FTE in FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	1	-	-	-

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	63	-	-	-

See description in 11.1.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Asylum and Refugee Services/Military Naturalization
Funding Schedule
(Dollars in Thousands)**

PPA: Refugee Services/Military Naturalization	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	-	77,666	77,666
11.5 Other personnel compensation	-	-	998	998
12.1 Benefits	-	-	5	5
21.0 Travel	-	14,453	12,364	(2,089)
22.0 Transportation of things	-	238	238	-
23.1 GSA rent	-	-	10,517	10,517
23.3 Communications, utilities, and misc. charges	-	113	504	391
24.0 Printing	-	47	47	-
25.1 Advisory and assistance services	-	5	37,128	37,123
25.2 Other services	-	30,795	51,054	20,259
25.3 Purchases from Gov't accts.	-	143	-	(143)
25.7 Operation and maintenance of equipment	-	-	3,628	3,628
26.0 Supplies and materials	-	870	1,021	151
31.0 Equipment	-	411	4,225	3,814
41.0 Grants/Subsidies/Contributions	-	7,925	7,605	(320)
Total, Object Class	-	55,000	207,000	152,000
Total, Refugee Services/Military Naturalization	-	55,000	207,000	152,000
Full Time Equivalents	-	-	744	744

PPA Mission Statement

The Asylum/Refugee Operating Expenses program within the Salaries & Expenses account includes funding for the Refugee and Asylum Divisions of the Refugee, Asylum, and International Operations (RAIO) Directorate; administrative costs associated with Asylum/Refugee projects; and the Cuban-Haitian Entrant and Humanitarian Parole programs.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	-	77,666	77,666

Salaries and Benefits includes costs for 744 FTEs. This is an increase of \$78,669,000 for the full cost of 744 FTE's from the Immigration Examinations Fee Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	-	-	998	998

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	-	-	5	5

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	-	14,453	12,364	(2,089)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$985,000 related to fee reform for FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	-	238	238	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	-	-	10,517	10,517

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes a \$10,517,000 increase for Fee Reform.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	-	113	504	391

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request includes a \$391,000 increase for Fee Reform.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	-	47	47	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	5	37,128	37,123

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes a \$37,123,000 increase for Fee Reform.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	30,795	51,054	20,259

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes a \$20,259,000 increase for Fee Reform.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	-	143	-	(143)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request shows a \$143,000 decrease related to the realignment of costs for Fee Reform.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	-	-	3,628	3,628

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a \$3,628,000 increase for Fee Reform.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	-	870	1,021	151

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an increase of \$151,000 for Fee Reform.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	-	411	4,225	3,814

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes \$3,814,000 for Fee Reform.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	7,925	7,605	(320)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request includes a decrease of \$3,394,000 related to the realignment of funds for Fee Reform.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Immigrant Integration & Citizenship
Funding Schedule
(Dollars in Thousands)**

PPA: Immigrant Integration activities	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	377	2,375	1,998
11.5 Other personnel compensation	-	5	39	34
12.1 Benefits	-	108	670	562
21.0 Travel	-	113	372	259
22.0 Transportation of things	-	-	5	5
23.3 Communications, utilities, and misc. charges	-	6	6	-
24.0 Printing	-	-	2,035	2,035
25.1 Advisory and assistance services	-	2,880	3,894	1,014
25.2 Other services	-	-	415	415
25.3 Purchases from Gov't accts.	-	-	104	104
26.0 Supplies and materials	-	-	18	18
31.0 Equipment	-	11	26	15
41.0 Grants/Subsidies/Contributions	-	7,500	8,000	500
99.0 Other	-	-	41	41
Total, Object Class	-	11,000	18,000	7,000
Total, Immigrant Integration activities	-	11,000	18,000	7,000
Full Time Equivalents	-	3	23	20

PPA Mission Statement

This program will fund activities associated with improving the integration of immigrants into the United States including: grants to community-based organizations for citizenship preparation; expanding English language learning aids; supporting a training framework for local literacy organizations to prepare volunteers to teach English and citizenship to immigrants; and, promoting citizenship through targeted integration messages. Key to the success of this new program is establishing partnerships with state and local governments, U.S. businesses, non-profits, faith-based organizations, and academia as all have important roles to play in improving integration. USCIS will also work with other federal agencies to coordinate efforts aimed at integration.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	377	2,375	1,998

Salaries and Benefits includes \$3,077,000 for 23 positions and 23 FTEs in FY 2011. This is an increase of \$7,000 for pay inflation, and \$211,000 for annualization of 3 FTE, and \$2,376,000 to move 17 positions from the Immigration Examinations Fee Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	-	5	39	34

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	-	108	670	562

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	-	113	372	259

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes a \$259,000 increase related to moving the Office of Citizenship to the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	-	-	5	5

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes a \$5,000 increase related to moving the Office of Citizenship to the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	-	6	6	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request includes no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	-	-	2,035	2,035

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes a \$2,035,000 increase related to moving the Office of Citizenship to the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	2,880	3,894	1,014

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes a \$1,014,000 increase related to moving the Office of Citizenship to the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	-	415	415

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes a \$415,000 increase related to moving the Office of Citizenship to the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	-	-	104	104

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes a \$104,000 increase related to moving the Office of Citizenship to the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	-	-	18	18

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an \$18,000 increase related to moving the Office of Citizenship to the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	-	11	26	15

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes a \$15,000 increase related to moving the Office of Citizenship to the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	7,500	8,000	500

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request reflects a \$500,000 increase in Grants.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Data Center Development
Funding Schedule
(Dollars in Thousands)**

PPA: Data Center Development: Consolidate to secure data center environment	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	11,000	23,400	12,400
Total, Object Class	-	11,000	23,400	12,400
Total, Data Center Development: Consolidate to secure data center environment	-	11,000	23,400	12,400
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Data center development funding will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2011.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	11,000	23,400	12,400

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 funding will be used for Data Center Development. This funding, to be managed through the DHS Working Capital Fund (WCF), will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Immigration service programs
Funding Schedule
(Dollars in Thousands)**

PPA: Immigration service programs	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	1,200	-	-	-
Total, Object Class	1,200	-	-	-
Total, Immigration service programs	1,200	-	-	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Citizenship Education Grants are competitive grants to community-based organizations located in areas of the country with the highest concentrations of immigrants.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	1,200	-	-	-

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:
Website Restructuring
Funding Schedule
(Dollars in Thousands)**

PPA: Website Restructuring	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	750	-	-	-
Total, Object Class	750	-	-	-
Total, Website Restructuring	750	-	-	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

\$750,000 was approved in a reprogramming in order to complete a one-time restructuring of the USCIS website.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	750	-	-	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

I. Changes in Full Time Equivalent

Department of Homeland Security Citizenship & Immigration Services Salaries and Expenses: Changes in Full Time Equivalent

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	131	179	303
INCREASES	-	-	-
E-Verify: Adjustment to base.	48	-	-
Increases	48	-	-
E-Verify Program Increase: Increased staff to expand the monitoring & compliance	-	40	-
Immigrant Integration Program Increase: To support program implementation	-	3	-
E-Verify: Annualization of prior year part year funding	-	86	-
Annualization of prior year part year funding	-	-	43
Fee Reform Adjustment: Asylum and Refugee Services	-	-	744
Fee Structure Reform: Immigration Integration	-	-	17
Fee Structure Reform: Systematic Alien Verification Entitlements	-	-	182
Subtotal, Increases	48	129	986
DECREASES	-	-	-
Benefit Parole Program: Adjustment to base.	-	(5)	-
Subtotal, Decreases	-	(5)	-
Year End Actual / Estimated FTEs:	179	303	1,289
Net Change from prior year base to Budget Year Estimate:	48	124	986

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
Citizenship & Immigration Services
Salaries and Expenses:**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Headquarters Management and Administration	1,971	21,302	33,702	12,400
Total Working Capital Fund	1,971	21,302	33,702	12,400

Department of Homeland Security

Citizenship & Immigration Services

Immigration Examinations Fee Account:



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Immigration Examinations Fee Account:

I. Appropriation Overview

A – Mission Statement for Immigration Examinations Fee Account:

The Immigration Examinations Fee Account (IEFA) is the primary program funding source for USCIS, comprising approximately 95 percent of the total USCIS budget. Fees collected from the filing of immigration benefit applications are deposited into the IEFA and used to fund the cost of processing immigration benefit applications and associated support benefits and the cost of similar benefits provided to other immigrants where fees are waived.

B – Budget Activities:

Adjudication Services

Through a network of 230 local offices, Application Support Centers, Service Centers, Document Production Facilities, Asylum Offices, and 29 International Offices, USCIS is responsible for the timely and quality processing of:

- *Family-based petitions* - facilitating the process for close relatives of U.S. citizens and permanent residents to immigrate, gain permanent residency, work, etc.
- *Employment-based petitions* - facilitating the process for current and prospective employees to immigrate or work in the U.S. temporarily
- *Asylum and Refugee petitions* - adjudicating asylum applications and processing refugees
- *Naturalization petitions* - processing applications of those who wish to become U.S. citizens

Secure identity cards and travel documents booklets are personalized and provided to recipients of certain immigration benefits as evidence of immigration status and for use in proving eligibility to work and live in the United States and or to re-enter the United States after travel abroad. Premium processing revenues collected into this account also fund the Business Transformation Program which is a multi-year effort to modernize USCIS business processes and supporting systems.

Information and Customer Services

Through multiple channels of available assistance, including the USCIS website, toll-free call centers (National Customer Service Call Centers), and face-to-face appointments, these services make it easier for customers to get the information they need, when they need it. On an annual basis, USCIS:

- Serves more than 16 million customers via the National Customer Service Call Centers
- Serves approximately 3 million customers through information counters at local offices

Administration

The Administration activity supports a variety of headquarters offices including Administration, Chief Financial Officer, Chief Counsel, Communications, Congressional Relations, Policy and Strategy, Chief Human Capital Officer, and Security and Integrity.

Systematic Alien Verification for Entitlements (SAVE)

The SAVE program assists organizations by providing a non-citizen applicant's immigration status, in order to determine eligibility for federal, state, or local public benefits. SAVE also supports implementation of the requirements of the REAL ID Act of 2005 by making it easier for states to verify immigration status for the issuance of driver's licenses and identification cards. For 2012, USCIS is requesting appropriated funding for SAVE.

C – Budget Request Summary:

USCIS is committed to conducting a fee study every two years in order to ensure that immigration fees are set at a level to recover costs and these fees reflect productivity improvements resulting from process changes and technology upgrades. A fee review for FY 2010 and FY 2011 was initiated and USCIS plans to update this study to account for decisions made in this Budget.

USCIS requests 9,403 positions, 9,403 FTE, and \$2,375,479,000 for FY 2011. This includes \$16,859,000 for pay inflation and \$27,606,000 for GSA Rent.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:**
Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Adjudication Services	9,071	1,908,572	8,654	2,070,732	8,365	1,955,464	(289)	(115,268)	(17)	(6,918)	(272)	(108,350)
Information and Customer Services	230	82,016	269	86,062	269	83,501	-	(2,561)	-	-	-	(2,561)
Administration	627	337,909	769	337,160	769	336,514	-	(646)	-	-	-	(646)
SAVE	115	12,348	182	19,184	-	-	(182)	(19,184)	(182)	(19,184)	-	-
Subtotal, Enacted Appropriations and Budget Estimates	10,043	2,340,845	9,874	2,513,138	9,403	2,375,479	(471)	(137,659)	(199)	(26,102)	(272)	(111,557)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	10,043	2,340,845	9,874	2,513,138	9,403	2,375,479	(471)	(137,659)	(199)	(26,102)	(272)	(111,557)

III. Current Services Program Description by PPA

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:
Adjudication Services
Program Performance Justification
(Dollars in Thousands)**

PPA: Adjudication Services

	Perm. Pos	FTE	Amount
2009 Actuals	9,032	9,071	1,908,572
2010 Enacted	8,654	8,654	2,070,732
2011 Adjustments-to-Base	(272)	(272)	(108,350)
2011 Current Services	8,382	8,382	1,962,382
2011 Program Change	(17)	(17)	(6,918)
2011 Total Request	8,365	8,365	1,955,464
Total Change 2010 to 2011	(289)	(289)	(115,268)

USCIS requests 8,365 positions, 8,365 FTE and \$1.955 billion to process millions of immigration benefit applications while maintaining backlog goals, and ensuring the security and integrity of the immigration system.

CURRENT SERVICES PROGRAM DESCRIPTION:

FY 2011 planned funding for Adjudication Services includes \$1,145.9 million for District Operations, \$482 million for Service Center Operations, \$60.9 million for International Operations, \$102.4 million for Records Operations, and \$164 million for Business Transformation.

Each year, millions of people apply for various types of immigration benefits from the U.S. Government. Immigration Services Officers (ISO) determine eligibility for a wide variety of benefits. They review applications and often conduct interviews of the applicants. ISOs have the dual responsibility of providing courteous service to the public while being alert to the possibility of fraud and misrepresentation and national security concerns. ISOs are assigned to one of 60 field offices located in 26 Districts nationwide; in one of four Service Centers located in St. Albans, VT, Lincoln, NE, Dallas, TX, and Laguna Niguel, CA; or in the National Benefits Center located in Lees Summit, MS.

In coordination with DHS and other federal agencies, USCIS combats immigration benefit fraud through the Office of Fraud Detection and National Security (FDNS). FDNS staff analyze and identify fraud patterns and trends, and document evidence of fraud for administrative action. USCIS will continue to implement fraud detection measures in Service Centers, field offices, and Refugee, Asylum, and International programs and train adjudications staff to proactively identify fraud/security profiles while considering an application. Also, USCIS works in coordination with other components of DHS, and with agencies such as the Departments of Labor and State, and the Federal Bureau of Investigation (FBI) to conduct background checks.

Adjudication Services also includes funding for business transformation efforts and the Office of Information Technology. The Transformation Program oversees a multi-year effort to transform USCIS' current paper-based data systems into an online, electronic system that will enhance customer service, better prevent future backlogs, and improve USCIS efficiency while also strengthening security.

The Transformation Program coordinates transformation initiatives across USCIS and with other immigration enterprise partners at DHS and other federal agencies. Transformation manages multiple contracts including a Solutions Architect (SA) contract to assist with acquiring, integrating, and delivering the services to transform business processes; a Program Management Office support contract; a Federally Funded Research and Development Center contract to assist in program oversight functions; and other specialized contracts as needed to assist in overall implementation.

The Transformation Program will simplify, improve, and automate end to end USCIS business processes. USCIS awarded a single task order in 2008 to International Business Machines, Inc. (IBM). The scope of the task order includes all program and project level planning and execution activities necessary to refine, design, and build transformed business processes and services. The solution within the task order includes two increments spanning five releases to be deployed over five years. The transformed USCIS processes will address security/integrity gaps of the immigration system by effectively collecting, analyzing, and sharing information used to verify identity, eligibility, and status. These processes will address service gaps by providing timely and accurate information online to customers 24 hours a day.

The Office of Information Technology supports USCIS operations with technology services and solutions to transform our Nation's immigration system. To create a disciplined organization focused on delivering strategic business value and high quality IT service through our people, processes, and technology.

Another function of the USCIS Adjudication Services is conducting Naturalization Oath Ceremonies. These are held both state-side and overseas; however, at this time ceremonies held overseas are strictly reserved for active members of the United States Armed Forces and their spouses. Once the Oath of Allegiance to the United States is taken, the applicant receives a Certificate of Naturalization to serve as evidence of United

States citizenship. Current and prior year appropriations report language instructed USCIS to identify funding budgeted to naturalization and oath of allegiance ceremonies. The budget estimate for FY 2011 is \$27.1 million. Projected spending for FY 2010 is \$26.3 million. Prior year estimated spending for FY 2008 and FY 2009 was \$45.9 million and \$33.9 million, respectively.

FY 2009 Accomplishments:

Office of Fraud Detection and National Security:

- Initiated the Administrative Site Visit and Verification Program ASVVP and completed 4,861 site visits.
- Began to expand FDNS Operations overseas, starting with two Fraud Fee Account funded Immigration Officer positions in Monterrey, Mexico and Frankfurt, Germany.

Domestic Operations Directorate:

- Sent all Travel Documents via the new secure mail process.

Refugee, Asylum, and International Operations:

- Completed 110,000 refugee determination interviews to support 75,000 refugee admissions to the United States.
- Implemented a comprehensive refugee standard operating procedure and expanded and improved capacity to capture and check biometrics for applicants for refugee resettlement.
- Achieved a six-month cycle time measured in real time for affirmative asylum.
- Completed more than 33,000 asylum applications resulting in 5,881 cases pending – an historic low.

The Office of Transformation:

- Transformation in coordination with OIT secured Level III Federal Enterprise Architecture (FEA) compliance with the USCIS Enterprise Architecture. Level III architecture compliance develops target architecture then aligns the architectural elements to DHS programs and lines of business. It addresses the priorities and performance objectives identified in the DHS strategic plan through the target architecture and the EA transaction strategy. Level III compliance communicates a clear line of sight between EA layers (performance, business, data, services, technology and security), and develops an enterprise-wide or segment scope in its target architecture.
- Transformation successfully completed a significant contract modification to include exercising two six month option periods.
- Transformation received approval for the Integrated Master Schedule (IMS) at the DHS Integrated Baseline Review.
- A draft regulation was developed to support the Transformation business environment.
- Transformation stakeholder engagement and communication efforts were advanced for both internal and external stakeholders.

- “To-be” business process models were completed to a detail level three by Transformation Working Integrated Product Teams.

FY 2010 Planned Activities:

The Office of Transformation:

- Transformation obtained approval from DHS on December 18, 2009 to re-sequence the Solutions Architect contract. Re-sequencing the implementation of immigration benefit types will result in following the natural immigration lifecycle and will enable electronic adjudication earlier, thereby strengthening the impact of Transformation’s first deployment and immediately showing a clear tie to mission results. The revised strategy will first address the Non-Immigrant line of business. In following the immigration lifecycle, the remaining benefit case work will be deployed in the following order: Immigrant, Humanitarian, and Citizenship.
- In FY 10, Transformation will begin development of the first increment of Transformation – Non-Immigrant – and the associated releases. Release A development work will begin in FY 2010 and is anticipated to be fully deployed in late FY 2011. Services in Release A will establish account management for individuals and provide end-to-end electronic case management functionality for a select set of primarily non-immigrant benefit types.

Refugee, Asylum, and International Operations:

- Deploy capability to improve tracking of applications processed overseas.
- Enhance consistency of adjudications overseas by issuing standardized operating procedures and implementing peer-review quality assurance program.
- Deploy biometric capture technology to overseas offices.

Domestic Operations Directorate:

- Will implement the Card Personalization Technology Refreshment technology upgrade to secure card printing platforms.
- Will introduce new Permanent Resident Card.
- Will introduce re-designed Travel Document (Refugee Travel Documents and Re-entry Permits).
- Will launch new Combined Employment Authorization/Advance Parole cards.

Office of Fraud Detection and National Security:

- Successfully deploy technology solution for H-1B pre-registration lottery.
- Increase the number of ASVVP site visits with a target goal of 25,000.

FY 2011 Planned Activities:

The Office of Transformation:

- Release A is anticipated to be deployed with account management for individuals and provide end-to-end electronic case management functionality for a select set of primarily nonimmigrant benefit types. Transformation will also begin

development of Release B anticipated to be fully deployed in early FY 2013. Release B will establish account management for organizations and provide end-to-end electronic case management functionality for the remaining non-immigrant benefit types.

Domestic Operations:

- Maintain a six-month cycle time for military naturalization
- Maintain a 4 and 5 month national cycle time for adjustment of status and naturalization benefits.
- Personalize 2.021 million Permanent Resident Cards, 722,000 Employment Authorization Documents, and 256,255 Travel Documents

Office of Fraud Detection and National Security:

- Work with the FBI National Name Check Program (NNCP) to refine procedures for the electronic submission of FBI name check requests as well as the electronic receipt, posting, and storage of name check results.
- Conduct further immigration benefit fraud studies under the Risk Assessment Plan to identify fraud indicators that can be used in automated and adjudicative processes.
- Continue developing the Field Intelligence Program (FIP) by transferring initial intelligence reporting functions to the field while aligning USCIS intelligence reporting with the Department of Homeland Security Office of Intelligence & Analysis (DHSIA) standardized intelligence reporting program.

International Operations:

- Provide timely and appropriate training to all IO employees and implement established training programs.
- Evaluate efficacy of quality assurance program, adjust as necessary, and expand to all appropriate product lines.
- Routinely assess public information about IO and benefits processed overseas to ensure the information is current and accurate.
- Achieve established processing time goals for each product line for which a goal has been established.
- Implement any adjustments to office presence, size or jurisdiction identified through the workload analysis performed in FY 2010, as resources permit and, where necessary, as authorized by DOS.
- Based on evaluation of International Operations' domestic operations, assess benefits of transferring for domestic adjudication other overseas adjudications that do not require interview.

Office of Information Technology:

- Complete migration of production systems in the Technology Engineering Consolidation Center (TECC), including CLAIMS 4, National File Tracking System (NFTS), Federal Information Processing Standards (FIPS) and Microfilm Digitization Application System (MIDAS) to one of the DHS data centers.

- Successfully re-host CLAIMS3 LAN. (Moved to FY 11 due to other business needs being placed in the development schedule ahead of C3 LAN movement.
- As the result of Production Release 2 which occurs in the first quarter of FY 2011. The following system can potentially be decommissioned as the Result of Production Release 3 that occurs in first quarter of FY 12: ISRS.
- Migrate all (100%) DOJ Dallas data center mainframe applications to the DHS data center and migrate three applications from the Manassas TEC facility to the DHS data center. Overall, approximately 30% of USCIS applications will be moved to DHS facilities in FY 2011.

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:
Information and Customer Services
Program Performance Justification**
(Dollars in Thousands)

PPA: Information and Customer Services

	Perm. Pos	FTE	Amount
2009 Actuals	269	230	82,016
2010 Enacted	269	269	86,062
2011 Adjustments-to-Base	-	-	(2,561)
2011 Current Services	269	269	83,501
2011 Total Request	269	269	83,501
Total Change 2010 to 2011	-	-	(2,561)

USCIS requests \$83.5 million to provide timely, consistent, and accurate information to our customers.

CURRENT SERVICES PROGRAM DESCRIPTION:

Through ICS, USCIS reduces the frequency of repeated, redundant applicant contact with USCIS employees, thus improving agency efficiency. USCIS makes it easier for our customers to get the information they need, when they need it, through multiple channels of available assistance, including the USCIS website, toll-free call centers (National Customer Service Call Centers), and face-to-face appointments.

On an annual basis, USCIS:

- Serves more than 16 million customers via the National Customer Service Call Centers
- Serves approximately 3 million customers through information counters at local offices

Each year millions of people apply for various types of benefits under the Immigration and Nationality Act. Immigration Services Officers (ISOs) provide information about immigration and nationality law and regulations. They assist with a wide variety of requests, including questions on how to complete required forms, and explain the administrative procedures and normal processing times for each application. ISOs offer a range of service activities from providing information on applicant cases to problem resolution assistance on applications and petitions. ISOs also review and make decisions

on a limited array of applications and petitions. ISO positions are located throughout the country in Districts, Field Offices, and Service Centers.

Through the National Customer Service Center's six telephone centers, USCIS provides toll-free nationwide assistance to customers calling from within the U.S. Customers can access live assistance from 8:00 AM until 6:00 PM local time, Monday through Friday. They can also access recorded information (including information about the status of their specific case) 24 hours a day/7 days a week. Both live and recorded service is available in English and Spanish.

USCIS receives about 1.4 million direct information and customer service related contacts each month, or more than 16 million contacts per year. Today, over 72 percent of all information and customer service interactions are self-service. The self-service options give customers new choices that are simpler and more effective to both customers and USCIS. This option also results in significant cost avoidance when compared to what it would cost USCIS to provide live assistance to all these customers.

In-person service continues to be a critical component of the USCIS service model. To improve service levels, USCIS shifted to offering most in-person service by appointments scheduled via website. This has helped mitigate long lines and wait times, while addressing customer concerns and inquiries.

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:
Administration
Program Performance Justification
(Dollars in Thousands)**

PPA: Administration

	Perm. Pos	FTE	Amount
2009 Actuals	763	627	337,909
2010 Enacted	769	769	337,160
2011 Adjustments-to-Base	-	-	(646)
2011 Current Services	769	769	336,514
2011 Total Request	769	769	336,514
Total Change 2010 to 2011	-	-	(646)

USCIS requests \$372.6 million to strengthen key management processes, systems, and administrative support activities; and to facilitate mission success and enhance the timeliness, accountability, efficiency and effectiveness of service delivery.

CURRENT SERVICES PROGRAM DESCRIPTION:

Outside of the offices of the Director and the Deputy Director, core offices include the following:

Office of Administration plans, develops, implements, and evaluates agency-wide policies, procedures, and programs for Acquisition, Asset, and Facilities Management, for the operation of centrally managed, agency-wide support activities, and for the direct delivery of administrative support to Headquarters.

Office of Chief Counsel (OCC) consists of dedicated legal divisions advising and representing USCIS Operations both at Headquarters and in the field. Divisions include Adjudications Law, Refugee and Asylum Law, Commercial and Administrative Law, Ethics, Field Operations, Training, and Liaison. Each division is responsible for reviewing, interpreting, and providing legal advice and guidance to USCIS operational components and OCC field staff.

Office of Communications oversees and coordinates communication to both internal and external stakeholders to empower employees with the tools needed to perform their jobs, educate the public regarding USCIS benefits and services, and facilitate consistent messaging and imaging for USCIS.

Office of Congressional Relations (OCR) maintains communication with Congress through responding to constituent concerns, promoting USCIS' priorities, proactive outreach on issues of interest, and ongoing educational activities for Members of Congress and their staff.

Office of Ombudsman Liaison serves as the Director's representative to the DHS CIS Ombudsman and provides customer relationship management oversight and evaluation.

Office of Equal Opportunity and Inclusion (OEOI) ensures individuals are not denied opportunities in employment or program-services delivery because of their race, color, religion, sex, national origin, age, disability, sexual orientation, status as a parent, genetic information or reprisal.

Office of Policy and Strategy directs, prioritizes, and sets the agenda for agency-wide policy, strategy, and long-term planning activities, as well as for the conduct of research and analysis on immigration services issues.

Office of Security and Integrity (OSI) leads a multi-disciplined security and integrity program to protect and safeguard USCIS personnel, facilities, information and assets. OSI manages the personnel and industrial security, administrative/special security, communications security, and physical security programs and oversees the security awareness training program. OSI also manages a comprehensive internal management review program of USCIS functions and protects the integrity of USCIS programs by investigating allegations of employee misconduct related to waste, fraud, abuse or mismanagement.

Office of the Chief Human Capital Officer (CHCO) leads the strategic management of human capital in organizationally aligning and integrating workforce planning, recruiting, orientation, training, leadership and career development, and performance standards in achieving USCIS' mission. CHCO is responsible for establishing an enterprise-wide environment for continuous learning and a culture of professional excellence and includes the Human Capital Management Division and the Training and Career Development Division.

Office of Emergency Management and Safety (EMS) develops, maintains and enhances USCIS' Emergency Preparedness and Continuity of Operations, and Occupational Safety and Health programs to protect our employees, ensure a safe and healthy work environment, mitigate and minimize damage or destruction of property and vital records, and ensure the continued performance of USCIS' essential functions during unexpected emergencies and/or catastrophic events.

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:
SAVE
Program Performance Justification
(Dollars in Thousands)**

PPA: SAVE

	Perm. Pos	FTE	Amount
2009 Actuals	182	115	12,348
2010 Enacted	182	182	19,184
2011 Current Services	182	182	19,184
2011 Program Change	(182)	(182)	(19,184)
2011 Total Request	-	-	-
Total Change 2010 to 2011	(182)	(182)	(19,184)

USCIS is requesting funding for SAVE through the Salaries and Expenses budget for FY 2011.

CURRENT SERVICES PROGRAM DESCRIPTION:

The SAVE program helps state, local, or federal agencies determine a non-citizen's eligibility for public benefits by checking their immigration status. As of January 2010, the SAVE program has a total 347 registered agencies. This includes 185 state agencies, 36 DMVs, 98 local agencies, and 28 federal agencies. Through December 31, 2009, there were 2.6 million SAVE queries run through the system. Large agency customers include the Social Security Administration, the U.S. Department of Housing and Urban Development, the U.S. Department of Education, and the California Department of Motor Vehicles.

FY 2009 Accomplishments:

- Implemented AAMVAnet Pilot for DMV access to SAVE for REAL-ID.
- Retired multiple access methods and migrated customers to the efficient Web-3 access method Achieved 25% growth in customer base, expanding to 300 agencies.
- Created and implemented a Memorandum of Agreement (MOA) to strengthen and standardize program requirements for enhancing overall program compliance.

FY 2010 Planned Activities:

- Develop and implement a Customer Relationship Management Plan.
- Develop an implementation plan to address surges in business activities due to new and pending legislation.
- Develop system requirements for registration re-engineering and profile-based system (PBS) / SAVE modernization.
- Establish Independent Validation and Verification (IV&V) for oversight of AAMVA Verification of Lawful Status (VLS) and REAL ID projects.

FY 2011 Planned Activities:

- Implement full-scale registration re-engineering and profile-based system (PBS) / SAVE modernization.
- Conduct assessment of source data to enhance program efficiency.
- Conduct a large-scale independent SAVE Program evaluation.
- Conduct a Six Sigma root cause analysis of SAVE referrals to minimize additional verification.

IV. Program Justification Changes

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:
Adjudication Services
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Fee Reform: Citizenship
PPA: District Operations
Program Decrease: Positions -17.0, FTE -17.0, Dollars \$-6,918.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Decrease							(17)	(17)	(6,918)
Total Request	-	-	-	-	-	-	(17)	(17)	(6,918)

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:
SAVE
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 1: Fee Reform: SAVE
 PPA: SAVE
 Program Decrease: Positions -182.0, FTE -182.0, Dollars \$-19,184.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Decrease							(182)	(182)	(19,184)
Total Request	-	-	-	-	-	-	(182)	(182)	(19,184)

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not applicable.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	10,246	10,043	2,340,845
FY 2010 Enacted	9,874	9,874	2,513,138
Adjustments-to-Base	-	-	-
Increases	-	-	-
2011 pay increase	-	-	16,859
Adjustment to Base	472	472	129,611
GSA Rent	-	-	27,606
Total Increases	472	472	174,076
Decreases	-	-	-
Adjustment to Base	-	-	(128,633)
Fee Reform Adjustment: Asylum and Refugee Services	(744)	(744)	(157,000)
Total Decreases	(744)	(744)	(285,633)
Total, Adjustments-to-Base	(272)	(272)	(111,557)
FY 2011 Current Services	9,602	9,602	2,401,581
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Fee Reform: Citizenship	(17)	(17)	(6,918)
Fee Reform: SAVE	(182)	(182)	(19,184)
Total, Program Changes	(199)	(199)	(26,102)
FY 2011 Request	9,403	9,403	2,375,479
FY 2010 to FY 2011 Total Change	(471)	(471)	(137,659)

C. Summary of Requirements

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	10,246	10,043	2,340,845
FY 2010 Enacted	9,874	9,874	2,513,138
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	472	472	174,076
Decreases	(744)	(744)	(285,633)
Total, Adjustments-to-Base	(272)	(272)	(111,557)
FY 2011 Current Services	9,602	9,602	2,401,581
Program Changes	-	-	-
Total, Program Changes	(199)	(199)	(26,102)
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	9,403	9,403	2,375,479
Total Change 2010 to 2011	(471)	(471)	(137,659)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Adjudication Services	8,654	8,654	2,070,732	8,365	8,365	1,955,464	(289)	(289)	(115,268)	(17)	(17)	(6,918)	(272)	(272)	(108,350)
Information and Customer Services	269	269	86,062	269	269	83,501	-	-	(2,561)	-	-	-	-	-	(2,561)
Administration	769	769	337,160	769	769	336,514	-	-	(646)	-	-	-	-	-	(646)
SAVE	182	182	19,184	-	-	-	(182)	(182)	(19,184)	(182)	(182)	(19,184)	-	-	-
Subtotal, Estimates Program Project Activity	9,874	9,874	2,513,138	9,403	9,403	2,375,479	(471)	(471)	(137,659)	(199)	(199)	(26,102)	(272)	(272)	(111,557)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	9,874	9,874	2,513,138	9,403	9,403	2,375,479	(471)	(471)	(137,659)	(199)	(199)	(26,102)	(272)	(272)	(111,557)

D. Summary of Reimbursable Resources

Department of Homeland Security Citizenship & Immigration Services Immigration Examinations Fee Account: Summary of Reimbursable Resources (Dollars in Thousands)

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Department of Defense	-	-	-	-	-	-	-	-	5,000	-	-	5,000
Department of Interior	-	-	100	-	-	100	-	-	100	-	-	-
Department of Transportation	2	-	14	2	-	14	-	-	-	(2)	-	(14)
Social Security Administration, DAIP	-	-	-	-	-	-	-	-	10	-	-	10
UK VISA	-	-	400	-	-	400	-	-	400	-	-	-
Department of Homeland Security	-	-	300	-	-	300	-	-	-	-	-	(300)
Customs and Border Protection	-	-	6,927	-	-	6,927	-	-	6,927	-	-	-
Federal Emergency Management Agency	-	-	130	-	-	130	-	-	-	-	-	(130)
Immigration and Customs Enforcement	-	-	9,950	-	-	9,950	-	-	9,950	-	-	-
Transportation Security Administration	-	-	500	-	-	500	-	-	1,000	-	-	500
Department of State	-	-	-	-	-	-	1	1	100	1	1	100
Total Budgetary Resources	2	-	18,321	2	-	18,321	1	1	23,487	(1)	1	5,166

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
Adjudication Services	2	-	18,321	2	-	18,321	-	-	23,387	(2)	-	5,066
Administration	-	-	-	-	-	-	1	1	100	1	1	100
Total Obligations	2	-	18,321	2	-	18,321	1	1	23,487	(1)	1	5,166

E. Summary of Requirements by Object Class

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	705,550	710,679	740,863	30,184
11.3 Other than full-time permanent	20,937	22,175	21,559	(616)
11.5 Other personnel compensation	48,525	11,626	10,912	(714)
12.1 Benefits	213,716	215,995	224,474	8,479
13.0 Unemployment Compensation	1,188	1,327	1,374	47
21.0 Travel	32,817	36,373	32,219	(4,154)
22.0 Transportation of things	11,072	12,144	10,539	(1,605)
23.1 GSA rent	182,328	182,256	209,862	27,606
23.2 Other rent	8,374	9,204	7,963	(1,241)
23.3 Communications, utilities, and misc. charges	51,313	59,192	50,802	(8,390)
24.0 Printing	10,438	12,611	10,640	(1,971)
25.1 Advisory and assistance services	714,369	852,736	729,349	(123,387)
25.2 Other services	29,449	40,633	28,272	(12,361)
25.3 Purchases from Gov't accts.	177,988	200,637	172,427	(28,210)
25.4 O&M of facilities	103	104	92	(12)
25.6 Medical care	18	22	19	(3)
25.7 Operation and maintenance of equipment	18,436	22,685	18,966	(3,719)
25.8 Other services	26	29	24	(5)
26.0 Supplies and materials	42,379	51,269	43,188	(8,081)
31.0 Equipment	50,604	58,603	50,359	(8,244)
32.0 Land & structures	10,344	10,030	9,033	(997)
41.0 Grants/Subsidies/Contributions	7,910	-	-	-
42.0 Insurance Claims and Indemnity	2,960	2,807	2,542	(265)
44.0 Refunds	1	1	1	-
Total, Object Class	2,340,845	2,513,138	2,375,479	(137,659)
Transfers from other accounts	4,000	4,000	-	(4,000)
Unobligated Balance, start of year	(805,174)	(646,018)	(348,879)	297,139
Unobligated Balance, end of year	646,018	348,879	348,879	-
Recoveries of Prior Year Obligations	(53,881)	(10,000)	-	10,000
Adjustment For Other Funding Sources	206,080	303,139	-	(303,139)
Total, Adjustments	(2,957)	-	-	-
Total, Direct Obligations	2,337,888	2,513,138	2,375,479	(137,659)

F. Permanent Positions by Grade

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	48	46	44	(2)
GS-15	527	508	483	(25)
GS-14	827	797	759	(38)
GS-13	1,465	1,412	1,345	(67)
GS-12	2,810	2,708	2,579	(129)
GS-11	1,010	973	927	(46)
GS-10	18	17	16	(1)
GS-9	1,565	1,508	1,436	(72)
GS-8	80	78	74	(4)
GS-7	1,172	1,129	1,075	(54)
GS-6	152	146	139	(7)
GS-5	536	517	492	(25)
GS-4	32	31	30	(1)
GS-3	3	3	3	-
GS-2	1	1	1	-
Total Permanent Positions	10,246	9,874	9,403	(471)
Unfilled Positions EOY	1,949	(739)	-	739
Total Permanent Employment EOY	8,261	10,210	-	(10,210)
Full Time Equivalents	10,043	9,874	9,403	(471)
Headquarters	1,761	1,724	1,724	-
U.S. Field	8,399	8,054	7,583	(471)
Foreign Field	86	96	96	-
Total, Location	10,246	9,874	9,403	(471)
Average ES Salary	-	-	-	-
Average GS Salary	72,952	74,636	74,636	-
Average Grade	10	10	10	-

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:
Adjudication Services
Funding Schedule
(Dollars in Thousands)**

PPA: Adjudication Services	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	622,012	610,261	650,569	40,308
11.3 Other than full-time permanent	17,881	18,211	18,702	491
11.5 Other personnel compensation	45,469	10,208	9,011	(1,197)
12.1 Benefits	188,282	185,467	196,926	11,459
13.0 Unemployment Compensation	132	139	138	(1)
21.0 Travel	22,342	26,422	23,222	(3,200)
22.0 Transportation of things	5,752	7,101	5,978	(1,123)
23.1 GSA rent	106,520	107,272	123,520	16,248
23.2 Other rent	4,272	5,315	4,440	(875)
23.3 Communications, utilities, and misc. charges	35,855	44,395	37,266	(7,129)
24.0 Printing	9,207	11,438	9,569	(1,869)
25.1 Advisory and assistance services	624,063	765,340	648,631	(116,709)
25.2 Other services	16,902	28,737	17,567	(11,170)
25.3 Purchases from Gov't accts.	107,546	133,781	111,780	(22,001)
25.4 O&M of facilities	19	24	20	(4)
25.6 Medical care	18	22	19	(3)
25.7 Operation and maintenance of equipment	17,593	21,887	18,286	(3,601)
25.8 Other services	11	14	11	(3)
26.0 Supplies and materials	38,019	47,118	39,516	(7,602)
31.0 Equipment	38,037	46,672	39,534	(7,138)
32.0 Land & structures	725	902	754	(148)
41.0 Grants/Subsidies/Contributions	7,910	-	-	-
42.0 Insurance Claims and Indemnity	4	5	4	(1)
44.0 Refunds	1	1	1	-
Total, Object Class	1,908,572	2,070,732	1,955,464	(115,268)
Total, Adjudication Services	1,908,572	2,070,732	1,955,464	(115,268)
Full Time Equivalents	9,071	8,654	8,365	(289)

PPA Mission Statement

The funds from the Immigration Examinations Fee Account (IEFA), Adjudication Services Program, is the primary funding source and Program supporting USCIS' mission.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	622,012	610,261	650,569	40,308

Salaries and Benefits includes costs for 8,635 FTEs. The FY 2011 request includes an increase of \$11,540,000 for the proposed January 2011 1.4 percent increase in personnel compensation, and \$864,000 for within-grade and step adjustments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	17,881	18,211	18,702	491

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	45,469	10,208	9,011	(1,197)

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	188,282	185,467	196,926	11,459

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	132	139	138	(1)

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	22,342	26,422	23,222	(3,200)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request reflects a decrease of \$3,200,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	5,752	7,101	5,978	(1,123)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request reflects a decrease of \$1,123,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	106,520	107,272	123,520	16,248

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes an increase of \$16,248,000 for a realignment of funds.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	4,272	5,315	4,440	(875)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request reflects a decrease of \$875,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	35,855	44,395	37,266	(7,129)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request reflects a decrease of \$7,129,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	9,207	11,438	9,569	(1,869)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects a decrease of \$1,869,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	624,063	765,340	648,631	(116,709)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects a decrease of \$116,714,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	16,902	28,737	17,567	(11,170)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects a decrease of \$3,245,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	107,546	133,781	111,780	(22,001)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request reflects a decrease of \$22,001,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	19	24	20	(4)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects a decrease of \$4,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	18	22	19	(3)

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request reflects a decrease of \$3,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	17,593	21,887	18,286	(3,601)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects a decrease of \$3,601,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	11	14	11	(3)

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2011 request reflects a decrease of \$3,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	38,019	47,118	39,516	(7,602)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request reflects a decrease of \$7,602,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	38,037	46,672	39,534	(7,138)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects a decrease of \$7,138,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	725	902	754	(148)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request reflects a decrease of \$148,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	7,910	-	-	-

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request reflects a decrease of \$7,925,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	4	5	4	(1)

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
44.0 Refunds	1	1	1	-

Replace and Type Budget Object Class Here

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:
Information and Customer Services
Funding Schedule
(Dollars in Thousands)**

PPA: Information and Customer Services	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	13,910	17,463	16,705	(758)
11.3 Other than full-time permanent	699	878	839	(39)
11.5 Other personnel compensation	312	216	578	362
12.1 Benefits	4,154	5,215	4,989	(226)
21.0 Travel	759	749	721	(28)
22.0 Transportation of things	10	10	10	-
23.1 GSA rent	1,882	2,051	2,362	311
23.2 Other rent	8	8	8	-
23.3 Communications, utilities, and misc. charges	4,040	3,986	3,839	(147)
24.0 Printing	155	153	147	(6)
25.1 Advisory and assistance services	51,729	51,033	49,162	(1,871)
25.2 Other services	367	362	349	(13)
25.3 Purchases from Gov't acct.	2,106	2,078	2,001	(77)
25.4 O&M of facilities	1	1	1	-
25.7 Operation and maintenance of equipment	157	155	149	(6)
25.8 Other services	11	11	10	(1)
26.0 Supplies and materials	1,012	998	962	(36)
31.0 Equipment	471	465	448	(17)
32.0 Land & structures	233	230	221	(9)
Total, Object Class	82,016	86,062	83,501	(2,561)
Total, Information and Customer Services	82,016	86,062	83,501	(2,561)
Full Time Equivalents	230	269	269	-

PPA Mission Statement

The funds from the Immigration Examinations Fee Account (IEFA), Information and Customer Services Program, are used to provide timely, consistent, and accurate information to its customers that will reduce the frequency of repeated, redundant applicant contact with USCIS employees, thus improving agency efficiency. Through multiple channels of available assistance, including the USCIS website, toll-free call center (National Customer Service Call Center), and face-to-face appointments; USCIS will make it easier for our customers to get the information they need, when they need it.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	13,910	17,463	16,705	(758)

Salaries and Benefits includes costs for 269 FTEs. The FY 2011 request includes an increase of \$333,000 for the proposed January 2011 1.4 percent increase in personnel compensation, and a decrease of \$994,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	699	878	839	(39)

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	312	216	578	362

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	4,154	5,215	4,989	(226)

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	759	749	721	(28)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request reflects a decrease of \$27,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	10	10	10	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request reflects no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	1,882	2,051	2,362	311

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes \$311,000 in a additional GSA Rent for new space.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	8	8	8	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request reflects no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	4,040	3,986	3,839	(147)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request reflects a decrease of \$146,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	155	153	147	(6)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects a decrease of \$6,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	51,729	51,033	49,162	(1,871)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects a decrease of \$1,872,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	367	362	349	(13)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects a decrease of \$13,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	2,106	2,078	2,001	(77)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request reflects a decrease of \$76,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	1	1	1	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	157	155	149	(6)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects a decrease of \$6,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	11	11	10	(1)

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	1,012	998	962	(36)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request reflects a decrease of \$37,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	471	465	448	(17)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects a decrease of \$17,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	233	230	221	(9)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request reflects a decrease of \$8,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:
Administration
Funding Schedule
(Dollars in Thousands)**

PPA: Administration	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	62,897	70,761	73,589	2,828
11.3 Other than full-time permanent	1,725	1,941	2,018	77
11.5 Other personnel compensation	2,204	1,021	1,323	302
12.1 Benefits	19,281	21,692	22,559	867
13.0 Unemployment Compensation	1,056	1,188	1,236	48
21.0 Travel	9,639	9,138	8,276	(862)
22.0 Transportation of things	5,301	5,025	4,551	(474)
23.1 GSA rent	73,926	72,933	83,980	11,047
23.2 Other rent	4,094	3,881	3,515	(366)
23.3 Communications, utilities, and misc. charges	11,295	10,708	9,697	(1,011)
24.0 Printing	1,076	1,020	924	(96)
25.1 Advisory and assistance services	36,754	34,842	31,556	(3,286)
25.2 Other services	12,062	11,435	10,356	(1,079)
25.3 Purchases from Gov't accts.	68,308	64,755	58,646	(6,109)
25.4 O&M of facilities	83	79	71	(8)
25.7 Operation and maintenance of equipment	618	586	531	(55)
25.8 Other services	4	4	3	(1)
26.0 Supplies and materials	3,157	2,993	2,710	(283)
31.0 Equipment	12,087	11,458	10,377	(1,081)
32.0 Land & structures	9,386	8,898	8,058	(840)
42.0 Insurance Claims and Indemnity	2,956	2,802	2,538	(264)
Total, Object Class	337,909	337,160	336,514	(646)
Total, Administration	337,909	337,160	336,514	(646)
Full Time Equivalents	627	769	769	-

PPA Mission Statement

The funds from the Immigration Examinations Fee Account (IEFA), Administration Program, fund USCIS Headquarters operations to support and guide USCIS offices around the world. These offices include Administration, Budget, Financial Management, Chief Counsel, Citizenship, Communications, Congressional Relations, Policy and Strategy, Chief Human Capital, and Security and Investigations.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	62,897	70,761	73,589	2,828

Salaries and Benefits includes costs for 763 FTEs. The FY 2011 request includes an increase of \$1,352,000 for the proposed January 2011 1.4 percent increase in personnel compensation, and \$2,770,000 for within-grade and step adjustments.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	1,725	1,941	2,018	77

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	2,204	1,021	1,323	302

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	19,281	21,692	22,559	867

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	1,056	1,188	1,236	48

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	9,639	9,138	8,276	(862)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request reflects a decrease of \$862,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	5,301	5,025	4,551	(474)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request reflects a decrease of \$474,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	73,926	72,933	83,980	11,047

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request includes an increase of \$11,047,000 for GSA Rent and new space.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	4,094	3,881	3,515	(366)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2011 request reflects a decrease of \$366,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	11,295	10,708	9,697	(1,011)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request has no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	1,076	1,020	924	(96)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects a decrease of \$96,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	36,754	34,842	31,556	(3,286)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects a decrease of \$3,287,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	12,062	11,435	10,356	(1,079)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects a decrease of \$1,079,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	68,308	64,755	58,646	(6,109)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request reflects a decrease of \$6,109,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	83	79	71	(8)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects a decrease of \$7,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	618	586	531	(55)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request reflects a decrease of \$55,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	4	4	3	(1)

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. There is less than \$1,000 in change from FY 2010 and FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	3,157	2,993	2,710	(283)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request reflects a decrease of \$282,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	12,087	11,458	10,377	(1,081)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects a decrease of \$1,081,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	9,386	8,898	8,058	(840)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request reflects a decrease of \$839,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	2,956	2,802	2,538	(264)

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2011 request reflects a decrease of \$264,000 related to Fee Reform (The Office of Citizenship, the SAVE Program, and the Refugee and Asylum Programs were included in the Salaries and Expense Account request for FY 2011).

**Department of Homeland Security
Citizenship & Immigration Services
Immigration Examinations Fee Account:
SAVE
Funding Schedule
(Dollars in Thousands)**

PPA: SAVE	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	6,731	12,194	-	(12,194)
11.3 Other than full-time permanent	632	1,145	-	(1,145)
11.5 Other personnel compensation	540	181	-	(181)
12.1 Benefits	1,999	3,621	-	(3,621)
21.0 Travel	77	64	-	(64)
22.0 Transportation of things	9	8	-	(8)
23.3 Communications, utilities, and misc. charges	123	103	-	(103)
25.1 Advisory and assistance services	1,823	1,521	-	(1,521)
25.2 Other services	118	99	-	(99)
25.3 Purchases from Gov't accts.	28	23	-	(23)
25.7 Operation and maintenance of equipment	68	57	-	(57)
26.0 Supplies and materials	191	160	-	(160)
31.0 Equipment	9	8	-	(8)
Total, Object Class	12,348	19,184	-	(19,184)
Total, SAVE	12,348	19,184	-	(19,184)
Full Time Equivalents	115	182	-	(182)

PPA Mission Statement

This program funds the operations of the SAVE Program. SAVE is an intergovernmental information-sharing program that verifies an individual's immigration status to ensure that only those eligible receive Federal, state, or local public benefits.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	6,731	12,194	-	(12,194)

Salaries and Benefits includes costs for 0 FTE. The FY 2011 request is included in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	632	1,145	-	(1,145)

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	540	181	-	(181)

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	1,999	3,621	-	(3,621)

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	77	64	-	(64)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request is included in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	9	8	-	(8)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request is included in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	123	103	-	(103)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request is included in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	1,823	1,521	-	(1,521)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request is included in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	118	99	-	(99)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request is included in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	28	23	-	(23)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request is included in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	68	57	-	(57)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request is included in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	191	160	-	(160)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request is included in the Salaries and Expenses Account.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	9	8	-	(8)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request is included in the Salaries and Expenses Account.

I. Changes in Full Time Equivalent

Department of Homeland Security Citizenship & Immigration Services Immigration Examinations Fee Account: Changes in Full Time Equivalent

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	8,802	10,043	9,874
INCREASES	-	-	-
Adjudication: Adjustment to base.	718	-	-
Adjustment to Base	9,928	-	-
Administration: Adjustment to base.	198	-	-
Information and Customer Service: Adjustment to base.	175	-	-
SAVE: Adjustment to base.	54	-	-
Increases	11,073	-	-
Asylum: Adjustment to Base	-	60	-
Information Services: Adjustment to Base	-	39	-
Operating Expenses: Adjustment to Base	-	142	-
Records Operations: Adjustment to Base	-	41	-
SAVE: Adjustment to base.	-	67	-
Adjustment to Base	-	-	472
Subtotal, Increases	11,073	349	472
DECREASES	-	-	-
Adjustment to Base	(9,832)	-	-
Decreases	(9,832)	-	-
District Operations: Adjustment to Base	-	(384)	-
Service Center: Adjustment to Base	-	(134)	-
Fee Reform Adjustment: Asylum and Refugee Services	-	-	(744)
Fee Reform: Citizenship	-	-	(17)
Fee Reform: SAVE	-	-	(182)
Subtotal, Decreases	(9,832)	(518)	(943)
Year End Actual / Estimated FTEs:	10,043	9,874	9,403
Net Change from prior year base to Budget Year Estimate:	1,241	(169)	(471)

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
Citizenship & Immigration Services**

Immigration Examinations Fee Account:

**FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Adjudication Services	32,188	23,185	24,717	1,532
Administration	5,220	3,824	4,077	253
Information and Customer Services	6,130	4,441	4,735	294
Total Working Capital Fund	43,538	31,450	33,529	2,079

Department of Homeland Security
Citizenship & Immigration Services
H-1B Nonimmigrant Petitioner Account



Fiscal Year 2011
Overview
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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H-1B Nonimmigrant Petitioner Account

I. Appropriation Overview

A – Mission Statement for H-1B Nonimmigrant Petitioner Account

The H-1B Visa Reform Act of 2004 requires employers who participate in the H-1B program to pay an additional \$1,500 (\$750 for those petitioners who employ less than 25 full-time equivalent employees), in addition to the base-processing fee of \$320 to file a Petition for a Nonimmigrant Worker (Form I-129). USCIS receives five percent of these funds, as well as the entire base-processing fee. However, this account only includes funding associated with the fee stipulated in the H-1B Visa Reform Act of 2004 it does not include funding associated with the base processing fee. These funds comprise less than one percent of the total USCIS budget.

B – Budget Activities:

Funding from the H-1B Nonimmigrant Petitioner Account primarily supports the Domestic Operations Directorate. Fee revenues primarily fund contract activities (mail, filing, biometric and data entry) and facility rent expenses related to the processing of immigration benefit applications at USCIS Service Centers.

Domestic Operations manages four regionally based Service Centers which receive, process, and adjudicate applications, petitions and their related fees for immigration benefits not requiring face-to-face contact with the applicant, petitioner, or beneficiary. This office also oversees the operations of USCIS document production operations at the production facility in Corbin, KY, and at two of the Regional Service Centers. The Service Centers also provide data entry and card production support for some District Office and Asylum Office workloads, as well as processing of immigrant visas for incoming immigrants.

C – Budget Request Summary:

The USCIS requests \$13,000,000 in FY 2011 to maintain current service levels. These funds will continue to support contract activities and facility rent expenses for the processing of immigration benefit applications.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Citizenship & Immigration Services
H-1B Nonimmigrant Petitioner Account**
Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Adjudication Services	-	12,251	-	13,000	-	13,000	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	-	12,251	-	13,000	-	13,000	-	-	-	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	-	12,251	-	13,000	-	13,000	-	-	-	-	-	-

III. Current Services Program Description by PPA

**Department of Homeland Security
Citizenship & Immigration Services
H-1B Nonimmigrant Petitioner Account
Adjudication Services
Program Performance Justification
(Dollars in Thousands)**

PPA: Adjudication Services

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	12,251
2010 Enacted	-	-	13,000
2011 Current Services	-	-	13,000
2011 Total Request	-	-	13,000
Total Change 2010 to 2011	-	-	-

USCIS requests \$13 million for contract activities and facility rent expenses that support the processing of immigration benefit applications. The requested amount is set by Congressional statute providing USCIS with five percent of the fees collected for the H-1B visas (Nonimmigrant Petitioner), in addition to the base-processing fee to file a Petition for a Nonimmigrant Worker (Form I-129).

CURRENT SERVICES PROGRAM DESCRIPTION:

USCIS Domestic Operations receives, processes, and adjudicates applications, petitions and their related fees for immigration benefits not requiring face-to-face contact with the applicant, petitioner, or beneficiary, which includes:

- *Family-based petitions* - facilitating the process for close relatives to immigrate, gain permanent residency, work, etc.
- *Employment-based petitions* - facilitating the process for current and prospective employees to immigrate or stay in the U.S. temporarily.

Domestic Operations also provides data entry and card production support for some District Office and Asylum Office workloads, as well as processing of immigrant visas for incoming immigrants.

USCIS annually processes millions of immigration benefit applications at its Service Centers. The \$13 million for contract activities and facility rent expenses is a portion of the total operations contract support and Service Center rent. The difference is covered by fees collected into the Immigration Examinations Fee Account.

In FY 2009 USCIS:

- Ensured that the mail, filing and data entry functions being performed by contractors located within the Service Centers continued uninterrupted.
- Continued funding for Service Center facility rent expenses.

In FY 2010 and 2011 USCIS plans to continue to:

- Ensure that the mail, filing and data entry functions being performed by contractors located within the Service Centers continues uninterrupted.
- Continue funding for Service Center facility rent expenses.

IV. Program Justification Changes

Not applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not applicable.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Citizenship & Immigration Services
H-1B Nonimmigrant Petitioner Account
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	-	-	12,251
FY 2010 Enacted	-	-	13,000
Adjustments-to-Base	-	-	-
Increases	-	-	-
Decreases	-	-	-
FY 2011 Current Services	-	-	13,000
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	-	-	13,000
FY 2010 to FY 2011 Total Change	-	-	-

C. Summary of Requirements

**Department of Homeland Security
Citizenship & Immigration Services
H-1B Nonimmigrant Petitioner Account
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	-	-	12,251
FY 2010 Enacted	-	-	13,000
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
FY 2011 Current Services	-	-	13,000
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	-	-	13,000
Total Change 2010 to 2011	-	-	-

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Adjudication Services	-	-	13,000	-	-	13,000	-	-	-	-	-	-	-	-	-

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Subtotal, Estimates Program Project Activity	-	-	13,000	-	-	13,000	-	-	-	-	-	-	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	-	-	13,000	-	-	13,000	-	-	-	-	-	-	-	-	-

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
Citizenship & Immigration Services
H-1B Nonimmigrant Petitioner Account
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 GSA rent	2,000	2,000	2,000	-
25.1 Advisory and assistance services	10,251	11,000	11,000	-
Total, Object Class	12,251	13,000	13,000	-
Unobligated Balance, start of year	(2,345)	(1,201)	(1,201)	-
Unobligated Balance, end of year	1,201	1,201	1,201	-
Recoveries of Prior Year Obligations	(25)	-	-	-
Adjustment For Other Funding Sources	1,169	-	-	-
Total, Direct Obligations	12,251	13,000	13,000	-

F. Permanent Positions by Grade

Not Applicable.

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Citizenship & Immigration Services
H-1B Nonimmigrant Petitioner Account
Adjudication Services
Funding Schedule
(Dollars in Thousands)**

PPA: Adjudication Services	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 GSA rent	2,000	2,000	2,000	-
25.1 Advisory and assistance services	10,251	11,000	11,000	-
Total, Object Class	12,251	13,000	13,000	-
Unobligated Balance, start of year	(2,345)	(1,201)	(1,201)	-
Unobligated Balance, end of year	1,201	1,201	1,201	-
Recoveries of Prior Year Obligations	(25)	-	-	-
Adjustment For Other Funding Sources	1,169	-	-	-
Total, Adjudication Services	12,251	13,000	13,000	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The funds from the H-1B Nonimmigrant Petitioner Account, comprising less than one percent of the total USCIS budget request, are specifically targeted to contracting activities and facility rent expenses related to processing immigration benefit applications. These funds are the result of the H-1B Visa Reform Act of 2004, which requires employers who participate in the H-1B program to pay an additional \$1,500 (\$750 for those petitioners who employ less than 25 full-time equivalent employees), in addition to the base processing fee of \$320 to file a Petition for a Nonimmigrant Worker (Form I-129). USCIS receives five percent of these funds, as well as the entire base processing fee. However, this account only includes funding associated with the fee stipulated in the H-1B Visa Reform Act of 2004 it does not include funding associated with the base processing fee.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	2,000	2,000	2,000	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. This amount is a portion of the Service Center rent; the difference is covered by fees collected into the Immigration Examinations Fee Account. The FY 2011 request reflects no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	10,251	11,000	11,000	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects no change.

I. Changes in Full Time Equivalent

**Department of Homeland Security
 Citizenship & Immigration Services
 H-1B Nonimmigrant Petitioner Account
 Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	-	-	-
INCREASES	-	-	-
DECREASES	-	-	-
Year End Actual / Estimated FTEs:	-	-	-
Net Change from prior year base to Budget Year Estimate:	-	-	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable.

Department of Homeland Security
Citizenship & Immigration Services
Fraud Prevention and Detection Account



Fiscal Year 2011
Overview
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Fraud Prevention and Detection Account

I. Appropriation Overview

A – Mission Statement for Fraud Prevention and Detection Account

Funding in the Fraud Prevention and Detection Account is used for activities related to preventing and detecting fraud associated with immigration benefit applications as stipulated in the L-1 Visa Reform Act of 2004 (later amended by Public Law 109-13, Section 403). The law requires petitioners to pay \$500 toward this purpose for a beneficiary's initial grant of H-1B or L nonimmigrant classification, as well as if they are changing a beneficiary's employer within these classifications; and pay \$150 for H-2B benefit in addition to the base-processing fee for a Petition for a Nonimmigrant Worker (Form I-129). USCIS receives a one-third share of the H and L fraud fee.

B – Budget Activities:

Prior to FY 2010, funding supported Fraud Detection and National Security (FDNS) efforts only related to the H-1B, H-2B, or L nonimmigrant classifications. FDNS develops, coordinates and leads national anti-fraud operations for USCIS and oversees and enhances policies and procedures pertaining to the performance of law enforcement (background) checks on applicants and petitioners.

For FY 2010 and thereafter, funding within this account can be used for fraud-related activities for all application and petition types. Language approved within the Consolidated Appropriations Act of FY 2010 (P.L. 111-117) provided USCIS with authority to use funding within this account for any fraud-related activities associated with immigration benefits. For FY 2010, USCIS is planning to use carryover funding in the H & L Fraud Fee Account (\$148 million was available at the beginning of FY 2010) to fund all of the FDNS requirements, i.e., the portion associated with H & L Fraud work as well as approximately \$72 million that would have otherwise been funded through the Immigration Examinations Fee Account. In FY 2011, USCIS may continue to fund some of the non-H & L Fraud related expenses for FDNS through this account. A determination will be made later in the fiscal year.

C – Budget Request Summary:

USCIS requests 186 positions, 186 FTE, and \$38,078,000 to fund USCIS requirements for FY 2011.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Citizenship & Immigration Services
Fraud Prevention and Detection Account**
Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Adjudication Services	156	30,524	658	109,859	186	38,078	(472)	(71,781)	-	-	(472)	(71,781)
Subtotal, Enacted Appropriations and Budget Estimates	156	30,524	658	109,859	186	38,078	(472)	(71,781)	-	-	(472)	(71,781)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	156	30,524	658	109,859	186	38,078	(472)	(71,781)	-	-	(472)	(71,781)

III. Current Services Program Description by PPA

**Department of Homeland Security
Citizenship & Immigration Services
Fraud Prevention and Detection Account
Adjudication Services
Program Performance Justification
(Dollars in Thousands)**

PPA: Adjudication Services

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	186	156	30,524
2010 Enacted	658	658	109,859
2011 Adjustments-to-Base	(472)	(472)	(71,781)
2011 Current Services	186	186	38,078
2011 Total Request	186	186	38,078
Total Change 2010 to 2011	(472)	(472)	(71,781)

USCIS requests 186 positions, 186 FTE, and \$38,078,000 for this activity. The requested level covers USCIS' projected H & L visa fraud prevention and detection requirements for FY 2011.

CURRENT SERVICES PROGRAM DESCRIPTION:

FDNS has dual missions: detecting and combating fraud; and identifying threats to national security and public safety posed by those seeking immigration benefits. FDNS is an active member of the ICE-led interagency Document and Benefit Fraud Task Forces (DBFTFs) and works closely with ICE to successfully meet its missions. The cooperative work between ICE and FDNS promotes the efforts to combat H & L visa fraud more effectively and to identify and pursue solutions.

FDNS is in the process of conducting an assessment of the L-1A (multi-national executive or manager) nonimmigrant visa classifications including reviewing and analyzing data, identifying possible fraud trends and indicators, and conducting overseas verification requests.

FDNS is in the process of establishing overseas H & L anti-fraud officer positions at high volume H & L posts. Up to four officer positions will be established at overseas

locations by the end of FY 2010. Overseas staff will help develop FDNS's capacity to conduct H & L visa inquiries based upon requests for verification of information from USCIS officers.

In addition, FDNS has implemented an Administrative Site Visit and Verification Program (ASVVP). The ASVVP serves as a vehicle to conduct pre-adjudication site inspections on religious worker petitions, as well as post-adjudication compliance site inspections on H-1B visa petitions. Site inspections are a valuable tool USCIS uses to ensure that petitioners are complying with applicable laws, rules, regulations, and other authorities that govern immigration benefits.

ASVVP was developed as a result of findings disclosed by Benefit Fraud Assessments conducted by USCIS. In those assessments, which included in-person site inspections/compliance reviews of petitioning organizations, USCIS discovered a significant number of organizations/employers that did not physically exist. Of those that did exist, USCIS found a significant number where on site management and others were unaware of a petition being filed and/or the terms of employment contained in the visa petition. ASVVP will be a major element of agency fraud prevention, deterrence and abatement management, and will eventually encompass site visits for a wide range of applications and petitions.

As part of the overall joint anti-fraud strategy and in partnership with ICE, FDNS identifies vulnerabilities in the benefit fraud system and works to eliminate the potential for exploitation of those vulnerabilities and prosecute the violators. Information on trends in fraud and criminal behaviors are shared between USCIS and ICE so that both are better able to identify and prevent potential abuse of the nation's immigration system.

Recognizing the need to better focus our integrated fraud efforts, FDNS and ICE signed a new Memorandum of Agreement (MOA) discontinuing the practice of referring all suspected fraud to ICE. This MOA refines criteria for referrals to the following:

- Major fraud conspiracies
- Fraud cases involving nationals from countries designated in writing by ICE
- Corrupt attorneys and form preparers

Fraud referrals made for any of these reasons will be accepted or declined by ICE within 60 days of referral. Irrespective of ICE action, USCIS can continue administrative actions to address fraud.

FY 2009 Accomplishments

- Developed a proactive anti-fraud program that bounces key fraud indicators from past (proven) conspiracies against all incoming applications and petitions.
- Supported security-related initiatives and continue contractor assistance to support ongoing efforts to develop a comprehensive and collaborative approach for detecting, prosecuting, and deterring immigration-related fraud.

- Began executing ASVVP and completed approximately 6,000 site visits.
- Increased the number of government and contract personnel dedicated to gathering and analyzing referral, lead, and case data to identify fraud trends and the means by which to eliminate the fraud most effectively.
- Increased the use of private sector information services to identify fraudulent business entities. Capability was implemented to review financial and other business characteristics of organizations submitting employment-based petitions. This effort will continue into FY 2010 with approximately \$3.7 million in planned funding.

FY 2010 Planned Activities:

- Continue the use of private sector information services to include fraudulent business entities.
- Continue supporting development of a comprehensive and collaborative approach for detecting, prosecuting, and deterring immigration-related fraud.
- Continue operating the ASVVP to include a target of 20,000 site visits.
- Work with the FBI National Name Check Program (NNCP) to enhance procedures for the electronic submission of FBI name check requests as well as the electronic receipt, posting, and storage of name check results.
- Continue developing the Field Intelligence Program (FIP) by transferring initial intelligence reporting functions to the field while aligning USCIS intelligence reporting with the Department of Homeland Security Office of Intelligence & Analysis (DHSIA) standardized intelligence reporting program.

FY 2011 Planned Activities:

- Continue the use of private sector information services to include fraudulent business entities.
- Continue supporting development of a comprehensive and collaborative approach for detecting, prosecuting, and deterring immigration-related fraud.
- Work with the FBI NNCP to enhance procedures for the electronic submission of FBI name check requests as well as the electronic receipt, posting, and storage of name check results.
- Continue developing the FIP by transferring initial intelligence reporting functions to the field while aligning USCIS intelligence reporting with the DHSIA standardized intelligence reporting program.
- Conduct ASVVP site visits (targets under development) while expanding the range of application and petition types covered by site visits.

IV. Program Justification Changes

Not applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not applicable.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Citizenship & Immigration Services
Fraud Prevention and Detection Account
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	186	156	30,524
FY 2010 Enacted	658	658	109,859
Adjustments-to-Base	-	-	-
Increases	-	-	-
2011 Pay Increase	-	-	307
Total Increases	-	-	307
Decreases	-	-	-
Adjustment to Base: FDNS Transfer Back to Exams	(472)	(472)	(72,088)
Total Decreases	(472)	(472)	(72,088)
Total, Adjustments-to-Base	(472)	(472)	(71,781)
FY 2011 Current Services	186	186	38,078
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	186	186	38,078
FY 2010 to FY 2011 Total Change	(472)	(472)	(71,781)

C. Summary of Requirements

**Department of Homeland Security
Citizenship & Immigration Services
Fraud Prevention and Detection Account
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	186	156	30,524
FY 2010 Enacted	658	658	109,859
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	307
Decreases	(472)	(472)	(72,088)
Total, Adjustments-to-Base	(472)	(472)	(71,781)
FY 2011 Current Services	186	186	38,078
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	186	186	38,078
Total Change 2010 to 2011	(472)	(472)	(71,781)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Adjudication Services	658	658	109,859	186	186	38,078	(472)	(472)	(71,781)	-	-	-	(472)	(472)	(71,781)
Subtotal, Estimates Program Project Activity	658	658	109,859	186	186	38,078	(472)	(472)	(71,781)	-	-	-	(472)	(472)	(71,781)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	658	658	109,859	186	186	38,078	(472)	(472)	(71,781)	-	-	-	(472)	(472)	(71,781)

D. Summary of Reimbursable Resources

Not Applicable.

E. Summary of Requirements by Object Class

**Department of Homeland Security
Citizenship & Immigration Services
Fraud Prevention and Detection Account
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	13,773	61,069	16,946	(44,123)
11.3 Other than full-time permanent	48	665	59	(606)
11.5 Other personnel compensation	344	894	203	(691)
12.1 Benefits	4,068	17,621	5,005	(12,616)
21.0 Travel	587	2,131	758	(1,373)
22.0 Transportation of things	92	174	119	(55)
23.1 GSA rent	1,926	2,486	2,486	-
23.3 Communications, utilities, and misc. charges	12	226	15	(211)
24.0 Printing	-	16	-	(16)
25.0 Other services	-	5,750	-	(5,750)
25.1 Advisory and assistance services	4,875	17,324	6,292	(11,032)
25.2 Other services	4,288	-	5,535	5,535
25.3 Purchases from Gov't accts.	50	79	65	(14)
25.8 Other services	1	1	1	-
26.0 Supplies and materials	135	354	174	(180)
31.0 Equipment	325	1,069	420	(649)
Total, Object Class	30,524	109,859	38,078	(71,781)
Transfers from other accounts	10,500	-	-	-
Unobligated Balance, start of year	(83,361)	(148,343)	(76,033)	72,310
Unobligated Balance, end of year	148,343	76,033	73,512	(2,521)
Recoveries of Prior Year Obligations	(4,122)	(2,000)	-	2,000
Offsetting Collections	(32,335)	-	-	-
Adjustment For Other Funding Sources	(39,025)	74,310	2,521	(71,789)
Total, Direct Obligations	30,524	109,859	38,078	(71,781)

F. Permanent Positions by Grade

**Department of Homeland Security
Citizenship & Immigration Services
Fraud Prevention and Detection Account
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
GS-15	7	23	7	(16)
GS-14	19	66	19	(47)
GS-13	77	275	77	(198)
GS-12	78	275	78	(197)
GS-11	1	4	1	(3)
GS-9	4	15	4	(11)
Total Permanent Positions	186	658	186	(472)
Unfilled Positions EOY	2	-	-	-
Total Permanent Employment EOY	184	-	186	186
Full Time Equivalents	156	658	186	(472)
Headquarters	10	119	10	(109)
U.S. Field	173	535	173	(362)
Foreign Field	3	4	3	(1)
Total, Location	186	658	186	(472)
Average ES Salary	-	-	-	-
Average GS Salary	77,752	83,951	85,630	1,679
Average Grade	13	13	13	-

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Citizenship & Immigration Services
Fraud Prevention and Detection Account
Adjudication Services
Funding Schedule
(Dollars in Thousands)**

PPA: Adjudication Services	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	13,773	61,069	16,946	(44,123)
11.3 Other than full-time permanent	48	665	59	(606)
11.5 Other personnel compensation	344	894	203	(691)
12.1 Benefits	4,068	17,621	5,005	(12,616)
21.0 Travel	587	2,131	758	(1,373)
22.0 Transportation of things	92	174	119	(55)
23.1 GSA rent	1,926	2,486	2,486	-
23.3 Communications, utilities, and misc. charges	12	226	15	(211)
24.0 Printing	-	16	-	(16)
25.0 Other services	-	5,750	-	(5,750)
25.1 Advisory and assistance services	4,875	17,324	6,292	(11,032)
25.2 Other services	4,288	-	5,535	5,535
25.3 Purchases from Gov't accts.	50	79	65	(14)
25.8 Other services	1	1	1	-
26.0 Supplies and materials	135	354	174	(180)
31.0 Equipment	325	1,069	420	(649)
Total, Object Class	30,524	109,859	38,078	(71,781)
Transfers from other accounts	10,500	-	-	-
Unobligated Balance, start of year	(83,361)	(148,343)	(76,033)	72,310
Unobligated Balance, end of year	148,343	76,033	73,512	(2,521)
Recoveries of Prior Year Obligations	(4,122)	(2,000)	-	2,000
Offsetting Collections	(32,335)	-	-	-
Adjustment For Other Funding Sources	(39,025)	74,310	2,521	(71,789)
Total, Adjudication Services	30,524	109,859	38,078	(71,781)
Full Time Equivalents	156	658	186	(472)

PPA Mission Statement

The funds from the Fraud Prevention and Detection Account, comprising approximately two percent of the total USCIS budget request, primarily support the USCIS goal to ensure the security and integrity of the immigration system. These funds are specifically for activities related to preventing and detecting fraud of H & L immigration benefit applications.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	13,773	61,069	16,946	(44,123)

Salaries and Benefits includes costs for 186 FTEs. The FY 2011 request includes \$307,000 for the proposed January 2011 1.4 percent increase in personnel compensation, and a decrease of \$58,343,000 in costs associated with supporting the office of Fraud Detection and National Security in FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	48	665	59	(606)

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	344	894	203	(691)

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	4,068	17,621	5,005	(12,616)

See description in 11.1.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	587	2,131	758	(1,373)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request reflects a decrease of \$1,373,000 in costs associated with supporting the office of Fraud Detection and National Security in FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	92	174	119	(55)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 budget request reflects a decrease of \$55,000 in costs associated with supporting the office of Fraud Detection and National Security in FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	1,926	2,486	2,486	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request reflects no change.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	-	-	-	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	12	226	15	(211)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request reflects a decrease of \$211,000 in costs associated with supporting the office of Fraud Detection and National Security in FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	-	16	-	(16)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request reflects a decrease of \$16,000 in costs associated with supporting the office of Fraud Detection and National Security in FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	4,875	17,324	6,292	(11,032)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request reflects a decrease of \$11,031,000 in costs associated with supporting the office of Fraud Detection and National Security in FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	4,288	-	5,535	5,535

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request reflects a decrease of \$215,000 in costs associated with supporting the office of Fraud Detection and National Security in FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	50	79	65	(14)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request reflects a decrease of \$14,000 in costs associated with supporting the office of Fraud Detection and National Security in FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	1	1	1	-

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2011 request reflects no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	135	354	174	(180)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request reflects a decrease of \$180,000 in costs associated with supporting the office of Fraud Detection and National Security in FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	325	1,069	420	(649)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects a decrease of \$649,000 in costs associated with supporting the office of Fraud Detection and National Security in FY 2010.

I. Changes in Full Time Equivalent

Department of Homeland Security Citizenship & Immigration Services Fraud Prevention and Detection Account Changes in Full Time Equivalent

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	100	156	658
INCREASES	-	-	-
Adjustment to Base	156	-	-
Adjustment to base	80	-	-
Increases	236	-	-
Adjustment to Base	-	502	-
Subtotal, Increases	236	502	-
DECREASES	-	-	-
Adjustment to Base	(180)	-	-
Decreases	(180)	-	-
Adjustment to Base: FDNS Transfer Back to Exams	-	-	(472)
Subtotal, Decreases	(180)	-	(472)
Year End Actual / Estimated FTEs:	156	658	186
Net Change from prior year base to Budget Year Estimate:	56	502	(472)

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable.

Department of Homeland Security

U.S. Citizenship & Immigration Services



Fiscal Year 2011
Strategic Context
Congressional Justification

FY 2011 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

U.S. CITIZENSHIP & IMMIGRATION SERVICES (USCIS)

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A. Mission and Description of Component

United States Citizenship and Immigration Services (USCIS) is the largest immigration service in the world. USCIS processes millions of immigration benefit applications every year through a network of 230 domestic and foreign offices.

USCIS secures America's promise as a nation of immigrants by providing accurate and useful information to our customers, granting immigration and citizenship benefits, promoting an awareness and understanding of citizenship, and ensuring the integrity of the immigration system.

USCIS has established six goals in support of its mission:

- Strengthen the security and integrity of the immigration system,
- Provide effective customer-oriented immigration benefits and information,
- Support immigrants' integration and participation in American civic culture,
- Promote flexible and sound immigration policies and programs,
- Strengthen the infrastructure supporting the USCIS mission, and
- Operate as a high-performance organization that promotes a highly talented workforce and a dynamic work culture.

USCIS ensures that citizenship and immigration information and decisions on immigration benefits are provided to customers in a timely, accurate, consistent, courteous, and professional manner. Over fifty different types of immigration benefits are processed through USCIS. Every case is unique and requires specialized attention from experienced USCIS immigration officers. USCIS is also responsible for strengthening the effectiveness of national security efforts through enhancing the integrity of our country's legal immigration system. It accomplishes this by deterring, detecting, and pursuing immigration related fraud and combating unauthorized employment in the workplace. In addition, USCIS provides protection to refugees, both inside and outside of the United States, in accordance with USCIS' laws and international obligations.

Every day, on average, USCIS:

- Processes 27,400 applications for immigration benefits
- Issues 7,200 Permanent Resident Cards (green cards)
- Adjudicates 175 asylum applications
- Naturalizes 2,900 new civilian citizens, and 35 new citizens who are members of the United States Armed Forces
- Conducts 135,000 national security background checks
- Captures 8,700 sets of fingerprints at 129 Application Support Centers
- Answers approximately 1,200 phone inquiries and assists approximately 8,500 customers at our 87 local offices

B. Major Activities and Key Strategic Goals

USCIS activities are organized into five program areas:

- Immigration Status Verification
- Adjudication Services
- Citizenship
- Immigration Security and Integrity
- Information and Customer Services

Immigration Status Verification

The Immigration Status Verification program area encompasses: the E-Verify program, Systematic Alien Verification for Entitlements program (SAVE), and the REAL ID Act programs. The program performance goal for these activities is to provide efficient and accurate immigration status and employment eligibility information, which supports the DHS Secretary's Priority of Enforcing and Administering our Immigration Laws

- E-Verify is a Web-based system that helps U.S. employers maintain a legal workforce by electronically verifying the employment eligibility of newly hired employees. USCIS administers E-Verify in partnership with the Social Security Administration.
- SAVE is an intergovernmental information-sharing initiative designed to aid eligibility workers in determining a noncitizen applicant's immigrant status. It accomplishes this by providing immigration status information and ensuring that only entitled noncitizen applicants receive federal, state, or local public benefits and licenses.
- REAL ID is a nationwide effort intended to prevent terrorism, reduce fraud, and improve the reliability and accuracy of identification documents that State governments issue. The REAL ID Act requires that a state must first verify the issuance, validity, and completeness of each document required before it can issue a REAL ID-compliant driver's license or identification card to applicants.

These programs are supported by the Verification Information System (VIS). VIS can currently handle up to 65 million queries per year, with anticipated growth in employer registration and query volume, VIS capacity was increased in FY 2009 to accommodate up to 65 million queries per year; and the system will be transitioned to the new DHS data center in FY 2010.

Adjudication Services

The Adjudication Services program area is divided into three sub-programs: Adjudication Services; Asylum, Refugee and International Operations; and, Business Transformation. The program performance goal for these activities is to provide immigration benefit services in a timely, consistent, and accurate manner, which supports the DHS Secretary's Priority of Enforcing and Administering our Immigration Laws

- Adjudication Services encompasses functions, operations, policies and activities related to the processing and decisions on immigration applications and benefits.
- Asylum, Refugee, and International Operations is responsible for overseeing, planning, and implementing policies and activities related to asylum and refugee issues as well as immigration services overseas.

- Business Transformation is a multi-year effort to modernize USCIS business processes and supporting systems. Funding is provided primarily through premium processing revenues.

The Adjudication Services program is working to eliminate the backlog of Naturalization (N-400) Applications and reduce the estimated average cycle time for processing the following:

- Form N-400 (Application for Naturalization) – 5 months in all offices
- Form I-485 (Application to Register for Permanent Residence or to Adjust Status) – 4 months in all offices
- Form I-140 (Immigrant petition for Alien Worker) – 4 months in all offices

The Asylum, Refugee, and International Operations program is working to award a multi-source contract for interpreter services, and once finalized, will implement a rule regarding professional interpreters at affirmative asylum interviews. The program is also working with refugee partners to examine ways to capture and screen fingerprints prior to refugee status determination interviews at certain processing locations.

Citizenship

The Citizenship program area primarily encompasses the activities under the USCIS Office of Citizenship (OoC). The program performance goal is to promote education and training on fundamental civic principles and the rights and responsibilities of citizenship, provide federal leadership and support collaboration on civic integration issues, and celebrate the meaning of citizenship. This goal supports the DHS Secretary's Priority of Enforcing and Administering our Immigration Laws. OoC develops educational products and information resources to foster immigrant integration and participation in American civic culture and enhances training to promote an understanding of and appreciation for U.S. civic principles.

Current activities under the Citizenship program include expanding existing adult educator training programs and providing technical assistance on the naturalization test curriculum for classroom study tools. The new naturalization test will be fully implemented by FY 2010.

Immigration Security and Integrity

The Immigration Security and Integrity program area encompasses activities under Fraud Detection and National Security and domestic operations offices. The program performance goal for this program area is to enhance the security and integrity of the legal immigration system, which supports the DHS Secretary's Priority of Enforcing and Administering our Immigration Laws. Activities primarily include detecting, pursuing, and deterring fraud; ensuring law enforcement (background) checks are conducted on all persons seeking benefits; identifying systemic vulnerabilities and other weaknesses that compromise the integrity of the immigration system; performing as USCIS' primary conduit to and from the law enforcement and intelligence communities; and coordinating interagency policies, procedures, and other issues with Customs and Border Protection (CBP) and Immigration and Customs Enforcement (ICE).

Information and Customer Services

The Information and Customer Services program area encompasses information and customer service functions, operations, policies and activities, and customer service call center operations. The program performance goal for this program area is to provide timely, consistent, and accurate information to our customers, which supports the DHS Secretary's Priority of Enforcing and Administering our Immigration Laws.

Through the Information and Customer Services Program, USCIS reduces the frequency of repeated, redundant applicant contact with USCIS employees, thus improving agency efficiency. USCIS makes it easier for our customers to get the information they need, when they need it through multiple channels of available assistance, including the USCIS website, toll-free call centers (National Customer Service Call Centers), and face-to-face appointments.

Current activities include implementing a revised notice printing process, and expanding the Service Request Management Tool (SRMT) functionality to include customer self service. In FY 2010, USCIS plans to pilot modified kiosk access to USCIS web services through local USCIS offices.

C. Resources Requested and Performance Impact

USCIS requests a total of 10,878 FTEs and \$2.8 billion.

Immigration Status Verification

The FY 2011 budget request includes 522 FTEs and \$137.4 million for Immigration Status Verification.

Through the activities of E-Verify, SAVE and REAL ID, the Immigration Status Verification program is leading initiatives to:

- Increase outreach and training assistance to local, state and federal agencies to encourage use of E-Verify and SAVE.
- Improve system data sources to safeguard privacy information, minimize identity theft and fraud, and ensure accountability and compliance.
- Promote partnership with Departments of Motor Vehicles to facilitate sharing of photos and records with E-Verify and accomplish REAL ID verification needs.

As of January 2010, E-Verify has enrolled over 183,931 employers, representing over 680,000 locations. Employers have run over 8.7 million queries in fiscal year (FY) 2009 to date, and the volume of queries doubled from FY 2007 to FY 2008 from 3.27 million to 6.6 million. According to an analysis of Bureau of Labor Statistics data, over 17.3% percent of all non-agricultural new hires in the U.S are run through E-Verify.

As of January 2010, the SAVE program has a total of 347 registered agencies. This includes 185 state agencies, 36 Department of Motor Vehicle (DMV) organizations, 98 local agencies, and 28 federal agencies. Through December 31, 2009, there were 2.6 million SAVE queries run through the system.

In FY 2010 and FY 2011, E-Verify will enhance systems to improve compliance and monitoring, and continue marketing activities. USCIS will also continue working to reduce SAVE secondary verifications through technological enhancements to the Verification Information System (VIS) and improvements to the database's accuracy.

Working with the DHS Office of Policy, USCIS is facilitating state compliance with the REAL ID Act through its verification systems. The SAVE program has partnered with the American

Association of Motor Vehicle Administrators (AAMVA) on the development of a national connectivity effort to help States verify data with each other and against Federal databases. The AAMVA connectivity allows DMVs another avenue to connect to the SAVE program and facilitate REAL ID requirements.

Adjudication Services

The FY 2011 budget request includes 9,324 FTEs and \$2.3 billion.

In FY 2010, under the Adjudication Services program, USCIS:

- Initiated the Administrative Site Visit and Verification Program (ASVVP) and completed 4,861 site visits.
- Began to expand FDNS Operations overseas, starting with two Fraud Fee Account funded Immigration Officer positions in Monterrey, Mexico and Frankfurt, Germany.
- Transformation in coordination with OIT secured Level III Federal Enterprise Architecture (FEA) compliance with the USCIS Enterprise Architecture.
- Completed 110,000 refugee determination interviews to support 75,000 refugee admissions to the United States.
- Implemented a comprehensive refugee standard operating procedure and expanded and improved capacity to capture and check biometrics for applicants for refugee resettlement.
- Achieved a six-month cycle time measured in real time for affirmative asylum.
- Completed more than 33,000 asylum applications resulting in 5,881 cases pending – an historic low.

In FY 2010 and 2011, the Adjudication Services program plans to maintain the reduced estimated average cycle times achieved in FY 2010. The Asylum, Refugee, and International Operations program plans to assess fraud detection and national security resource needs both at headquarters and overseas refugee processing circuit rides. The establishment of a case management system will provide overseas offices with ready access to International Operations documents.

In FY 2010, USCIS plans to begin development of the first increment of Transformation, which will cover non-immigrant applications and the associated releases. The increment is anticipated to be completed prior to the end of FY 2012. Release A is the first release in the increment and will establish account management for individuals and provide end-to-end electronic case management functionality for a select set of primarily Non-Immigrant benefit types. Release B is the final release in the first increment and will establish account management for organizations and provide end-to-end electronic case management functionality for the remaining Non-Immigrant benefit types.

Citizenship

The FY 2011 budget request includes 23 FTEs and \$18 million.

In FY 2009, USCIS led over a dozen outreach events to promote citizenship and civic integration initiatives. USCIS also launched a public service campaign to promote volunteerism and the New Americans Project by producing foreign language broadcast announcements to reach a combined circulation of eight million individuals. Educational efforts included hosting training conferences

and workshops for volunteers and adult educators on the revised naturalization test, techniques for teaching civics and citizenship, and the naturalization process in general. To date, USCIS has trained more than 2,000 individuals in over 25 conferences and workshops nationwide.

USCIS provides a valuable role in coordinating federal integration efforts and raising awareness of the importance of integration and citizenship among all sectors of society. Key to the success of this program are partnerships with state and local governments, U.S. businesses, non-profits, faith-based organizations, and academia, as all have important roles to play in improving integration. Resources provided in FY 2010, and FY 2011 will continue support for outreach to immigrant communities, training conferences around the country, and coordination with a variety of organizations and groups to encourage integration and civic engagement. OoC will administer and manage programmatic aspects of the new Citizenship Grant Program, monitor the administration of the new naturalization test, and evaluate educational publications and outreach resources.

Immigration Security and Integrity

The FY 2011 budget request includes 667 FTEs and \$261 million to operate a program of comprehensive quality assurance and security measures to ensure that benefits are granted only to eligible individuals.

FDNS has completed a Benefit Fraud and Compliance Assessment (BFCA) for the H-1B (specialty occupation) benefit category and is in the process of conducting an assessment of the L-1A (multi-national executive or manager) nonimmigrant visa classifications. In addition, FDNS is in the process of establishing overseas Anti-fraud Officer positions to focus on H and L visas at 8 posts with high volume of applicants.

In FY 2010 and FY 2011, USCIS will continue using funding to further ongoing efforts to develop a comprehensive and collaborative approach for detecting, prosecuting, and deterring immigration-related fraud. This includes developing a proactive anti-fraud program that bounces key fraud indicators from past (proven) conspiracies against all incoming applications and petitions; and conducting post adjudication compliance site visits through the Administrative Site Visit Verification Program (ASVVP).

Information and Customer Services

The FY 2011 budget request includes 341 FTEs and \$115 million.

In FY 2010 and FY 2011, USCIS will continue using funding to advance self-service through improved on-line scripts, continue enhancements with the automated appointment scheduler, further develop SRMT on-line for external customer use, and enhance call center efficiencies and improve customer service with the implementation of Computer Telephone Integration (CTI).

D. Performance Highlights, Resources, and Alignment to Strategic Goals

For each mission-oriented program, the program performance goal, alignment to the DHS Secretary’s Priorities total dollars and FTE, and Government Performance and Results Act (GPRA) performance plan measures are shown below. Additional measures are also displayed, as appropriate, to provide a more thorough context of expected performance results.

Program: Immigration Status Verification						
Performance Goal: Provide efficient and accurate immigration status and employment eligibility information.						
Secretary’s Priority Enforcing and Administering Our Immigration Laws.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$20,500	\$143,000	\$78,504	\$168,818	\$156,184	\$137,400
FTE	174	365	437	289	482	522

Performance Plan Measures

Measure: Percent of E - Verify queries in comparison to annual hires recorded by the Bureau of Labor Statistics.						
Description of Measure: E - Verify provides an automated link to federal databases to help employers who have voluntarily decided to determine if a new hire is legally authorized to work in the United States. This measure assesses the use of the E - Verify program by comparing the number of E - Verify queries to annual hires recorded by the Bureau of Labor Statistics. It is calculated by excluding agricultural workers and assumes a 10% duplicate and invalid query percentage, which is also excluded.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	11%	13%	13%
Actual:	None	None	None	17.3%	N/A	N/A

Measure: Percent of Systematic Alien Verification for Entitlements (SAVE) queries requiring manual review that are later resolved as lawful status.						
Description of Measure: This measure reflects the percent of Systematic Alien Verification for Entitlements (SAVE) queries on the immigration status of government - benefit applicants that require manual review to determine lawful status. When SAVE is used by government agencies to check the immigration status of an applicant for a government - issued license or benefit, immediate confirmation is usually received. If the records retrieved from the SAVE query are inconclusive, manual review is required. The percent of manual reviews that find an applicant has lawful immigration status is a reflection of the effectiveness of SAVE automation and the quality and completeness of records; a low percentage indicates effective automation and records.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	15%	12%	<=3%	<=9%	<=9%
Actual:	None	5%	5%	5%	N/A	N/A

Program: Adjudication Services						
Performance Goal: Provide immigration benefit services in a timely, consistent, and accurate manner.						
Secretary's Priority: Enforcing and Administering Our Immigration Laws.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$1,271,196	\$1,485,272	\$1,979,076	\$2,022,511	\$2,215,475	\$2,256,990
FTE	6,403	7,695	7,795	8,444	8,853	9,324

Performance Plan Measures

Measure: Estimated average cycle time to process form I - 129 (Petition for Nonimmigrant Worker).						
Description of Measure: An I-129, Petition for Nonimmigrant Worker, is filed by an employer to petition for an alien to come to the U.S. temporarily as a nonimmigrant worker. This measure assesses the program's effectiveness in processing the I-129 to provide immigration benefit services in a timely manner.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	<=2 months	<=2 months	<=2 months	<=2 months	<=2 months	<=2 months
Actual:	2 months	1.9 months	1.9 months	1.3 months	N/A	N/A

Measure: Estimated average cycle time to process form I-485 (Application to Register for Permanent Residence or to Adjust Status).						
Description of Measure: An I-485, Application to Register for Permanent Residence or to Adjust Status, is filed by an individual to apply for permanent residence in the United States or to adjust their current status. This measure assesses the program's effectiveness in processing complete I-485 to provide immigration benefit services in a timely manner, which exclude categories such as those applications in which no visa number is available or other data is pending.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	<=6 months	<=6 months	<=4 months	<=4 months	<=4 months	<=4 months
Actual:	5.93 months	5.2 months	13.6 months	4.4 months	N/A	N/A

Measure: Estimated average cycle time to process form N-400 (Application for Naturalization).						
Description of Measure: An N-400, Application for Naturalization, is filed by an individual applying to become a United States citizen. This measure assesses the program's effectiveness in processing N-400 applications, while controlling for a number of external factors that can affect the timeline.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	<=6 months	<=7 months	<=5 months	<=5 months	<=5 months	<=5 months
Actual:	5.58 months	6.2 months	8.7 months	4.2 months	N/A	N/A

Measure: Level of decisional accuracy for Form I-485, Application to Register for Permanent Residence or to Adjust Status.						
Description of Measure: An I-485, Application to Register for Permanent Residence or to Adjust Status, is filed by an individual to apply for permanent residence in the United States or to adjust their current status. The U.S. Citizenship and Immigration Services (USCIS) conducts quality reviews on a quarterly basis to determine the accuracy rate of final adjudication decisions. Quality reviews are conducted using a team of experienced adjudicators and subject matter experts. This measure assesses the program's ability to process the I-485 to provide immigration benefit services in a complete (fully supportable) and accurate manner. Additionally, the results of this quality review process are used to improve the training of adjudicators and the processes used in conducting adjudications.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	94%	94%
Actual:	None	None	None	None	N/A	N/A

Measure: Level of decisional accuracy for Form N-400, Application for Naturalization.						
Description of Measure: A N-400, Application for Naturalization, is filed by an individual applying to become a United States citizen. The U.S. Citizenship and Immigration Services (USCIS) conducts quality reviews on a quarterly basis to determine the accuracy rate of final adjudication decisions. Quality reviews are conducted using a team of experienced adjudicators and subject matter experts. This measure assesses the program's ability to process the N - 400 to provide immigration benefit services in a complete (fully supportable) and accurate manner. Additionally, the results of this quality review process are used to improve the training of adjudicators and the processes used in conducting adjudications.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	98%	98%
Actual:	None	None	None	None	N/A	N/A

Measure: Percent of ineligible asylum applicants (at local offices) referred to an immigration court within 60 days.						
Description of Measure: Since asylum reform, work authorization is obtained only if asylum is granted or no negative decision has been made within 180 days. If the program finds an applicant ineligible for asylum and the applicant is not in valid/legal status, the program refers the application to an immigration judge for final determination in the course of removal proceedings. Immigration courts require approximately 120 days to complete adjudications. To meet the 180-day threshold for a decision, the program aims to refer 75% of ineligible applications to immigration courts within 60 days of filing. The Asylum Division recognizes that some cases should be exempt from timeliness goals due to their complexity, the need to coordinate the adjudication with other USCIS or DHS entities, or the unavailability of staff at certain times. In order to balance timely completions and quality adjudications, the program has exempted 25 percent of its workload from this requirement.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	75%	75%	75%	75%	85%	85%
Actual:	88%	85%	90%	88%	N/A	N/A

Program: Citizenship						
Performance Goal: Promote education and training on fundamental civic principles and the rights and responsibilities of citizenship, provide federal leadership and support collaboration on civic integration issues, and celebrate the meaning of citizenship.						
Secretary's Priority: Enforcing and Administering Our Immigration Laws.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$5,030	\$6,715	\$7,441	\$6,400	\$16,957	\$18,000
FTE	14	21	19	17	20	23

Performance Plan Measures

Measure: Number of Citizenship training sessions conducted.						
Description of Measure: This measure reflects the trainings conducted to support immigrant integration through improved civics and citizenship instruction. The objective of these training workshops and conferences is for adult English as a Second Language (ESL), civics and citizenship teachers, volunteers, immigrant-serving organizations and other organizations to enhance their skills in teaching U.S. history, civics, and the naturalization process to immigrants. These structured training opportunities have a set curriculum which focuses on the naturalization test, the naturalization process, an overview of the fundamental principles of American democracy, and the skills and knowledge necessary for success in the naturalization interview process. These workshops complement EL/Civics Online, a web-based electronic training module for volunteers and adult educators that includes courses and materials in the following areas: the U.S. naturalization process, U.S. government, U.S. history, and civic engagement.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	None	12	13
Actual:	None	None	None	None	N/A	N/A

Measure: Number of significant citizenship outreach events.						
Description of Measure: This measure describes the number of significant outreach events designed to support immigrant integration. These actions serve a multitude of purposes to assist in accomplishing this goal, such as educating immigrants and encouraging their civic integration, informing stakeholders about the Offices mission and the importance of promoting civic integration, educating counterparts from outside the U.S. government about Federal integration efforts, and bringing on new partners to help encourage integration. Significant outreach events include conferences, ceremonies, meetings, media appearances, trainings, and presentations. Outreach efforts encourage immigrants to become more integrated into American civic culture.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	N/A	75	80	85	85
Actual:	None	None	109	99	N/A	N/A

Program: Immigration Security and Integrity						
Performance Goal: Enhance the security and integrity of the legal immigration system.						
Secretary's Priority: Enforcing and Administering Our Immigration Laws.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$321,726	\$395,483	\$599,593	\$93,801	\$353,626	\$261,434
FTE	937	1,188	1,310	1,221	1,138	667

Performance Plan Measures

Measure: Percent of routine referrals with national security implications completed within targeted processing time.						
Description of Measure: This measure reflects the percent of routine requests for technical support on National Security cases or concerns that are responded to within 2 business days. Requests received from the field, counsel, etc. are received and recorded by the Field Support unit (FSU) in the National Security Branch (NSB). Requests are normally received by mail, but may also be received by phone.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	80%	85%	90%
Actual:	None	None	None	80%	N/A	N/A

Measure: Percent of site visits that verify information provided in petition is in compliance with immigration laws.						
Description of Measure: This measure gauges the percentage of site visits that result in verifying the veracity of information provided on a petition and in its supporting documentation. The primary objective of these site visits is to verify the physical existence of the religious organization or business, on - site familiarity with the petition (job offer), and other critical (eligibility - based) factors that will assist immigration service officers in rendering the appropriate adjudicative decision or deciding whether to initiate revocation proceedings.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	50%	65%	70%
Actual:	None	None	None	60%	N/A	N/A

Program: Information and Customer Service						
Performance Goal: Provide timely, consistent, and accurate information to our customers.						
Secretary's Priority: Enforcing and Administering Our Immigration Laws.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$164,406	\$193,780	\$237,395	\$184,868	\$117,755	\$115,134
FTE	914	1,139	1,153	289	341	341

Performance Plan Measures

Measure: Average time to reach a telephone Customer Service Representative.						
Description of Measure: When a customer calls the U.S. Citizenship and Immigration Services (USCIS) Customer Service Center, they are connected to a telephone customer service representative. This measure assesses the time it takes for a customer to make initial contact.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	<2 minutes	<1 minute	<1 minute	<1 minute
Actual:	None	None	.65 minutes	6 seconds	N/A	N/A

Measure: Average time to reach a telephone Immigration Information Officer.						
Description of Measure: When a customer calls the U.S. Citizenship and Immigration Services (USCIS) Customer Service Center, they are connected to a telephone customer service representative. If the customer's question is complex, they are referred to a USCIS telephone Immigration Information Officer. This measure assesses the time it takes for a customer to make initial contact with a telephone Immigration Information Officer.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	<5 minutes	<5 minutes	<2 minutes	<2 minutes
Actual:	None	None	5.43 minutes	48 seconds	N/A	N/A

Measure: Customer satisfaction rate with US Citizenship and Immigration Services phone centers.						
Description of Measure: This measure reports the percent of people who were satisfied with the information obtained on immigration services and benefits from United States Citizenship and Immigration Services (USCIS) over the telephone., A USCIS contractor selects a random group of customers who have called the phone centers on a monthly basis to participate in a phone survey to rate their overall experience with the service received from the USCIS phone center. A standardized USCIS and General Accountability Office approved survey tool is used to collect customer responses. This satisfaction rate measures our performance in providing timely, consistent, and accurate information regarding immigration services and benefits to immigrants, U.S. employers, and the American public over the telephone.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	79%	79%	80%	82%	86%	86%
Actual:	83%	82%	84.2%	86%	N/A	N/A

E. High Priority Performance Goals

High Priority Performance Goal (Secretary’s Priority Area): Enforcing and Administering our Immigration Laws

Goal: Improve the delivery of immigration services.

The process for adjudicating immigration applications remains a paper-based and transaction focused process, creating challenges for DHS and its customers. The Department's current set of businesses practices have resulted in difficulties with application wait times, as well as challenges with tracking applicants. The current technology in place also lacks the ability for applicants to monitor their own application process.

USCIS is carrying out an enterprise wide transformation to move from a form driven, paper-based system into a centralized, electronic adjudication system. This new environment will use transformed business processes and technology to integrate information used for analysis, improve data integrity, reinforce decision consistency, and further enhance the security of the immigration system while better enabling customers to conduct business with USCIS High Priority Performance Goal Measures:

Component	FYHSP Program Name	Program Performance Goal	Performance Measure	Secretary’s Priority
USCIS	Adjudication Services	Provide immigration benefit services in a timely, consistent, and accurate manner	Percent of Project Milestones Completed within 10 percent of cost and schedule baseline	Enforcing and Administering our Immigration Laws
USCIS	Adjudication Services	Provide immigration benefit services in a timely, consistent, and accurate manner	Percent of documents available in electronic format	Enforcing and Administering our Immigration Laws

F. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Discretionary	FY 2009 Revised Enacted		FY 2010 Enacted		FY 2011 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
FYHSP Program						
Immigration Security and Integrity	2	50,750	2	21,000	2	23,400
Adjudication Services	5	540	0	55,000	744	207,000
Asylum and Refugee Services	5	540	0	50,000	744	207,000
Business Transformation Program	0	0	0	0	0	0
Adjudication Services	0	0	0	5,000	0	0
Information and Customer Service	0	0	0	0	0	0
Information and Customer Service-Other	0	0	0	0	0	0
Citizenship	0	1,200	3	11,000	23	18,000
Immigration Status Verification	228	100,000	298	137,000	520	137,400
E-Verify	228	100,000	298	137,000	338	103,400
SAVE	0	0	0	0	182	34,000
Total Discretionary Authority:	235	152,490	303	224,000	1,289	385,800

Mandatory	FY 2009 Revised Enacted		FY 2010 Enacted		FY 2011 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
FYHSP Program						
Immigration Security and Integrity	1,221	293,801	1,138	332,626	667	261,434
Adjudication Services	8,439	2,219,971	8,853	2,160,475	8,580	2,049,989
Asylum and Refugee Services	745	177,919	809	132,611	64	62,630
Business Transformation Program		252,058		322,500		164,025
Adjudication Services	7,694	1,789,994	8,044	1,705,364	8,516	1,823,335
Information and Customer Service	289	184,868	341	117,755	341	115,134
Information and Customer Service-Other	289	184,868	341	117,755	341	115,134
Citizenship	17	6,400	17	5,957	0	0
Immigration Status Verification	161	18,818	182	19,184	0	0
E-Verify	0	0	0	0	0	0
SAVE	161	18,818	182	19,184	0	0
Total Mandatory Authority:	10,127	2,723,858	10,532	2,635,997	9,589	2,426,557

Total Budget Authority:	10,362	2,876,348	10,835	2,859,997	10,878	2,812,357
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DEPARTMENT OF HOMELAND SECURITY
Federal Law Enforcement Training Center



Fiscal Year 2011
Overview
Congressional Justification

i. Summary of FY Budget Estimates by Appropriation

**Department of Homeland Security
Federal Law Enforcement Training Center
Summary of FY 2011 Budget Estimates by Appropriation**

Total Appropriations
(Dollars in Thousands)

Appropriation	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses:	1,058	248,915	1,103	239,356	1,103	239,919	-	563	-	-	-	563
Acquisition, Construction, Improvements & Related Expenses:	-	37,418	-	43,456	-	38,456	-	(5,000)	-	-	-	(5,000)
Subtotal, Enacted Appropriations and Budget Estimates	1,058	286,333	1,103	282,812	1,103	278,375	-	(4,437)	-	-	-	(4,437)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	1,058	286,333	1,103	282,812	1,103	278,375	-	(4,437)	-	-	-	(4,437)

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security
Federal Law Enforcement Training Center
Homeland and Non-Homeland Allocation by Program/Project Activity
(Dollars in Thousands)**

Budget Activity	FY 2009 Actuals						FY 2010 Enacted						FY 2011 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	772	\$176,660	286	\$72,252	1,058	\$248,912	771	\$167,519	332	\$71,837	1,103	\$239,356	771	\$167,699	332	\$72,220	1,103	\$239,919
- Law Enforcement Training	768	175,858	284	71,924	1,052	247,782	766	166,563	330	71,484	1,096	238,047	602	144,763	270	63,737	872	208,500
- Management & Administration	---	---	---	---	---	---	---	---	---	---	---	---	164	21,900	60	8,100	224	30,000
- Accreditation	4	802	2	328	6	1,130	5	956	2	353	7	1,309	5	1,036	2	383	7	1,419
Acquisition, Construction, Improvements & Related Expenses	---	26,567	---	10,851	---	37,418	---	31,723	---	11,733	---	43,456	---	28,073	---	10,383	---	38,456
Total Direct Appropriations and Budget Estimates	772	\$203,227	286	\$83,103	1,058	\$286,330	771	\$199,242	332	\$83,570	1,103	\$282,812	771	\$195,772	332	\$82,603	1,103	\$278,375

iii. Status of Congressional Requested Studies, Reports and Evaluation

Not Applicable

iv. Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
Federal Law Enforcement Training Center**

Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2011 Request
	Fiscal Year	Amount	Amount	Amount
Salaries and Expenses	N/A	N/A	N/A	239,919
- Law Enforcement Training	N/A	N/A	N/A	208,500
- Management & Administration	N/A	N/A	N/A	30,000
- Accreditation	N/A	N/A	N/A	1,419
Construction	N/A	N/A	N/A	38,456
Total Direct Authorization/Appropriation				\$278,375

Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses:



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Salaries and Expenses:

I. Appropriation Overview

A – Mission Statement for Salaries and Expenses:

We train those who protect our homeland.

B – Budget Activities:

The Federal Law Enforcement Training Center (FLETC) is the leading service provider for federal law enforcement training. FLETC serves as an interagency law enforcement training organization for over 85 Federal agencies with personnel located throughout the United States and its territories. FLETC's personnel conduct instructional programs for basic law enforcement recruits and some advanced training based on agency requests. FLETC also provides the necessary facilities, equipment, and support services for conducting advanced, specialized and refresher training for federal law enforcement personnel.

FLETC provides services to state, local, international and other federal law enforcement agencies with related law enforcement missions on a space-available basis. FLETC also provides export training conducted at other locations when the programs being conducted do not require the use of certain specialized facilities and when a geographical concentration of personnel is identified.

Consolidation of law enforcement training permits the Federal Government to cost-effectively emphasize training program excellence and shared experiences in cooperative training. Professional instruction and practical application provide students with the skills and knowledge necessary to meet the demanding challenges of a federal law enforcement career. New federal hires and journey level personnel learn not only the responsibilities of a law enforcement officer and agent, but through interaction with students from many other agencies, they also become acquainted with the missions and duties of their colleagues. This interaction provides the foundation for a more cooperative federal law enforcement effort.

FLETC's Partner Organizations have considerable input regarding training issues as well as operational and functional aspects of the Center. Representatives from these agencies take part in regular curriculum review and development conferences, and participate in the development of FLETC policies and directives. This relationship is characteristic of a "true partnership", which is responsive to the training mission.

C – Budget Request Summary:

The President’s Budget requests 1,130 positions, 1,103 FTE and \$239,919,000. The total adjustments-to-base is 0 positions, 0 FTE and \$563,000. There are no program changes.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security Federal Law Enforcement Training Center Salaries and Expenses:

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Management and Administration	-	-	-	-	224	30,000	224	30,000	-	-	224	30,000
Law Enforcement Training	1,052	247,785	1,096	238,047	872	208,500	(224)	(29,547)	-	-	(224)	(29,547)
Accreditation	6	1,130	7	1,309	7	1,419	-	110	-	-	-	110
Subtotal, Enacted Appropriations and Budget Estimates	1,058	248,915	1,103	239,356	1,103	239,919	-	563	-	-	-	563
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	1,058	248,915	1,103	239,356	1,103	239,919	-	563	-	-	-	563

III. Current Services Program Description by PPA

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses:
Management and Administration
Program Performance Justification
(Dollars in Thousands)**

PPA: Management and Administration

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	-	-	-
2010 Enacted	-	-	-
2011 Adjustments-to-Base	230	224	30,000
2011 Current Services	230	224	30,000
2011 Total Request	230	224	30,000
Total Change 2010 to 2011	230	224	30,000

FLETC requests \$30.000 million for this activity. Base increase of \$30.000 million includes a realignment of \$29.603 million from the Law Enforcement Training PPA, an increase of \$0.269 million for pay inflation, and an increase of \$0.128 million for annualization.

CURRENT SERVICES PROGRAM DESCRIPTION:

Management and Administration: Management and Administration provides critical management, oversight, analysis, policy, and administrative support to ensure the FLETC mission of training those who protect our homeland is done efficiently and effectively. Included are activities which are administrative and non-operational in nature. Excluded are operational activities which relate to the delivery of Law Enforcement Training. Also excluded are activities which are traditionally considered administrative in nature but the preponderance of the support is directly related to the delivery of Law Enforcement Training.

The Management and Administration program includes the FLETC Director, Director's Office, and immediate staff including the Office of Chief Counsel, Washington Office, Public Affairs Office, Equal Employment Opportunity Division, and Inspection and Compliance Division. Also included is the Chief Financial Officer Directorate, providing

budget, finance, accounting, financial systems, financial statements, relocation, travel, and strategic planning functions.

The Management and Administration program also includes Asset Management functions, such as Procurement, Real and Personal Property Management, Environmental Compliance and Safety. It includes the Operation Support functions such as Human Capital and Critical Incident Stress Management to promote fairness, consistency, and efficiency in the utilization of staffing, scheduling, human capital and human resources.

Excluded from this program are direct training functions such as the Training Directorate, Office of Training Operations, Field Training Directorate, Office of State and Local Training, Training Innovation and Management, Office of Training Management, and Office of Training Support. Also excluded from this program are the Chief Information Officer and Facilities Management because the preponderance of facilities and Information Technology equipment at FLETC are in the training environment. These activities are not administrative in nature and more directly tie to the Law Enforcement Training Program.

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses:
Law Enforcement Training
Program Performance Justification
(Dollars in Thousands)**

PPA: Law Enforcement Training

	Perm. Pos	FTE	Amount
2009 Actuals	1,176	1,052	247,785
2010 Enacted	1,123	1,096	238,047
2011 Adjustments-to-Base	(230)	(224)	(29,547)
2011 Current Services	893	872	208,500
2011 Total Request	893	872	208,500
Total Change 2010 to 2011	(230)	(224)	(29,547)

The President’s Budget requests \$208.500 million for this activity. Base decrease of \$29.547 million includes: an increase of \$1.034 million for pay inflation, an increase of \$0.493 million for annualization, an increase of \$4.000 million for the transfer of the National Computer Forensics Institute, a decrease of \$1.274 million for management efficiencies, a decrease of \$0.097 million realignment to FLETA, a decrease of \$29.603 million realignment to Management and Administration, and a one-time cost decrease of \$4.100 million for TRAIN21. There are no program changes.

CURRENT SERVICES PROGRAM DESCRIPTION:

Law Enforcement Training: FLETC’s services to its three major client groups underscore its homeland security support mission in promoting intergovernmental cooperation in law enforcement preparedness.

Federal – FLETC provides law enforcement training to over 85 federal agencies having enforcement responsibilities. FLETC prepares new and experienced law enforcement professionals to fulfill their responsibilities in a safe manner and at the highest level of proficiency. The average basic student spends 12 weeks training at FLETC, and receives a combination of classroom instruction and hands-on practical exercise training in all phases of law enforcement from firearms and high-speed vehicle operations to legal case instructions and defendant interview techniques. Students must apply their classroom knowledge during exercises that simulate typical situations encountered on the job. To add realism these exercises often involve contract role players who act as victims, witnesses, or suspects. Each of the basic programs provides core knowledge essential for new federal officers or agents to carry out their duties in a safe and efficient manner.

In addition to basic training, FLETC offers advanced and specialized training for career-long law enforcement preparation in subjects that are common to two or more of its Partner Organizations. Examples include Antiterrorism Port Security Boat Operations, Cyber Counterterrorism Investigator Training, Covert Electronics Surveillance, Critical Infrastructure Protection, Financial Forensics Techniques, Intelligence Analysts Training, and Land Transportation Antiterrorism Training.

State and local – The National Center for State and Local Law Enforcement Training trains personnel from state and local law enforcement agencies in advanced topics designed to develop specialized law enforcement skills. The participants benefit from federal expertise, specialized training, and receive instruction specific to their needs. Additionally, the program offerings are in subjects not generally available from state and local police academies or colleges and universities.

International – In the interest of combating global crime and protecting U.S. interests abroad, FLETC offers a range of training programs to foreign law enforcement agencies. Training focuses on the U.S. Government's Law and Democracy Program and the International Law Enforcement Academy programs in Europe, Asia, Africa, and other regions in the world. In cooperation with the Department of State, FLETC manages two International Law Enforcement Academies: Gaborone, Botswana and San Salvador, El Salvador, and serves as Deputy Director at the International Law Enforcement Academy in Bangkok, Thailand. Additionally, FLETC provides training and technical assistance at locations worldwide in collaboration with and support of the respective U.S. Embassies abroad. In support of this program, FLETC recently assigned a Regional Training Advisor to the U.S. Embassy in Kyiv, Ukraine on a reimbursable basis.

The FY11 Request includes a \$1,274,000 reduction for management efficiencies, of which \$200,000 is for implementation of SAVE Award submission for travel savings and cost avoidance through increased use of video-teleconferencing and phone-conferencing. The remainder of the management efficiency will be met through more effective utilization of supplies, equipment, and fiscal resources.

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses:
Accreditation
Program Performance Justification
(Dollars in Thousands)**

PPA: Accreditation

	Perm. Pos	FTE	Amount
2009 Actuals	7	6	1,130
2010 Enacted	7	7	1,309
2011 Adjustments-to-Base	-	-	110
2011 Current Services	7	7	1,419
2011 Total Request	7	7	1,419
Total Change 2010 to 2011	-	-	110

FLETC requests \$1.419 million for this activity. Base increase of \$0.110 million includes an increase of \$0.009 million for pay inflation, an increase of \$0.004 million annualization, and an increase of \$0.097 realignment from the Law Enforcement Training PPA.

CURRENT SERVICES PROGRAM DESCRIPTION:

Accreditation: The Federal Law Enforcement Accreditation (FLETA) process sets the standards for Federal law enforcement training. The accreditation of a federal law enforcement academy or program provides assurance to the citizens they serve that they have voluntarily submitted to a process of self-regulation; and, that they have successfully achieved compliance with a set of standards that have been collectively established by their peers within their professional community that demonstrate their adherence to quality, effectiveness, and integrity. To accomplish this goal, trainers in the same discipline, working through a professional accrediting body, assist each other in evaluating and improving their professionalism. The focus of the effort is to accredit federal academies; entry-level and advanced or specialized training programs; instructor training; and other programs that affect multiple Federal, state, and local law enforcement officers.

IV. Program Justification Changes

Not Applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Law Enforcement Training Center
Justification of Proposed Changes in Salaries and Expenses
Appropriation Language**

For necessary expenses of the Federal Law Enforcement Training Center, including materials and support costs of Federal law enforcement basic training; the purchase of not to exceed 117 vehicles for police-type use and hire of passenger motor vehicles; expenses for student athletic and related activities; the conduct of and participation in firearms matches and presentation of awards; public awareness and enhancement of community support of law enforcement training; room and board for student interns; a flat monthly reimbursement to employees authorized to use personal mobile phones for official duties; and services as authorized by section 3109 of title 5, United States Code; [\$239,356,000] \$238,500,000, of which up to [\$47,751,000] \$48,420,000 shall remain available until September 30, [2011] 2012, for materials and support costs of Federal law enforcement basic training; [of which \$300,000 shall remain available until expended for Federal law enforcement agencies participating in training accreditation, to be distributed as determined by the Federal Law Enforcement Training Center for the needs of participating agencies;] and of which not to exceed \$12,000 shall be for official reception and representation expenses: *Provided*, That the Center is authorized to obligate funds in anticipation of reimbursements from agencies receiving training sponsored by the Center, except that total obligations at the end of the fiscal year shall not exceed total budgetary resources available at the end of the fiscal year: *Provided further*, That section 1202(a) of Public Law 107-206 (42 U.S.C. 3771 note), as amended by Public Law [110-329 (121 Stat. 3677)] 111-83 (123 Stat. 2166), is further amended by striking "December 31, [2011] 2012" and inserting "December 31, [2012] 2013": *Provided further*, That the Federal Law Enforcement Training Accreditation Board, including representatives from the Federal law enforcement community and non-Federal accreditation experts involved in law enforcement training, shall lead the Federal law enforcement training accreditation process to continue the implementation of measuring and assessing the quality and effectiveness of Federal law enforcement training programs, facilities, and instructors]: *Provided further*, That the Director of the Federal Law Enforcement Training Center shall schedule basic or advanced law enforcement training, or both, at all four training facilities under the control of the Federal Law Enforcement Training Center to ensure that such training facilities are operated at the highest capacity throughout the fiscal year. (*Department of Homeland Security Appropriations Act, 2010.*)

For the additional amount, for necessary expenses funding Federal Law Enforcement Training Accreditation activities, \$1,419,000, of which \$300,000 shall remain available until expended to be distributed to Federal law enforcement agencies for expenses incurred participating in training accreditation: Provided, That the Federal Law

Enforcement Training Accreditation Board, including representatives from the Federal law enforcement community and non-Federal accreditation experts involved in law enforcement training, shall lead the Federal law enforcement training accreditation process to continue the implementation of measuring and assessing the quality and effectiveness of Federal law enforcement training programs, facilities, and instructors.

Explanation of Changes:

Request modification of FLETC S&E Appropriation language to create greater distinction of the FLETA portion of this account.

Extension of Public Law 107-206 as amended by Public Law 110-329 (relating to FLETC's authority to hire federal annuitants) until December 31, 2013 is requested at this time.

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses:
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	1,183	1,058	248,915
FY 2010 Enacted	1,130	1,103	239,356
Transfers	-	-	-
Increases/(Decreases)	-	-	-
National Computer Forensics Institute Transfer	-	-	4,000
Total, Transfers	-	-	4,000
Adjustments-to-Base	-	-	-
Increases	-	-	-
Annual Pay	-	-	1,312
Annual Pay 4th Quarter	-	-	625
Total Increases	-	-	1,937
Decreases	-	-	-
Management Efficiencies	-	-	(1,274)
Termination of One Time Costs	-	-	(4,100)
Total Decreases	-	-	(5,374)
Total, Adjustments-to-Base	-	-	(3,437)
FY 2011 Current Services	1,130	1,103	239,919
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	1,130	1,103	239,919
FY 2010 to FY 2011 Total Change	-	-	563

C. Summary of Requirements

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	1,183	1,058	248,915
FY 2010 Enacted	1,130	1,103	239,356
Transfers	-	-	-
Total, Transfers	-	-	4,000
Adjustments-to-Base	-	-	-
Increases	-	-	1,937
Decreases	-	-	(5,374)
Total, Adjustments-to-Base	-	-	(3,437)
FY 2011 Current Services	1,130	1,103	239,919
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	1,130	1,103	239,919
Total Change 2010 to 2011	-	-	563

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Management and Administration	-	-	-	230	224	30,000	230	224	30,000	-	-	-	230	224	30,000
Law Enforcement Training	1,123	1,096	238,047	893	872	208,500	(230)	(224)	(29,547)	-	-	-	(230)	(224)	(29,547)
Accreditation	7	7	1,309	7	7	1,419	-	-	110	-	-	-	-	-	110
Subtotal, Estimates Program Project Activity	1,130	1,103	239,356	1,130	1,103	239,919	-	-	563	-	-	-	-	-	563
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	1,130	1,103	239,356	1,130	1,103	239,919	-	-	563	-	-	-	-	-	563

D. Summary of Reimbursable Resources

Department of Homeland Security Federal Law Enforcement Training Center Salaries and Expenses: Summary of Reimbursable Resources (Dollars in Thousands)

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Department of Defense, Air Force	3	3	3,912	3	3	2,287	3	3	2,287	-	-	-
Department of Defense, Navy	1	1	1,734	1	1	2,427	1	1	2,427	-	-	-
Department of Defense, Pentagon Force Protection Agency	3	3	1,020	4	4	1,128	4	4	1,128	-	-	-
Department of Interior, Indian Affairs	3	3	1,313	3	3	1,181	3	3	1,181	-	-	-
Department of Justice, ATF	3	3	1,437	3	3	1,515	3	3	1,515	-	-	-
Department of Justice, Bureau of Prisons	-	-	1,904	-	-	3,082	-	-	3,082	-	-	-
Department of Justice, US Marshals Service	7	7	3,707	11	11	2,831	11	11	2,831	-	-	-
Department of State, Diplomatic Security Service	6	6	1,739	3	3	1,275	3	3	1,275	-	-	-
Department of Treasury, IRS	4	4	2,627	5	5	4,312	5	5	4,312	-	-	-
Inspector General Criminal Investigator Academy	4	4	1,000	3	3	2,339	3	3	2,339	-	-	-
Analysis and Operations	9	9	1,331	9	9	1,323	9	9	1,323	-	-	-
Customs and Border Protection	5	5	18,288	5	5	26,184	5	5	26,184	-	-	-
Customs and Border Protection, Border Patrol	-	-	14,283	-	-	8,885	-	-	8,885	-	-	-
Federal Air Marshall Service	3	3	1,089	5	5	733	5	5	733	-	-	-
Immigration and Customs Enforcement	10	10	13,327	13	13	18,796	13	13	18,796	-	-	-
Transportation Security Administration	10	10	2,932	5	5	1,314	5	5	1,314	-	-	-
US Coast Guard	-	-	2,965	1	1	4,541	1	1	4,541	-	-	-
United States Secret Service	7	7	2,095	7	7	2,232	7	7	2,232	-	-	-
VARIOUS	35	32	16,913	32	29	31,615	32	29	31,615	-	-	-
Total Budgetary Resources	113	110	93,616	113	110	118,000	113	110	118,000	-	-	-

Obligations by Program/Project Activity	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Law Enforcement Training	113	110	93,616	113	110	118,000	113	110	118,000	-	-	-
Total Obligations	113	110	93,616	113	110	118,000	113	110	118,000	-	-	-

E. Summary of Requirements by Object Class

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	80,665	84,024	85,341	1,317
11.3 Other than full-time permanent	2,171	1,941	1,972	31
11.5 Other personnel compensation	6,660	5,261	5,346	85
12.1 Benefits	30,718	32,186	32,692	506
13.0 Unemployment Compensation	153	44	42	(2)
21.0 Travel	7,683	9,587	8,495	(1,092)
22.0 Transportation of things	1,244	1,472	1,288	(184)
23.2 Other rent	24	35	35	-
23.3 Communications, utilities, and misc. charges	9,662	10,246	8,961	(1,285)
24.0 Printing	1,408	1,793	1,582	(211)
25.1 Advisory and assistance services	2,051	597	534	(63)
25.2 Other services	24,403	20,527	19,215	(1,312)
25.4 O&M of facilities	31,978	32,423	28,356	(4,067)
25.6 Medical care	3,197	4,983	4,358	(625)
25.7 Operation and maintenance of equipment	10,112	8,226	7,194	(1,032)
25.8 Other services	1,355	1,099	961	(138)
26.0 Supplies and materials	13,123	21,046	18,274	(2,772)
31.0 Equipment	22,037	23,871	18,518	(5,353)
32.0 Land & structures	116	64	56	(8)
42.0 Insurance Claims and Indemnity	29	60	53	(7)
43.0 Interest and Dividends	126	4	34	30
Total, Object Class	248,915	259,489	243,307	(16,182)
Unobligated Balance, start of year	(30,806)	(23,521)	(3,388)	20,133
Unobligated Balance, end of year	23,521	3,388	-	(3,388)
Recoveries of Prior Year Obligations	825	-	-	-
Total, Adjustments	(6,460)	(20,133)	(3,388)	16,745
Total, Direct Obligations	242,455	239,356	239,919	563

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses:
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	9	9	9	-
GS-15	71	71	71	-
GS-14	136	136	136	-
GS-13	365	343	343	-
GS-12	302	271	271	-
GS-11	96	96	96	-
GS-9	88	88	88	-
GS-8	22	22	22	-
GS-7	33	33	33	-
GS-6	8	8	8	-
GS-5	7	7	7	-
Ungraded Positions	46	46	46	-
Total Permanent Positions	1,183	1,130	1,130	-
Unfilled Positions EOY	125	27	27	-
Total Permanent Employment EOY	1,058	1,103	1,103	-
Full Time Equivalents	1,058	1,103	1,103	-
Headquarters	925	914	914	-
U.S. Field	256	213	213	-
Foreign Field	2	3	3	-
Total, Location	1,183	1,130	1,130	-
Average ES Salary	163,600	166,900	170,400	3,500
Average GS Salary	83,600	85,300	87,100	1,800
Average Grade	12	12	12	-

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses:
Management and Administration
Funding Schedule
(Dollars in Thousands)**

PPA: Management and Administration	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	-	17,826	17,826
11.3 Other than full-time permanent	-	-	261	261
11.5 Other personnel compensation	-	-	2,054	2,054
12.1 Benefits	-	-	5,834	5,834
13.0 Unemployment Compensation	-	-	25	25
21.0 Travel	-	-	1,045	1,045
22.0 Transportation of things	-	-	434	434
23.3 Communications, utilities, and misc. charges	-	-	137	137
25.1 Advisory and assistance services	-	-	302	302
25.2 Other services	-	-	787	787
25.4 O&M of facilities	-	-	19	19
25.6 Medical care	-	-	51	51
25.7 Operation and maintenance of equipment	-	-	143	143
25.8 Other services	-	-	5	5
26.0 Supplies and materials	-	-	454	454
31.0 Equipment	-	-	551	551
32.0 Land & structures	-	-	13	13
42.0 Insurance Claims and Indemnity	-	-	29	29
43.0 Interest and Dividends	-	-	30	30
Total, Object Class	-	-	30,000	30,000
Total, Management and Administration	-	-	30,000	30,000
Full Time Equivalents	-	-	224	224

PPA Mission Statement

We train those who protect our homeland.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	-	-	17,826	17,826

Salaries and Benefits includes costs for 224 FTEs. The FY 2011 request includes an increase of \$25,603,000 from the Law Enforcement Training PPA, an increase of \$269,000 for pay inflation and an increase of \$128,000 for annualization.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	-	-	261	261

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	-	-	2,054	2,054

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	-	-	5,834	5,834

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	-	-	25	25

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	-	-	1,045	1,045

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$1,045,000 from the Law Enforcement Training PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	-	-	434	434

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes an increase of \$434,000 from the Law Enforcement Training PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	-	-	137	137

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request includes an increase of \$137,000 from the Law Enforcement Training PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	-	302	302

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes an increase of \$302,000 from the Law Enforcement Training PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	-	-	787	787

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes an increase of \$787,000 from the Law Enforcement Training PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	-	-	19	19

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$19,000 from the Law Enforcement Training PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	-	-	51	51

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request includes an increase of \$51,000 from the Law Enforcement Training PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	-	-	143	143

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes an increase of \$143,000 from the Law Enforcement Training PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	-	-	5	5

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2011 request includes an increase of \$5,000 from the Law Enforcement Training PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	-	-	454	454

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an increase of \$454,000 from the Law Enforcement Training PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	-	-	551	551

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes an increase of \$551,000 from the Law Enforcement Training PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	-	-	13	13

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request includes an increase of \$13,000 from the Law Enforcement Training PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	-	-	29	29

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2011 request includes an increase of \$29,000 from the Law Enforcement Training PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
43.0 Interest and Dividends	-	-	30	30

Interest & dividends includes payments to creditors for the use of moneys loaned, deposited, overpaid, or otherwise made available. The FY 2011 request includes an increase of \$30,000 from the Law Enforcement Training PPA.

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses:
Law Enforcement Training
Funding Schedule
(Dollars in Thousands)**

PPA: Law Enforcement Training	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	80,098	83,367	66,849	(16,518)
11.3 Other than full-time permanent	2,171	1,941	1,711	(230)
11.5 Other personnel compensation	6,657	5,259	3,290	(1,969)
12.1 Benefits	30,566	32,002	26,670	(5,332)
13.0 Unemployment Compensation	153	44	17	(27)
21.0 Travel	7,366	9,066	6,638	(2,428)
22.0 Transportation of things	1,244	1,472	854	(618)
23.2 Other rent	24	35	35	-
23.3 Communications, utilities, and misc. charges	9,662	10,246	8,824	(1,422)
24.0 Printing	1,399	1,767	1,541	(226)
25.1 Advisory and assistance services	2,025	575	197	(378)
25.2 Other services	24,378	20,501	18,387	(2,114)
25.4 O&M of facilities	31,978	32,423	28,337	(4,086)
25.6 Medical care	3,197	4,983	4,307	(676)
25.7 Operation and maintenance of equipment	10,112	8,226	7,051	(1,175)
25.8 Other services	1,355	1,099	956	(143)
26.0 Supplies and materials	13,105	21,030	17,798	(3,232)
31.0 Equipment	22,024	23,870	17,967	(5,903)
32.0 Land & structures	116	64	43	(21)
42.0 Insurance Claims and Indemnity	29	60	24	(36)
43.0 Interest and Dividends	126	4	4	-
Total, Object Class	247,785	258,034	211,500	(46,534)
Total, Law Enforcement Training	247,785	258,034	211,500	(46,534)
Full Time Equivalents	1,052	1,096	872	(224)

PPA Mission Statement

We train those who protect our homeland.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	80,098	83,367	66,849	(16,518)

Salaries and Benefits includes costs for 872 FTEs. The FY 2011 request includes an increase of \$1,034,000 for pay inflation and \$493,000 for annualization, and a decrease of \$25,603,000 for the creation of a new Management and Administration PPA.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	2,171	1,941	1,711	(230)

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	6,657	5,259	3,290	(1,969)

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	30,566	32,002	26,670	(5,332)

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
13.0 Unemployment Compensation	153	44	17	(27)

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	7,366	9,066	6,638	(2,428)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes a decrease of \$151,000 for management efficiencies, a decrease of \$95,000 moved to the FLETA PPA, and a decrease of \$1,045,000 for the creation of a new Management and Administration PPA, and a decrease of \$1,137,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	1,244	1,472	854	(618)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request includes a decrease of \$434,000 for the creation of a new Management and Administration PPA, and a decrease of \$184,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	24	35	35	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures. There is no change from FY 2010 to FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	9,662	10,246	8,824	(1,422)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request includes a decrease of \$137,000 for the creation of a new Management and Administration PPA, and a decrease of \$1,285,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	1,399	1,767	1,541	(226)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes a decrease of \$5,000 for FLETA, and a decrease of \$221,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	2,025	575	197	(378)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes a decrease of \$4,000 for FLETA, a decrease of \$302,000 for creation of a new Management and Administration PPA, and a decrease of \$72,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	24,378	20,501	18,387	(2,114)

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes an increase of \$4,000,000 for the transfer of the National Computer Forensics Institute, a decrease of \$2,750,000 for TRAIN 21, a decrease of \$5,000 for FLETA, a decrease of \$787,000 for the creation of a new Management and Administration PPA, and a decrease of \$2,572,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	31,978	32,423	28,337	(4,086)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$19,000 for the creation of a new Management and Administration PPA, and a decrease of \$4,067,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.6 Medical care	3,197	4,983	4,307	(676)

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2011 request includes a decrease of \$51,000 for the creation of a new Management and Administration PPA, and a decrease of \$625,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	10,112	8,226	7,051	(1,175)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$143,000 for the creation of a new Management and Administration PPA, and a decrease of \$1,032,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.8 Other services	1,355	1,099	956	(143)

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2011 request includes a decrease of \$5,000 for the creation of a new Management and Administration PPA, and a decrease of \$138,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	13,105	21,030	17,798	(3,232)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes a decrease of \$101,000 for management efficiencies, a decrease of \$3,000 for FLETA, a decrease of \$484,000 for the creation of a new Management and Administration PPA, and a decrease of \$2,644,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	22,024	23,870	17,967	(5,903)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes a decrease of \$1,350,000 for TRAIN21, a decrease of \$1,007,000 for management efficiencies, a decrease of \$551,000 for the creation of a new Management and Administration PPA, and a decrease of \$2,995,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	116	64	43	(21)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request includes a decrease of \$13,000 for the creation of a new Management and Administration PPA, and a decrease of \$8,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
42.0 Insurance Claims and Indemnity	29	60	24	(36)

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2011 request includes a decrease of \$29,000 for the creation of a new Management and Administration PPA, and a decrease of \$7,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
43.0 Interest and Dividends	126	4	4	-

Interest & dividends includes payments to creditors for the use of moneys loaned, deposited, overpaid, or otherwise made available. There is no change from FY 2010 to FY 2011.

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses:
Accreditation
Funding Schedule
(Dollars in Thousands)**

PPA: Accreditation	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	567	657	666	9
11.5 Other personnel compensation	3	2	2	-
12.1 Benefits	152	184	188	4
21.0 Travel	317	521	812	291
24.0 Printing	9	26	41	15
25.1 Advisory and assistance services	26	22	35	13
25.2 Other services	25	26	41	15
26.0 Supplies and materials	18	16	22	6
31.0 Equipment	13	1	-	(1)
Total, Object Class	1,130	1,455	1,807	352
Total, Accreditation	1,130	1,455	1,807	352
Full Time Equivalents	6	7	7	-

PPA Mission Statement

To enhance the quality of federal law enforcement by establishing and maintaining a body of standards for federal law enforcement training; to administer an accreditation process based on those standards; and to ensure compliance with the process in order to maintain public confidence in federal law enforcement.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	567	657	666	9

Salaries and Benefits includes costs for 7 FTEs. The FY 2011 request includes an increase of \$9,000 for pay inflation and an increase of \$4,000 for annualization.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	3	2	2	-

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	152	184	188	4

See 11.1 above.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	317	521	812	291

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes an increase of \$95,000 from the Law Enforcement Training PPA, an increase of \$206,000 for carryover adjustment, and a decrease of \$10,000 for management efficiencies.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	9	26	41	15

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request includes an increase of \$5,000 from the Law Enforcement Training PPA and an increase of \$10,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	26	22	35	13

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request includes an increase of \$4,000 from the Law Enforcement Training PPA and an increase of \$9,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	25	26	41	15

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request includes an increase of \$5,000 from the Law Enforcement Training PPA and an increase of \$10,000 for carryover adjustment.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	18	16	22	6

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request includes an increase of \$3,000 from the Law Enforcement Training PPA, an increase of \$7,000 for carryover adjustment and a decrease of \$4,000 for management efficiencies.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	13	1	-	(1)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request includes a decrease of \$1,000 for management efficiencies.

I. Changes in Full Time Equivalent

Department of Homeland Security Federal Law Enforcement Training Center Salaries and Expenses: Changes in Full Time Equivalent

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	987	1,146	1,103
INCREASES	-	-	-
Annualization	2	-	-
Program Increase	88	-	-
Increases	90	-	-
Annual Pay 4th Quarter	-	7	-
Annualization	-	2	-
Management and Admin Realignment	-	-	224
Subtotal, Increases	90	9	224
DECREASES	-	-	-
Adjustment for Actuals	(19)	-	-
Decreases	(19)	-	-
Termination of One Time Costs	-	(52)	-
Management and Admin Realignment	-	-	(224)
Subtotal, Decreases	(19)	(52)	(224)
Year End Actual / Estimated FTEs:	1,058	1,103	1,103
Net Change from prior year base to Budget Year Estimate:	71	(43)	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses:**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Law Enforcement Training	2,726	3,130	3,217	87
Total Working Capital Fund	2,726	3,130	3,217	87

Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements & Related Expenses:



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Acquisition, Construction, Improvements & Related Expenses:

I. Appropriation Overview

A – Mission Statement for Acquisition, Construction, Improvements & Related Expenses:

We train those who protect our homeland.

B – Budget Activities:

The Federal Law Enforcement Training Center (FLETC) is the leading service provider for federal law enforcement training. FLETC serves as an interagency law enforcement training organization for over 85 Federal agencies with personnel located throughout the United States and its territories. FLETC's personnel conduct instructional programs for basic law enforcement recruits and some advanced training based on agency requests. FLETC also provides the necessary facilities, equipment, and support services for conducting advanced, specialized and refresher training for federal law enforcement personnel.

FLETC provides services to state, local, international and other federal law enforcement agencies with related law enforcement missions on a space-available basis. FLETC also provides export training conducted at other locations when the programs being conducted do not require the use of certain specialized facilities and when a geographical concentration of personnel is identified.

Consolidation of law enforcement training permits the Federal Government to cost-effectively emphasize training program excellence and shared experiences in cooperative training. Professional instruction and practical application provide students with the skills and knowledge necessary to meet the demanding challenges of a federal law enforcement career. New federal hires and journey level personnel learn not only the responsibilities of a law enforcement officer and agent, but through interaction with students from many other agencies, they also become acquainted with the missions and duties of their colleagues. This interaction provides the foundation for a more cooperative federal law enforcement effort.

FLETC's Partner Organizations have considerable input regarding training issues as well as operational and functional aspects of the Center. Representatives from these agencies take part in regular curriculum review and development conferences, and participate in the development of FLETC policies and directives. This relationship is characteristic of a "true partnership", which is responsive to the training mission.

C – Budget Request Summary:

The President’s Budget requests \$38,456,000. The adjustment-to-base decrease of \$5,000,000 will be offset with large unobligated balances. There are no program changes.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements & Related Expenses:
Summary of FY 2011 Budget Estimates by Program Project Activity**

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Acquisition, Construction, Improvements & Related Expenses:	-	37,418	-	43,456	-	38,456	-	(5,000)	-	-	-	(5,000)
Subtotal, Enacted Appropriations and Budget Estimates	-	37,418	-	43,456	-	38,456	-	(5,000)	-	-	-	(5,000)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	-	37,418	-	43,456	-	38,456	-	(5,000)	-	-	-	(5,000)

III. Current Services Program Description by PPA

**Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements & Related Expenses:
Program Performance Justification
(Dollars in Thousands)**

PPA: Acquisition, Construction, Improvements & Related Expenses:

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	-	-	37,418
2010 Enacted	-	-	43,456
2011 Adjustments-to-Base	-	-	(5,000)
2011 Current Services	-	-	38,456
2011 Total Request	-	-	38,456
Total Change 2010 to 2011	-	-	(5,000)

The President's Budget requests \$38.456 million for this activity. The adjustment-to-base decrease of \$5.000 million will be offset from large unobligated balances. There are no program changes.

CURRENT SERVICES PROGRAM DESCRIPTION:

Acquisition, Construction, Improvement & Related Expenses: This account provides for the acquisition and related costs for the expansion and maintenance of FLETC, to include funding for the Facilities Master Plan, Minor Construction and Maintenance, Environmental Compliance, and Communications Systems. The Master Plan provides the long range blueprint for expansion of facilities to meet the training requirements of over 85 Partner Organizations. Minor Construction and Maintenance provides alterations and maintenance funding for approximately 300 buildings at four locations. These locations include Glynco, Georgia which has a projected utilization rate of 75% in FY 10; Artesia, New Mexico which has a projected utilization rate of 65% in FY 10; Charleston, South Carolina which has a projected utilization rate of 92% in FY 10; and Cheltenham, Maryland which has a projected utilization rate of 21% in FY 10. Environmental Compliance funding is to ensure compliance with the EPA and State environmental laws and regulations. Communications Systems funding is to maintain and repair or replace the fiber optics telecommunications cable system.

Current Services includes \$9.381 million funding for construction and maintenance of the Practical Applications/Counterterrorism Operations Training Facility (PA/CTOTF). The PA/CTOTF is a five-year construction project funded in FY07-FY11 that is dedicated to providing the “hands-on” training necessary to meet the expanding needs of law enforcement in the post-9/11 environment. The 220-acre PA/CTOTF site will be composed of five training environments: international, intermodal, rural, urban and suburban – all designed to replicate both foreign and domestic settings.

Work completed on PA/CTOTF:

- a. The International Site opened for training April 2006.
- b. The Intermodal Site (727 Jet, Rail Cars and Buses) opened for training April 2006.
- c. The Situational Training Complex (Bldg 76) opened for training April 2008.

Work in progress on PA/CTOTF:

- a. Intermodal Site Terminal Building construction to be complete 4th quarter FY 11.
- b. Architecture and Engineering Firm and CMc Construction Contractor selected for the Urban/Suburban Site.

The FY11 Request includes a \$5,000,000 reduction which will be offset from large unobligated balances.

IV. Program Justification Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Law Enforcement Training Center
Justification of Proposed Changes in Acquisitions, Construction, Improvements,
and Related Expenses
Appropriation Language**

For acquisition of necessary additional real property and facilities, construction, and ongoing maintenance, facility improvements, and related expenses of the Federal Law Enforcement Training Center, [\$43,456,000] **\$38,456,000**, to remain available until expended: Provided, That the Center is authorized to accept reimbursement to this appropriation from government agencies requesting the construction of special use facilities.

B. FY 2010 to 2011 Budget Change

Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements & Related Expenses:
FY2010 to FY2011 Budget Change
(Dollars in Thousands)

	Pos.	FTE	Amount
FY 2009 Actuals	-	-	37,418
FY 2010 Enacted	-	-	43,456
Adjustments-to-Base	-	-	-
Increases	-	-	-
Decreases	-	-	-
Management Efficiencies	-	-	(5,000)
Total Decreases	-	-	(5,000)
Total, Adjustments-to-Base	-	-	(5,000)
FY 2011 Current Services	-	-	38,456
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2011 Request	-	-	38,456
FY 2010 to FY 2011 Total Change	-	-	(5,000)

C. Summary of Requirements

**Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements & Related Expenses:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	-	-	37,418
FY 2010 Enacted	-	-	43,456
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Decreases	-	-	(5,000)
Total, Adjustments-to-Base	-	-	(5,000)
FY 2011 Current Services	-	-	38,456
Program Changes	-	-	-
Total, Program Changes	-	-	-
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	-	-	38,456
Total Change 2010 to 2011	-	-	(5,000)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Acquisition, Construction, Improvements & Related Expenses:	-	-	43,456	-	-	38,456	-	-	(5,000)	-	-	-	-	-	(5,000)
Subtotal, Estimates Program Project Activity	-	-	43,456	-	-	38,456	-	-	(5,000)	-	-	-	-	-	(5,000)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	-	-	43,456	-	-	38,456	-	-	(5,000)	-	-	-	-	-	(5,000)

D. Summary of Reimbursable Resources

Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements & Related Expenses:
Summary of Reimbursable Resources
 (Dollars in Thousands)

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Department of Defense, Navy	-	-	822	-	-	-	-	-	-	-	-	-
Immigration and Customs Enforcement	-	-	327	-	-	-	-	-	-	-	-	-
Science and Technology	-	-	71,971	-	-	67,800	-	-	160,000	-	-	92,200
VARIOUS	-	-	5	-	-	5,200	-	-	2,000	-	-	(3,200)
Total Budgetary Resources	-	-	73,125	-	-	73,000	-	-	162,000	-	-	89,000

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity												
Acquisition, Construction, Improvements, and Related Expenses	-	-	73,125	-	-	73,000	-	-	162,000	-	-	89,000
Total Obligations	-	-	73,125	-	-	73,000	-	-	162,000	-	-	89,000

E. Summary of Requirements by Object Class

**Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements & Related Expenses:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	32	20	20	-
23.1 GSA rent	289	289	289	-
23.2 Other rent	2	2	2	-
25.1 Advisory and assistance services	230	115	115	-
25.2 Other services	10	1,095	1,095	-
25.3 Purchases from Gov't accts.	307	600	600	-
25.4 O&M of facilities	2,609	2,200	2,200	-
26.0 Supplies and materials	126	200	200	-
31.0 Equipment	162	-	-	-
32.0 Land & structures	33,651	112,984	62,935	(50,049)
Total, Object Class	37,418	117,505	67,456	(50,049)
Unobligated Balance, start of year	(53,347)	(103,049)	(29,000)	74,049
Unobligated Balance, end of year	103,049	29,000	-	(29,000)
Recoveries of Prior Year Obligations	(664)	-	-	-
Total, Adjustments	49,038	(74,049)	(29,000)	45,049
Total, Direct Obligations	86,456	43,456	38,456	(5,000)

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements & Related Expenses:
Funding Schedule
(Dollars in Thousands)**

PPA: Acquisition, Construction, Improvements & Related Expenses:	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	32	20	20	-
23.1 GSA rent	289	289	289	-
23.2 Other rent	2	2	2	-
25.1 Advisory and assistance services	230	115	115	-
25.2 Other services	10	1,095	1,095	-
25.3 Purchases from Gov't accts.	307	600	600	-
25.4 O&M of facilities	2,609	2,200	2,200	-
26.0 Supplies and materials	126	200	200	-
31.0 Equipment	162	-	-	-
32.0 Land & structures	33,651	112,984	62,935	(50,049)
Total, Object Class	37,418	117,505	67,456	(50,049)
Unobligated Balance, start of year	(53,347)	(103,049)	(29,000)	74,049
Unobligated Balance, end of year	103,049	29,000	-	(29,000)
Recoveries of Prior Year Obligations	(664)	-	-	-
Total, Adjustments	49,038	(74,049)	(29,000)	45,049
Total, Acquisition, Construction, Improvements & Related Expenses:	86,456	43,456	38,456	(5,000)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

We train those who protect our homeland.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	32	20	20	-

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. There is no change from FY 2010 to FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	289	289	289	-

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent

related services. There is no change from FY 2010 to FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	2	2	2	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures. There is no change from FY 2010 to FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	230	115	115	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. There is no change from FY 2010 to FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	10	1,095	1,095	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no change from FY 2010 to FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	307	600	600	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. There is no change from FY 2010 to FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	2,609	2,200	2,200	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. There is no change from FY 2010 to FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	126	200	200	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is no change from FY 2010 to FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	162	-	-	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. There is no change from FY 2010 to FY 2011.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
32.0 Land and structures	33,651	112,984	62,935	(50,049)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2011 request an adjustment-to-base offset of \$5,000,000 and a carryover adjustment of \$45,049,000.

I. Changes in Full Time Equivalent

Not Applicable.

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security

Federal Law Enforcement Training Center



Fiscal Year 2011
Strategic Context
Congressional Justification

FY 2011 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

FEDERAL LAW ENFORCEMENT TRAINING CENTER (FLETC)

TABLE OF CONTENTS

I. STRATEGIC CONTEXT FOR FY 2011 BUDGET

- A. Mission and Description of the Federal Law Enforcement Training Center 1**
- B. Major Programs and Key Strategic Goals 1**
- C. Resources Requested and Performance Impact 3**
- D. Performance Highlights, Resources, and Alignment to Strategic Goals 3**
- E. Digest Tables by Future Year Homeland Security Program (FYHSP) 7**

A. Mission and Description of the Federal Law Enforcement Training Center

The mission of the Federal Law Enforcement Training Center (FLETC) is to train those who protect our homeland. The FLETC is the Federal government's leader for and provider of world-class law enforcement training. The FLETC prepares new and experienced law enforcement professionals to fulfill their responsibilities in a safe manner and at the highest level of proficiency. Training consists of all phases of law enforcement instruction, from firearms and high-speed vehicle operations, to legal case instructions and defendant interview techniques. Through consolidated training the FLETC can respond quickly to emerging training needs, readily adapt to new requirements and focus exclusively on training, which is the FLETC's only mission. The FLETC delivers interagency training with optimal efficiency through the government-wide sharing of facilities, equipment and expertise which produces economies of scale available only from a consolidated law enforcement training organization.

The FLETC currently operates four training sites throughout the United States for multiple agency use. FLETC's headquarters and training site in Glynco, Georgia has classrooms, dining and residence halls, and state-of-the-art facilities for firearms, physical techniques, driver, marine and computer based training activities. Two field locations that provide both basic and advanced training are located in Artesia, New Mexico, and Charleston, South Carolina. The fourth training site, Cheltenham, Maryland, primarily provides firearms, drivers and tactics re-qualification training for officers and agents in the metropolitan Washington, DC area. The U.S. Capitol Police is co-located at Cheltenham and conducts Pre and Post Basic Training along with an array of advanced training. In cooperation with the Department of State, the FLETC manages International Law Enforcement Academies in Gaborone, Botswana and San Salvador, El Salvador, and serves as Deputy Director at the International Law Enforcement Academy in Bangkok, Thailand. Additionally, the FLETC provides training and technical assistance at locations worldwide in collaboration with and support from the respective U.S. Embassies abroad.

B. Major Programs and Key Strategic Goals

The FLETC: 1) serves over 85 Federal Partner Organizations having law enforcement responsibilities; 2) provides training and technical assistance to state, local and tribal law enforcement entities; and 3) plans, develops, and presents formal training courses and practical exercise applications related to international law enforcement training in the interest of combating global crime and protecting U.S. interests abroad. Service to these three major client groups underscore the FLETC's Homeland Security support mission in promoting intergovernmental cooperation in law enforcement preparedness.

In FY 2009, the FLETC received \$332,986,000 to provide law enforcement training and re-qualification to 67,244 students.

FY 2009 Accomplishments

- Provided training to 67,244 law enforcement students (238,768 student weeks).
- Received academy re-accreditation and program re-accreditation for the Boat Operators Anti-Terrorism Training Program (BOAT), the Law Enforcement Driver Instructor

Training Program (LEDITP), the Law Enforcement Instructor Training Program (LEITP), the Marine Law Enforcement Training Program (MLETP), and the Law Enforcement Control Tactics Instructor Training Program (LECTITP).

- Provide increased training for Border Patrol and ICE in support of the Secure Border Initiative (SBI).

Projected FY 2010 Accomplishments

- Provide training to over 66,000 law enforcement students (190,000 student weeks).
- Receive program re-accreditation for the Law Enforcement Fitness Coordinator Training Program (LEFCTP), the Law Enforcement Instructor In-Service Training Program (LEIISTP), the Criminal Investigator Training Program (CITP), and the Inland Boat Operators Training Program (IBOT).
- Complete construction of a physical training facility in Charleston, SC.
- Complete construction of a firearms multipurpose facility in Artesia, NM.
- Complete construction of a language arts facility in Artesia, NM.
- Complete construction of a detention facility in Artesia, NM.

Projected FY 2011 Accomplishments

- Provide training to over 66,000 law enforcement students (190,000 student weeks).
- Receive program re-accreditation for the Firearms Instructor Training Program (FITP), the Land Management Police Training Program (LMPT), and the Uniformed Police Training Program (UPTP).
- Complete construction of a dormitory in Charleston, SC.

The key strategic issues and priorities of the FLETC for the next five years will focus on expanding training programs through partnerships, emerging state-of-the-art training technology, sharing increased capacity in the most cost-effective manner using the consolidated law enforcement training concept, and providing federally accredited law enforcement training. The law enforcement officers trained at FLETC are the primary resources used to make the homeland more secure. In particular, during FY 2011 through FY 2015, the FLETC will concentrate our efforts on:

- *Ensuring state-of-the-art technology:* The FLETC continues its partnership with Naval Air Warfare to integrate modeling and simulation technology to support driver and firearms training. The simulation technology emulates highly dangerous law enforcement scenarios while enabling student learning in a safe and controlled environment. The FLETC will also focus on TRAIN21, a business operations and training transformation initiative that will integrate classroom instruction and real-world situation and decision-making practical exercises with technology-based training.
- *Partnering with state and local law enforcement entities:* The FLETC continues to revise and develop training programs for export delivery to state, local, tribal and campus law enforcement agencies. This partnership fosters cooperation, provides technology, improves response coordination and maximizes recovery between these agencies and Federal law enforcement agencies in emergency-related situations in the United States. Emerging programs for this area of training include domestic violence training and anti-terrorism intelligence training. The Rural Policing Institute was

established in FY 2009 to address more fully the training needs of law enforcement officers from small town and rural agencies, which comprise 95 percent of the state, local, tribal and campus law enforcement population.

- *Law enforcement training capacity:* The FLETC evaluates facilities requirements based on Partner Organization training requests and the facilities needed to provide the training. The FLETC is currently modifying its Strategic Master Plan for Facilities to provide for capacity associated with long term training needs. The FLETC continues to explore and apply training alternatives such as the use of technology-based solutions, including computer modeling and simulation, Web-based training and computer based training, in order to provide the most up-to-date training.

C. Resources Requested and Performance Impact

Major Changes within the Base Level

The FLETC’s FY 2011 request is \$278,375,000. The adjustment to base includes increases of \$625,000 for annualization, \$1,312,000 for pay inflation, \$4,000,000 for transfer of the National Computer Forensics Institute, and decreases of \$6,274,000 for management efficiencies and \$4,100,000 non-recur of TRAIN21.

D. Performance Highlights, Resources, and Alignment to Strategic Goals

For each mission-oriented program, the program performance goal, alignment to Secretary’s Priorities, total dollars and FTE, and Government Performance and Results Act (GPRA) performance plan measures are shown below. Additional measures are also displayed, as appropriate, to provide a more thorough context of expected performance results.

Program: Accreditation						
Performance Goal: Accredit all Federal law enforcement training.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	None	\$1,290	\$1,290	\$1,290	\$1,309	\$1,419
FTE	None	7	7	7	7	7

Performance Measures

Measure: Number of Federal Law Enforcement Training Accreditation assessments conducted for accreditation or re-accreditation.
Description of Measure: This performance measure reflects the number of Federal Law Enforcement Training Accreditation (FLETA) assessments conducted for Federal law enforcement training programs and academies in the current fiscal year. Assessments are conducted to determine if training programs and/or academies meet FLETA standards for accreditation/re-accreditation. FLETA assessments for accreditation are conducted when Federal law enforcement agencies submit an application requesting accreditation of their training programs and/or academies. Assessments for re-accreditation are conducted every three years. Working through FLETA, trainers in the same discipline assist each other in evaluating and improving their professionalism, leading to a high-degree of public confidence in competent Federal law enforcement agents and officers.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	NA	19	21
Actual:	None	None	None	18		

Measure: Number of Federal law enforcement training programs and/or academies accredited or re-accredited through the Federal Law Enforcement Training Accreditation process.						
Description of Measure: This performance measure reflects the cumulative number of Federal law enforcement training programs and/or academies accredited or re-accredited through the Federal Law Enforcement Training Accreditation (FLETA) process. Accreditation ensures that training and services provided meet professional training standards for law enforcement. Re-accreditation is conducted every three years to remain current. The results of this measure provide on-going opportunities for improvements in Federal law enforcement training programs and academies. Working through FLETA, trainers in the same discipline assist each other in evaluating and improving their professionalism, leading to a high-degree of public confidence in competent Federal law enforcement agents and officers.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	NA	52	56
Actual:	None	None	None	50		

Program: Law Enforcement Training						
Performance Goal: Provide law enforcement agents and officers, skilled in the latest techniques, to enforce laws and regulations, protect the Nation, and interact with the public with respect for individuals and civil liberty.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$289,880	\$273,989	\$287,376	\$331,696	\$281,503	\$276,956
FTE	932	1,040	1,049	1,139	1,096	1,096

Performance Measures

Measure: Percent of Partner Organizations satisfied that the Federal Law Enforcement Training Center training programs address the right skills needed for their officers/agents to perform their law enforcement duties.						
Description of Measure: This performance measure reflects the satisfaction of Partner Organizations that Federal Law Enforcement Training Center (FLETC) training programs address the right skills needed for their officers/agents to perform their law enforcement duties such as the prevention of the introduction of high-consequence weapons of mass destruction, terrorism and other criminal activity against the U.S. and our citizens. The results of the measure provide on-going opportunities for improvements that are incorporated into FLETC training curricula, processes and procedures.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	73%	74%	75%	79%	83%	84%
Actual:	71%	79.75	79.75%	82%		

Measure: Percent of Partner Organizations satisfied with the overall Federal Law Enforcement Training Center training experience.						
Description of Measure: This performance measure reflects the satisfaction of Partner Organizations with the overall Federal Law Enforcement Training Center (FLETC) training experience. The training experience is defined as law enforcement training and services (e.g., housing, food, logistics, recreation, etc.) provided to Partner Organization students and training staff. FLETC training programs prepare Partner Organization officers/agents to perform their law						

enforcement duties such as the prevention of the introduction of high-consequence weapons of mass destruction, terrorism and other criminal activity against the U.S. and our citizens. The results of the measure provide on-going opportunities for improvements that are incorporated into FLETC training curricula, processes and procedures.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	81%	92%	93%
Actual:	None	None	None	91%		

Measure: Percent of Partner Organizations satisfied with the training provided by the Federal Law Enforcement Training Center.

Description of Measure: This performance measure reflects the satisfaction of Partner Organizations with the training provided by the Federal Law Enforcement Training Center (FLETC) to their officers/agents to perform their law enforcement duties such as the prevention of the introduction of high-consequence weapons of mass destruction, terrorism and other criminal activity against the U.S. and our citizens. The results of the measure provide on-going opportunities for improvements that are incorporated into FLETC training curricula, processes and procedures.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	Baseline	92%	87%	89%	90%	91%
Actual:	91%	87.8%	87.8%	89%		

E. Digest Tables by Future Year Homeland Security Program (FYHSP)

Digest of FY 2011 Budget Estimates by Activity and FYHSP Program (dollars in thousands)												
FYHSP Program	FY2009 Revised Enacted		FY2010 Enacted		FY2011 Request		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Other Changes	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
1. Law Enforcement Training	1,139	331,696	1,096	281,503	1,096	276,956	0	(4,547)	0	-	0	(4,547)
Salaries & Expenses	1,139	245,240	1,096	238,047	1,096	238,500	0	453	0	-	0	453
Construction & Improvement	0	86,456	0	43,456	0	38,456	0	(5,000)	0	-	0	(5,000)
BUDGET ACTIVITY												
2. Accreditation	7	1,290	7	1,309	7	1,419	0	110	0	-	0	110
Salaries & Expenses	7	1,290	7	1,309	7	1,419	0	110	0	-	0	110
Total budget authority	1,146	332,986	1,103	282,812	1,103	278,375	0	(4,437)	0	-	0	(4,437)

The above digest lists total appropriations for all FLETC FYHSP programs.

Department of Homeland Security

Science and Technology Directorate



Fiscal Year 2011
Congressional Submission

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i. Summary of FY 2011 Budget Estimates by Appropriation

**Department of Homeland Security
Science and Technology Directorate**
Summary of FY 2011 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)

Budget Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Management and Administration	238	\$131,679	278	\$143,200	317	\$151,959	39	\$8,759	(12)	(\$2,133)	51	\$10,892
Research, Development, Acquisitions, and Operations	119	694,530	130	863,271	130	866,305	---	3,034	---	(70,674)	---	73,708
Subtotal, Enacted Appropriations and Budget Estimates	357	\$826,209	408	\$1,006,471	447	\$1,018,264	39	\$11,793	(12)	(\$72,807)	51	\$84,600
Less Prior Year Recission, P.L. 111-83		---		(\$6,944)								
Net, Enacted Appropriations and Budget Estimates	357	\$826,209	408	\$999,527	447	\$1,018,264	39	\$11,793	(12)	(\$72,807)	51	\$84,600

ii. Homeland and Non Homeland Allocation by PPA

**Department of Homeland Security
Science and Technology Directorate**
Homeland and Non-Homeland Allocation by Program/Project Activity
(Dollars in Thousands)

Budget Activity	2009 Enacted						2010 Enacted						2011 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Management and Administration	---	\$0	257	\$132,100	257	\$132,100	---	\$0	278	\$143,200	278	\$143,200	---	\$0	317	\$151,959	317	\$151,959
Other Salaries and Expenses	---	---	257	132,100	257	132,100	---	---	278	143,200	278	143,200	---	---	317	151,959	317	151,959
Research, Development, Acquisitions, and Operations	124	800,487	---	---	124	800,487	130	856,327	---	---	130	856,327	130	866,305	---	---	130	866,305
Borders and Maritime	---	33,050	---	---	---	33,050	---	44,181	---	---	---	44,181	---	39,936	---	---	---	39,936
Chemical and Biological	---	200,408	---	---	---	200,408	---	206,800	---	---	---	206,800	---	200,863	---	---	---	200,863
Command, Control and Interoperability	---	74,890	---	---	---	74,890	---	81,764	---	---	---	81,764	---	74,832	---	---	---	74,832
Explosives*	---	96,149	---	---	---	96,149	---	120,809	---	---	---	120,809	---	120,809	---	---	---	120,809
Human Factors	---	12,460	---	---	---	12,460	---	16,087	---	---	---	16,087	---	13,435	---	---	---	13,435
Infrastructure and Geophysical	---	75,816	---	---	---	75,816	---	74,958	---	---	---	74,958	---	36,122	---	---	---	36,122
Radiological and Nuclear	---	---	---	---	---	---	---	---	---	---	---	---	---	109,000	---	---	---	109,000
Innovation	---	33,000	---	---	---	33,000	---	44,000	---	---	---	44,000	---	44,000	---	---	---	44,000
Laboratory Facilities	124	161,940	---	---	124	161,940	130	150,188	---	---	130	150,188	130	122,000	---	---	130	122,000
Test and Evaluation, Standards	---	28,674	---	---	---	28,674	---	29,000	---	---	---	29,000	---	23,174	---	---	---	23,174
Transition	---	28,830	---	---	---	28,830	---	46,134	---	---	---	46,134	---	42,134	---	---	---	42,134
University Programs	---	50,270	---	---	---	50,270	---	49,350	---	---	---	49,350	---	40,000	---	---	---	40,000
Homeland Security Institute	---	5,000	---	---	---	5,000	---	---	---	---	---	---	---	---	---	---	---	---
Less Prior Year Recission, P.L. 111-83	---	---	---	---	---	---	---	(6,944)	---	---	---	(6,944)	---	---	---	---	---	---
Total Direct Appropriations and Budget Estimates	124	\$800,487	257	\$132,100	381	\$932,587	130	\$856,327	278	\$143,200	408	\$999,527	130	\$866,305	317	\$151,959	447	\$1,018,264

iii. Status of Congressionally Requested Studies, Reports, and Evaluation

**Department of Homeland Security
Science and Technology Directorate**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
FY 2008	Dec. 2009	S. Rept. 110-84, to accompany the Department of Homeland Security Appropriations Bill, 2008, (S. 1644)	C-MANPADS -- The Committee was disappointed to learn that additional funding provided in fiscal year 2007 for a comprehensive passenger aircraft suitability assessment resulted in a decision by the administration to push back its report and recommendation on deployment of these systems until fiscal year 2010. While the additional resources allowed a greater number of aircraft to be assessed, the major concerns about these systems such as effectiveness and reliability should soon be well characterized. The Committee directs the Department to report on the first portion of Phase III testing by the end of fiscal year 2008 and provide a recommendation on whether these systems are suitable for deployment or not.	DHS will submit in February.
FY 2009 and FY 2010	Report due with FY 2011 Budget Submission	Conference Report (111-298), to accompany the Department of Homeland Security Appropriations Act, FY 2010 and H.R. 111-157 .	Unexpended Obligations (V&V) -- Based on the Directorate’s ongoing validation and verification reviews, S&T shall also submit with its fiscal year 2011 budget request and each subsequent fiscal year a report on the amounts deobligated from projects in the prior fiscal year (fiscal year 2009) and what projects those funds were subsequently obligated to. [H.R. 111-157: Furthermore, the Committee is pleased with the efforts that S&T has made to recover and realign funds that have lain dormant due to expired programs, or lack of expenditure. S&T is directed to continue briefing the Committee on the results of its quarterly validation and verification reviews, report the amount available to de-obligate, and identify how S&T plans to use these funds.]	DHS will submit in February.
FY 2010	3/5/2010	S. Rept. 111-31, to accompany the Department of Homeland Security Appropriations Bill, 2010	TSL Five-Year Master Facility Plan -- Further, \$5,000,000 is included, as requested, for infrastructure upgrades at the Transportation Security Laboratory [TSL]. To ensure that the Committee has the full long-term plan for modernizing the laboratory, S&T shall provide a 5-year master facility plan for improvements at the TSL to the Committee by March 5, 2010.	DHS will submit in March.
FY 2010	60 days following enactment (Dec. 20)	Conference Report (111-298), to accompany the Department of Homeland Security Appropriations Act, 2010	First Responder IPT Expenditure Plan -- The conference agreement provides \$46,134,000 for Transition as proposed by the House instead of \$45,134,000 as proposed by the Senate. Within the funds provided, \$10,000,000 is provided for first responder technologies as requested; \$2,000,000 is for the Naval Postgraduate School to design, develop and field test first responder technologies outside of the integrated product team process as requested; and \$1,000,000 is to continue a manufacturing pilot program to identify and transition advanced technologies and manufacturing processes in the homeland security industrial base. S&T shall provide an expenditure plan for the first responder technology program within 60 days after the date of enactment of this Act.	DHS will submit in February.

FY 2010	Within 30 days of enactment (Nov. 27)	Conference Report (111-298), to accompany the Department of Homeland Security Appropriations Act, FY 2010	Implementing NAPA Recommendations -- As discussed in the Senate report, S&T shall report within 30 days after the date of enactment of this Act on its plans and timelines for full implementation of the National Academy of Public Administration study recommendations related to strategic planning. [S. Rept. 111-31, At the direction of the Committee, the National Academy of Public Administration [NAPA] undertook an independent review of research and development spending on homeland security within the Federal Government. As a result, NAPA found that S&T's efforts could be improved with the development of an internal strategic plan to focus efforts and measure progress of research projects. In addition, NAPA recommends a more coordinated approach to developing the Federal homeland security research strategic plan mandated by section 302 of Public Law 107-296. S&T is directed to report to the Committee within 30 days of the date of enactment of this act on its plans and timelines for full implementation of the NAPA recommendations in this area.]	DHS will submit in February.
FY 2010	Report due with FY 2011 Budget Submission	Conference Report (111-298), to accompany the Department of Homeland Security Appropriations Act, FY 2010	R&D Results -- As part of the fiscal year 2011 budget request and in each subsequent fiscal year, S&T shall report on the results of its research and development efforts in the prior year (fiscal year 2009), including all technologies, technology improvements, or capabilities delivered to front line users, and the role the Integrated Product Teams played in the development.	DHS will submit in February.
FY 2010	Obligation of funds prohibited until assessment complete	Conference Report (111-298), to accompany the Department of Homeland Security Appropriations Act, 2010	NBAF Risk Assessment -- Due to concerns raised by GAO about DHS's original assessment of the risk related to foot-and-mouth disease research on the U.S. mainland, a general provision is included prohibiting the obligation of these funds for NBAF construction until the Secretary undertakes a bio-safety and bio-security mitigation risk assessment using plume and epidemiologic impact modeling to determine the requirements for the safe operation of NBAF in Manhattan, Kansas. Once DHS completes the risk assessment, the National Academy of Sciences (NAS) shall provide an independent evaluation of the DHS study within four months to ensure that risk has been adequately identified and mitigated in planning for NBAF. Up to \$2,000,000 of the amount provided may be used for the NAS evaluation.	Risk assessment is underway.
FY 2010	None specified	Conference Report (111-298), to accompany the Department of Homeland Security Appropriations Act, 2010	NBAF (foot and mouth disease R&D permits and emergency response plan) -- In addition, the conferees continue bill language, proposed by the Senate, that requires the Secretary of Homeland Security, in coordination with the Secretary of Agriculture, to report to the Committees on the procedures used to issue a permit for foot-and-mouth disease live virus research and an emergency response plan in the event of an accidental release of a hazardous pathogen originating from NBAF.	DHS will submit this plan following the completion of necessary assessments.

Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)

Budget Activity				
	Last Year of Authorization	Authorized Level	in Last Year of Authorization	FY 2011 Request
	Fiscal Year	Amount	Amount	Amount
Management and Administration	N/A	N/A	N/A	\$151,959
Research, Development, Acquisition, and Operation	N/A	N/A	N/A	\$866,305
Borders and Maritime	N/A	N/A	N/A	\$39,936
Chemical and Biological	N/A	N/A	N/A	\$200,863
Command, Control and Interoperability	N/A	N/A	N/A	\$74,832
Explosives	N/A	N/A	N/A	\$120,809
Human Factors	N/A	N/A	N/A	\$13,435
Infrastructure and Geophysical	N/A	N/A	N/A	\$36,122
Radiological and Nuclear	N/A	N/A	N/A	\$109,000
Innovation	N/A	N/A	N/A	\$44,000
Laboratory Facilities	N/A	N/A	N/A	\$122,000
Test and Evaluation, Standards	N/A	N/A	N/A	\$23,174
Transition	N/A	N/A	N/A	\$42,134
University Programs	N/A	N/A	N/A	\$40,000
Total Direct Authorization/Appropriation	N/A	N/A	N/A	\$1,018,264

Department of Homeland Security
Science & Technology
Management and Administration:



Fiscal Year 2011
Congressional Budget Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Management and Administration:

I. Appropriation Overview

A – Mission Statement for Management and Administration:

Fund the effective and efficient management and leadership of the S&T Directorate activities to deliver advanced technology solutions to DHS components and first responders.

B – Budget Activities:

The Management and Administration (M&A) appropriation provides for salaries and benefits related to 317 FTE at the S&T Directorate headquarters. The 317 FTE provide executive direction to the S&T Directorate for program management, program execution oversight, program analysis, policy analysis, planning, financial management, guidance formulation, and operations and maintenance support for all S&T Directorate programs.

The M&A appropriation funds business operations and the S&T Directorate's share of the DHS Working Capital Fund. The Business Operations functions include paying for rent, office supplies, utilities, and other operational functions associated with the S&T Directorate's Washington, D.C. headquarters. This account pays for the training and travel associated with senior management of the S&T Directorate and contractor staff who support the execution of headquarters functions, such as financial management, facility planning, maintenance, and other administrative functions. M&A also funds the administration of the S&T Directorate's regulatory and treaty compliance activities, the management of the Small Business Innovation Research (SBIR) program, and the financial and programmatic databases. The M&A appropriation does not fund the contractor support or travel associated with the direct execution of Research, Development, Test, and Evaluation (RDT&E) programs across the S&T Directorate.

C – Budget Request Summary:

The S&T Directorate requests 317 FTE and \$151.959 million for M&A in FY 2011, an increase of \$8.759 million from FY 2010. The total adjustments-to-base of \$10.892 million include funding for a 1.4 percent pay raise, \$5.040 million for data center consolidation and, the transfer of \$3.0 million in M&A funds and \$1.0 million in R&D funds from the Domestic Nuclear Detection Office to cover the salaries and benefits of 12 FTE and related Working Capital Fund expenses. FY 2011 includes a reduction of staff by 12 FTE to fund \$2.133 million based on realistic FY 2010 to FY 2011 inflation assumptions.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Science & Technology
Management and Administration:**
Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actual		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	238	131,679	278	143,200	317	151,959	39	8,759	(12)	(2,133)	51	10,892
Subtotal, Enacted Appropriations and Budget Estimates	238	131,679	278	143,200	317	151,959	39	8,759	(12)	(2,133)	51	10,892
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	238	131,679	278	143,200	317	151,959	39	8,759	(12)	(2,133)	51	10,892

III. Current Services Program Description by PPA

**Department of Homeland Security
Science & Technology
Management and Administration:
Salaries and Expenses
Program Performance Justification**
(Dollars in Thousands)

PPA: Salaries and Benefits

	Perm. Pos	FTE	Amount
2009 Actual	267	238	131,679
2010 Enacted	282	278	143,200
2011 Adjustments-to-Base	47	51	10,892
2011 Current Services	329	329	154,092
2011 Program Change	(12)	(12)	(2,133)
2011 Total Request	317	317	151,959
Total Change 2010 to 2011	35	39	8,759

The S&T Directorate requests \$151.959 million for this activity. This is an increase of \$8.759 million over FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

The M&A appropriation funds salaries and benefits related to 317 FTE at the S&T Directorate headquarters. The 317 FTE provide executive direction to the S&T Directorate for policy analysis, planning, financial management, and guidance formulation. These FTE also conduct program management, program execution oversight, program analysis, as well as operations and maintenance support for all S&T Directorate programs. The request includes a staffing increase of 39 FTE; this is a combination of a 12 FTE reduction to offset costs for inflation, 4 FTE for the annualization of Acquisition Review Board positions and an increase of 35 FTE to the authorized FTE level from converting M&A funded contractors to Federal employees. In addition, DHS is transferring \$4.0 million and 12 FTE from the Domestic Nuclear Detection Office to the S&T M&A appropriation to cover the salaries and benefits of the 12 FTE and related Working Capital Fund expenses. The increase in FTE will not require additional funds and will be offset within the appropriation by replacing M&A-funded contract staff with M&A-funded Federal employees. This also reduces the S&T Directorate's reliance on contractor staff.

The M&A appropriation funds all of the corporate-level functions in the S&T Directorate that allow the technical divisions to manage the Research, Development, Test, and Evaluation (RDT&E) programs. Those functions include the Strategy, Policy, and Budget Division, including the Chief Financial Officer; the Business Operations Division, which manages the facilities, personnel and the information technology infrastructure; the Operations Analysis Division, which provides science-based risk analyses; and the Corporate Communications Division, which coordinates internal and external information dissemination. The DHS Working Capital Fund provides those shared services that the components rely on to execute their missions, such as contracting officers and the DHS-wide information technology infrastructure.

Division Support

The S&T Directorate has seven divisions and four key offices, each of which has an important role in implementing RDT&E activities. The M&A appropriation funds the federal salaries and business operations of these divisions.

Borders and Maritime Security Division – develops and transitions tools and technologies that improve the security of our Nation’s borders and waterways without impeding the flow of commerce and travelers.

Chemical and Biological Division – works to increase the Nation’s preparedness against chemical and biological threats through improved threat awareness, advanced surveillance and detection, and protective countermeasures.

Command, Control and Interoperability Division – focuses on operable and interoperable communications for emergency responders, security, and integrity of the Internet, and development of automated capabilities to recognize potential threats.

Explosives Division – develops the technical capabilities to detect, interdict, and lessen the impacts of non-nuclear explosives used in terrorist attacks against mass transit, civil aviation, and critical infrastructure.

Human Factors Division/Behavioral Sciences Division – applies the social and behavioral sciences to improve detection, analysis, and understanding of the threats posed by individuals, groups, and radical movements. It supports the preparedness, response, and recovery of communities impacted by catastrophic events and it advances homeland security by integrating human factors into homeland security technologies.

Infrastructure and Geophysical Division – develops capabilities to increase the Nation’s preparedness for and response to natural and man-made threats through superior situational awareness, emergency response capabilities, and critical infrastructure protection.

Radiological and Nuclear (rad/nuc) Division – identifies, explores, develops, and demonstrates scientific and technological approaches that address gaps in nuclear

detection, response and recovery, such as: dramatically improving the performance of nuclear detection components and systems; significantly reducing the operational burden of the rad/nuc detection mission; or responding to and recovering from large-scale rad/nuc attacks.

Crosscutting Offices:

Innovation – focuses on high-risk/high-reward, homeland security research, and development (R&D) that could lead to technology breakthroughs that significantly enhance DHS operations. The Director of Innovation oversees the Homeland Security Advanced Research Project Agency (HSARPA). The *Homeland Security Act of 2002* directs HSARPA to “support basic and applied homeland security research to promote revolutionary changes in technologies that would promote homeland security; advance the development, testing and evaluation, and deployment of critical homeland security technologies; and accelerate the prototyping and deployment of technologies that would address homeland security vulnerabilities”. The agency’s efforts are complementary to the S&T Directorate’s other programs and projects, pushing scientific limits to address gaps in areas where current technologies and R&D are inadequate or non-existent.

Test & Evaluation and Standards – provides policy and oversight of the Department’s test and evaluation program and technical support and coordination to assist the Nation’s emergency responders in the acquisition of equipment, procedures, and mitigation processes that are safe, reliable, and effective.

Transition – focuses on delivering near-term products and technology enhancements by working with the Department’s components, industry, and other agencies to expedite the technology transition process.

Research – Laboratory Facilities – Office of National Laboratories (ONL) executes Laboratory Facilities programs and provides the Nation with a coordinated, enduring core of productive science, technology, and engineering laboratories, organizations, and institutions, which can provide the knowledge and technology required to secure our homeland.

Research – University Programs – engages the academic community to conduct research and provides education and training programs to support DHS priorities and enhance homeland security capabilities.

The seven technical Divisions and additional offices are linked to three research and development investment portfolio directors in a matrix-managed structure. The three portfolio directors – Director of Research, Director of Transition, and Director of Innovation – provide crosscutting coordination of the investment strategy within the technical Divisions. The matrix structure allows the S&T Directorate to provide more comprehensive and integrated technology solutions to its customers by appropriately bringing all disciplines together in developing leading-edge research solutions.

Strategy, Policy and Budget Division

The Strategy, Policy, and Budget Division provides the S&T Directorate with high-quality, efficient, and cost-effective financial management services through four branches. The Program Analysis and Evaluation (PA&E) Branch develops long-term plans for resource allocation, execution plans, Congressional Justifications, and management of financial resources within the S&T Directorate. The Strategy, Planning, and Integration (SPI) Branch develops and implements internal and external performance metrics for S&T Directorate programs, as well as risk assessment methodologies to help inform programming decisions. The Acquisition Branch develops the S&T Directorate's acquisition strategy, and manages the travel and purchase card programs. The Financial Operations Branch is dedicated to sound fiscal stewardship of the S&T Directorate's appropriations and reimbursable funding; timely and accurate budget execution, financial management and financial reporting; and monitoring programs and activities to provide assurance about the adequacy of internal controls within the S&T Directorate.

Business Operations Division

The Business Operations Division provides critical infrastructure support to the S&T Directorate and is composed of eight components: Facilities, Human Capital Office (HCO), Office of the Chief Information Officer (OCIO), Executive Secretariat, Office of the Chief Administrative Officer (CAO), Office of Administration and Audits, Central Security Office (CSO), and Readiness and Operational Coordination (ROC). In compliance with Presidential Directives, Federal Regulations and Department guidance, the Business Operations Division provides support and continuous process improvement through problem identification and solution, sound policy and procedure development, and high-quality service.

Operations Analysis Division

The Operations Analysis Division provides the S&T Directorate with a wide range of scientific and technical tools to inform planning and management activities. The division provides information to decision-makers and program managers resulting from research, studies, operational analyses, risk analyses, analytic and computational models, simulations, war-games, and experimentation events that it oversees. The division uses these technical and analytical support activities to establish baseline operational capabilities and goals, integrate policy and program planning, and inform management decisions and the development of strategic objectives. The Operations Analysis Division oversees the activities of the Homeland Security Studies and Analysis Institute (HSSAI), Homeland Security Systems Engineering and Development Institute (HSSEDI) and other S&T Directorate-sponsored Federally Funded Research and Development Centers (FFRDCs), and the Homeland Security Science and Technology Advisory Committee (HSSTAC).

Corporate Communications Division

The Corporate Communications Division communicates the objectives and status of homeland security technology programs, disseminates information regarding opportunities for private-sector entities (corporate and academic), and ensures that the media understands and accurately represents DHS technologies and programs. The

Corporate Communications Division holds conferences and manages the S&T Directorate's presence at other information-sharing events to improve contact among technology developers, vendors, and acquisition personnel. They also promote the participation of colleges, universities, private research institutes, and companies (and consortia thereof) in the research process by disseminating information regarding research conducted or sponsored by the Department, and provide public-communication support to the S&T Directorate-sponsored FFRDCs.

Working Capital Fund

Funds provided within the M&A appropriation are also used to acquire services through the DHS Working Capital Fund, which includes: IT services, human resources, procurement operations, and financial systems. The Working Capital Fund also provides consolidated subscriptions, government-wide mandated services, and DHS crosscutting activities.

IV. Program Justification Changes

**Department of Homeland Security
Science & Technology
Management and Administration:
Salaries and Expenses
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Reduction in Staffing Levels (Through Attrition)
PPA: Salaries and Benefits
Program Decrease: Positions -12.0, FTE -12.0, Dollars \$-2,133.0

Funding Profile

	FY 2009 Actual			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							329	329	154,092
Program Increase							(12)	(12)	(2,133)
Total Request	267	238	131,679	282	278	143,200	317	317	151,959

Staffing Reduction Description

A 12 FTE staffing reduction to offset \$2,133,000 in costs from inflation and increasing Working Capital Fund Expenses.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

For salaries and expenses of the Office of the Under Secretary for Science and Technology, and for management and administration of programs and activities as authorized by title III of the Homeland Security Act of 2002 (6 U.S.C. 181 et seq.), [143,200,000] **\$151,959,000**: *Provided*, That not to exceed \$10,000 shall be for official reception and representation expenses. (Department of Homeland Security Appropriations Act, 20[10] **II**)

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Science & Technology
Management and Administration:
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actual	267	238	131,679
FY 2010 Enacted	282	278	143,200
Transfers	-	-	-
Increases/(Decreases)	-	-	-
Transfer of M&A funding from DNDO for Transformational R&D (TAR)	12	12	3,000
Transfer of R&D funding from DNDO due to R&D Transfer	-	-	1,000
Total, Transfers	12	12	4,000
Adjustments-to-Base	-	-	-
Increases	-	-	-
Annualization of FY 2010 Pay Raise	-	-	275
FY 2011 Pay Increase	-	-	577
Data Center Consolidation	-	-	5,040
Annualization of Acquisition Review Board Support	-	4	1,000
DHS Balanced Workforce Strategy to convert contract positions to federal positions	35	35	-
Total Increases	35	39	6,892
Decreases	-	-	-
Total, Adjustments-to-Base	35	39	6,892
FY 2011 Current Services	329	329	154,092
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Reduction in Staffing Levels (Through Attrition)	(12)	(12)	(2,133)
Total, Program Changes	(12)	(12)	(2,133)
FY 2011 Request	317	317	151,959
FY 2010 to FY 2011 Total Change	35	39	8,759

C. Summary of Requirements

**Department of Homeland Security
Science & Technology
Management and Administration:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actual	267	238	131,679
FY 2010 Enacted	282	278	143,200
Transfers	-	-	-
Total, Transfers	12	12	4,000
Adjustments-to-Base	-	-	-
Increases	35	39	6,892
Total, Adjustments-to-Base	35	39	6,892
FY 2011 Current Services	329	329	154,092
Program Changes	-	-	-
Total, Program Changes	(12)	(12)	(2,133)
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	317	317	151,959
Total Change 2010 to 2011	35	39	8,759

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Salaries and Expenses	282	278	143,200	317	317	151,959	35	39	8,759	(12)	(12)	(2,133)	47	51	10,892
Subtotal, Estimates Program Project Activity	282	278	143,200	317	317	151,959	35	39	8,759	(12)	(12)	(2,133)	47	51	10,892
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	282	278	143,200	317	317	151,959	35	39	8,759	(12)	(12)	(2,133)	47	51	10,892

D. Summary of Reimbursable Resources

Department of Homeland Security Science & Technology Management and Administration: Summary of Reimbursable Resources (Dollars in Thousands)

	FY 2009 Estimate			FY 2010 Revised Estimate			FY 2011 Estimate			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Department of Agriculture	-	-	676	-	-	198	-	-	189	-	-	(9)
Department of Defense	-	-	427	-	-	2,150	-	-	2,100	-	-	(50)
Department of Education	-	-	-	-	-	600	-	-	600	-	-	-
Department of Health and Human Services	-	-	625	-	-	5,000	-	-	5,000	-	-	-
Citizenship & Immigration Service	-	-	950	-	-	2,000	-	-	2,000	-	-	-
Office of Counter Narcotics Enforcement	-	-	-	-	-	2,000	-	-	2,000	-	-	-
Customs and Border Protection	-	-	860	-	-	15,000	-	-	20,000	-	-	5,000
Domestic Nuclear Detection Office	-	-	-	-	-	2,000	-	-	2,000	-	-	-
Federal Emergency Management Agency	-	-	13,172	-	-	10,000	-	-	15,000	-	-	5,000
Federal Law Enforcement Training Center	-	-	-	-	-	500	-	-	500	-	-	-
Immigration and Customs Enforcement	-	-	1,400	-	-	10,000	-	-	10,000	-	-	-
National Protection and Programs Directorate	-	-	7,120	-	-	30,000	-	-	30,000	-	-	-
Office of Health Affairs	-	-	2,834	-	-	5,000	-	-	5,000	-	-	-
Office of Intelligence and Analysis	-	-	300	-	-	10,000	-	-	10,000	-	-	-
Management Directorate	-	-	5,131	-	-	33,500	-	-	33,200	-	-	(300)
Office of Operations and Coordination and Planning	-	-	2,834	-	-	5,000	-	-	5,000	-	-	-
Office of Policy	-	-	1,800	-	-	5,000	-	-	5,000	-	-	-
Transportation Security Administration	-	-	1,909	-	-	16,000	-	-	18,000	-	-	2,000
US Coast Guard	-	-	1,000	-	-	15,000	-	-	20,000	-	-	5,000
United States Secret Service	-	-	-	-	-	1,000	-	-	1,000	-	-	-
Department of Justice	-	-	28	-	-	500	-	-	500	-	-	-
VARIOUS	-	-	499	-	-	-	-	-	-	-	-	-
Total Budgetary Resources	-	-	41,565	-	-	170,448	-	-	187,089	-	-	16,641

Obligations by Program/Project Activity	FY 2009 Estimate			FY 2010 Revised Estimate			FY 2011 Estimate			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Command, Control and Interoperability	-	-	3,300	-	-	3,500	-	-	3,200	-	-	(300)
Director of Research	-	-	117	-	-	-	-	-	-	-	-	-
Explosives	-	-	1,070	-	-	-	-	-	-	-	-	-
Homeland Security Institute	-	-	32,639	-	-	159,600	-	-	179,600	-	-	20,000
Laboratory Facilities	-	-	2,276	-	-	7,348	-	-	4,289	-	-	(3,059)
Salaries and Benefits	-	-	528	-	-	-	-	-	-	-	-	-
University Programs	-	-	1,635	-	-	-	-	-	-	-	-	-
Total Obligations	-	-	41,565	-	-	170,448	-	-	187,089	-	-	16,641

E. Summary of Requirements by Object Class

**Department of Homeland Security
Science & Technology
Management and Administration:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	29,120	37,883	44,881	6,998
11.3 Other than full-time permanent	2,830	2,159	2,189	30
11.5 Other personnel compensation	934	1,000	1,250	250
12.1 Benefits	7,751	10,228	12,042	1,814
21.0 Travel	663	1,000	1,000	-
23.1 GSA rent	5,742	-	-	-
23.2 Other rent	-	824	825	1
23.3 Communications, utilities, and misc. charges	-	195	195	-
24.0 Printing	120	120	120	-
25.1 Advisory and assistance services	40,828	39,435	30,365	(9,070)
25.2 Other services	1,633	1,000	1,000	-
25.3 Purchases from Gov't accts.	35,778	43,380	52,116	8,736
25.7 Operation and maintenance of equipment	548	-	-	-
26.0 Supplies and materials	719	815	815	-
31.0 Equipment	5,013	5,161	5,161	-
Total, Object Class	131,679	143,200	151,959	8,759
Total, Direct Obligations	131,679	143,200	151,959	8,759

F. Permanent Positions by Grade

Department of Homeland Security Science & Technology Management and Administration: Permanent Positions by Grade

Grades and Salary Ranges	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	12	12	12	-
Total, EX	2	2	2	-
GS-15	148	152	164	12
GS-14	37	39	46	7
GS-13	15	15	16	1
GS-12	11	14	14	-
GS-11	4	5	12	7
GS-9	3	3	3	-
GS-8	2	3	3	-
GS-4	-	-	1	1
GS-3	3	-	3	3
GS-2	-	-	4	4
Other Graded Positions	30	37	37	-
Total Permanent Positions	267	282	317	35
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
Full Time Equivalents	238	278	317	39
Headquarters	267	282	317	35
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total, Location	267	282	317	35
Average ES Salary	161,922	171,783	176,937	5,154
Average GS Salary	128,460	136,587	142,187	5,600
Average Grade	15	15	15	-

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Science & Technology
Management and Administration:
Salaries and Expenses
Funding Schedule
(Dollars in Thousands)**

PPA: Salaries and Benefits	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
Object Classes:				
11.1 Total FTE & personnel compensation	29,120	37,883	44,881	6,998
11.3 Other than full-time permanent	2,830	2,159	2,189	30
11.5 Other personnel compensation	934	1,000	1,250	250
12.1 Benefits	7,751	10,228	12,042	1,814
21.0 Travel	663	1,000	1,000	-
23.1 GSA rent	5,742	-	-	-
23.2 Other rent	-	824	825	1
23.3 Communications, utilities, and misc. charges	-	195	195	-
24.0 Printing	120	120	120	-
25.1 Advisory and assistance services	40,828	39,435	30,365	(9,070)
25.2 Other services	1,633	1,000	1,000	-
25.3 Purchases from Gov't accts.	35,778	43,380	52,116	8,736
25.7 Operation and maintenance of equipment	548	-	-	-
26.0 Supplies and materials	719	815	815	-
31.0 Equipment	5,013	5,161	5,161	-
Total, Salaries and Benefits	131,679	143,200	151,959	8,759
Full Time Equivalents	238	278	317	39

PPA Mission Statement

The Management and Administration (M&A) appropriation provides for salaries and expenses related to 317 full time equivalent (FTE) personnel in Washington, D.C. This appropriation also provides for the operation of the S&T Directorate's Washington, D.C., headquarters including business operations, contributions to the DHS Working Capital Fund, and other administrative costs associated with the management of the S&T Directorate and its resources.

Summary Justification and Explanation of Changes

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	29,120	37,883	44,881	6,998

Salaries and Benefits includes costs for 317 FTEs. The FY 2011 request includes an increase of \$577,000 for the proposed January 2011 1.4% increase in personnel compensation, \$275,000 for annualization of the prior-year pay raise, a reduction of \$2,133,000 and 12 FTE to cover the required unfunded inflation requirements. Salaries and Benefits includes a transfer of \$2,250,000 from DNDO, an annualization of \$1,000,000 for 8 acquisition review board FTE, and a realignment of \$7,124,000 from the advisory and assistance object class to cover the federal salaries of 35 contractor conversions and existing Federal staff.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.3 Other than full-time permanent	2,830	2,159	2,189	30

See description in 11.1.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.5 Other personnel compensation	934	1,000	1,250	250

See description in 11.1

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	7,751	10,228	12,042	1,814

See description in 11.1

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	663	1,000	1,000	-

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	5,742	-	-	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Starting in FY 2010 S&T Rent is being paid through the Working Capital Fund.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.2 Rental payments to others	-	824	825	1

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	-	195	195	-

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	120	120	120	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	40,828	39,435	30,365	(9,070)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. A decrease of \$7,124,000 is transferred to Salaries, travel and other services to cover costs of converting 35 contractor staff to Federal employees and a realignment of \$1,946,000 is included to cover increasing Working Capital Fund costs.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	1,633	1,000	1,000	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	35,778	43,380	52,116	8,736

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Included is a transfer of \$1,750,000 from DNDO for WCF expenses and a realignment of \$1,946,000 from advisory and assistance services to cover increasing

Working Capital Fund expenses. An increase of \$5,040,000 for the Data Center Consolidation is included.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	548	-	-	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	719	815	815	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	5,013	5,161	5,161	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in Full Time Equivalent

Department of Homeland Security Science & Technology Management and Administration: Changes in Full Time Equivalent

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	323	238	278
INCREASES	-	-	-
Hiring staff to reach to FY 2008 authorized level	39	-	-
Increases	39	-	-
Hiring staff to reach FY 2009 authorized level.	-	19	-
Convert Contact Positions to Federal Positions	-	17	-
Annualization of Acquisition Review Board Support	-	4	4
Transfer of M&A funding from DNDO	-	-	12
Convert contract positions to Federal positions	-	-	35
Subtotal, Increases	39	36	51
DECREASES	-	-	-
Transfer to Research and Development - Laboratory	(124)	-	-
Decreases	(124)	-	-
Reduction in Staffing Levels (Through Attrition)	-	-	(12)
Subtotal, Decreases	(124)	-	(12)
Year End Actual / Estimated FTEs:	238	278	317
Net Change from prior year base to Budget Year Estimate:	(85)	40	39

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Department of Homeland Security

Science & Technology

Management and Administration:

FY 2011 Schedule of Working Capital Fund by Program/Project Activity

(Dollars in Thousands)

Program/Project/Activity	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Salaries and Benefits	33,878	42,180	46,947	4,767
Total Working Capital Fund	33,878	42,180	46,947	4,767

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations



Fiscal Year 2011
Congressional Budget Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Research, Development, Acquisitions, and Operations

I. Appropriation Overview

A – Mission Statement for Research, Development, Acquisitions, and Operations

The Science and Technology (S&T) Directorate advises the Secretary on research and development (R&D) efforts to support the Department's mission, and conducts basic and applied research, development, testing, and evaluation (RDT&E) activities relevant to the Department through both intramural and extramural programs.

In fulfillment of the enabling and follow-on legislation, Secretary Napolitano stated that the urgent and overriding mission of the Department of Homeland Security (DHS) is to secure the homeland, which means protecting our Nation's borders by finding and eliminating the roots of terrorism and stopping those who intend to hurt us; wisely enforcing the rule of law at our borders; protecting our national cyber infrastructure; and preparing for and responding to natural and man-caused disasters with speed, skill, compassion, and effectiveness. She stated that DHS should build on its science and technology portfolio for the following reasons:

- Better science helps us to understand emerging threats and teaches us how to identify, counter, and mitigate them;
- Better technology can expand our capabilities and free our agents to spend their time where it is most valuable, while at the same time protecting the interests of private citizens by minimizing law enforcement's impact on lawful activities; and
- Technology can also aid us in consequence management, so that we are better prepared to respond to any type of disaster.

This budget requests funding needed to provide the technologies to address the Administration's threat prioritization:

- High-Consequence Weapons of Mass Destruction (WMD);
- Al Qaeda and Related Global Terrorist Movements;
- Mass Attacks, Intrusions, and Disruptions to Information and Communications Infrastructure;
- Pandemic, Infectious Disease, and Other Natural Disasters;
- Illegal Trafficking and Related Transnational Crime; and
- Smaller-Scale Terrorism and Violent Extremism.

The S&T Directorate's budget request aligns with Secretary Napolitano's priorities:

- Counterterrorism and Domestic Security Management;
- Securing our Borders;
- Smart and Tough Enforcement of Immigration Laws;
- Preparing for, Responding to, and Recovering From Disasters.

Mission Statement

The S&T Directorate will improve homeland security by providing our customers, the operating components of DHS, and State, local, tribal, and territorial emergency responders and officials with state-of-the-art technology that helps them to accomplish their missions.

The S&T Directorate directs, funds, and conducts RDT&E, and enables the procurement of technology and systems to prevent, protect against, and respond to terrorist threats and natural disasters. The S&T Directorate collaborates and coordinates with Federal, State, and local government and private sector entities to conduct its activities. It establishes an efficient system to transfer homeland security developments and technologies to the operational elements of the Department to enhance their ability to execute all missions, now and in the future, and to meet the high priority homeland security RDT&E needs of the Nation.

The S&T Directorate leads the homeland security research enterprise outside of DHS by remaining proactively engaged with universities, research institutions, government laboratories, and private industry that conduct R&D in areas important to addressing our customers' homeland security requirements.

Description of Directorate

The S&T Directorate accomplishes its mission through customer-focused and output-oriented RDT&E programs that balance risk, cost, impact, and time to deliver. These RDT&E programs support the needs of the operational components of the Department and address crosscutting areas such as standards and interoperability.

About 50 percent of the S&T Directorate's investment is in transition technologies – lower-risk projects dedicated to addressing a customer-defined capability needs. Approximately six percent of the S&T Directorate's investment is in higher risk innovative prototypical demonstrations, which, if successful, will place leap-ahead technology in the operating components' hands much more quickly than the incremental improvements typical of most acquisition programs. About 20 percent of the S&T Directorate's investment portfolio is in long-term, basic research conducted primarily in universities and laboratories in areas of enduring homeland security relevance that could lead to revolutionary changes in the way we approach homeland security challenges. This balanced portfolio ensures that the Directorate maintains a self-replenishing pipeline of future capabilities and products to transition to customers.

Other components often leverage the S&T Directorate's expertise in program management, technical oversight, testing and evaluation, and systems engineering. These developmental activities are more technologically mature than the typical science and technology program such as testing new border security technologies for Customs and Border Protection (CBP) or leveraging existing advanced R&D to make spiral improvements to off-the-shelf infrastructure protection technologies.

The S&T Directorate's R&D functions consist of seven technical divisions aligned with enduring functional disciplines. This, along with additional offices, allows us to effectively meet the Department's strategic goals.

B – Budget Activities:

Borders and Maritime Security Division – develops and transitions tools and technologies that improve the security of our Nation's borders and waterways without impeding the flow of commerce and travelers.

Chemical and Biological Division – works to increase the Nation's preparedness against chemical and biological threats through improved threat awareness, advanced surveillance and detection, and protective countermeasures.

Command, Control and Interoperability Division – focuses on operable and interoperable communications for emergency responders, security, and integrity of the Internet, and development of automated capabilities to recognize potential threats.

Explosives Division – develops the technical capabilities to detect, interdict, and lessen the impacts of non-nuclear explosives used in terrorist attacks against mass transit, civil aviation, and critical infrastructure.

Human Factors Division – applies the social and behavioral sciences to improve detection, analysis, and understanding of the threats posed by individuals, groups, and radical movements. It supports the preparedness, response, and recovery of communities impacted by catastrophic events and it advances homeland security by integrating human factors into homeland security technologies.

Infrastructure and Geophysical Division – develops capabilities to increase the Nation's preparedness for and response to natural and man-made threats through superior situational awareness, emergency response capabilities, and critical infrastructure protection.

Radiological/Nuclear Division - identifies, explores, develops, and demonstrates scientific and technological approaches that address gaps in nuclear detection, response, and recovery, such as: dramatically improving the performance of nuclear detection components and systems; significantly reducing the operational burden of the rad/nuc detection mission; or responding to and recovering from large-scale rad/nuc attacks.

Crosscutting Offices:

Innovation – focuses on high-risk/high-reward, homeland security R&D that could lead to technology breakthroughs that significantly enhance DHS operations. The Director of Innovation oversees the Homeland Security Advanced Research Project Agency (HSARPA). The *Homeland Security Act of 2002* directs HSARPA to “support basic and

applied homeland security research to promote revolutionary changes in technologies that would promote homeland security; advance the development, testing and evaluation, and deployment of critical homeland security technologies; and accelerate the prototyping and deployment of technologies that would address homeland security vulnerabilities”. The agency’s efforts are complementary to the S&T Directorate’s other programs and projects, pushing scientific limits to address gaps in areas where current technologies and R&D are inadequate or non-existent.

Test & Evaluation and Standards – provides policy and oversight of the Department’s test and evaluation program and technical support and coordination to assist the Nation’s emergency responders in the acquisition of equipment, procedures, and mitigation processes that are safe, reliable, and effective.

Transition – focuses on delivering near-term products and technology enhancements by working with the Department’s components, industry, and other agencies to expedite the technology transition process.

Research – Laboratory Facilities – executes Laboratory Facilities programs and provides the Nation with a coordinated, enduring core of productive science, technology, and engineering laboratories, organizations, and institutions, which can provide the knowledge and technology required to secure our homeland.

Research – University Programs – engages the academic community to conduct research and analyses and provides education and training programs to support DHS priorities and enhance homeland security capabilities.

The seven technical Divisions and additional offices link to three R&D investment portfolio directors in a matrix-managed structure. The three portfolio directors – Director of Research, Director of Transition, and Director of Innovation – provide crosscutting coordination of the investment strategy within the technical Divisions. The matrix structure allows the S&T Directorate to provide more comprehensive and integrated technology solutions to its customers by appropriately bringing all disciplines together in developing leading-edge research solutions.

C – Budget Request Summary:

The S&T Directorate requests 130 positions, 130 FTE, and \$866,305,000 for Research, Development, Acquisitions, and Operations in FY 2011, an increase of \$3,034,000 from the FY 2010 enacted level. This sustains the amount of funding available for the development of additional technologies for specific high-priority, customer-identified needs identified during the S&T Capstone Integrated Product Team (IPT) process.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations**
Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 President's Budget
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actual		Enacted		President's Budget		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Borders and Maritime	-	31,986	-	44,181	-	39,936	-	(4,245)	-	(4,483)	-	238
Chemical and Biological	-	167,109	-	206,800	-	200,863	-	(5,937)	-	(7,188)	-	1,251
Command, Control and Interoperability	-	73,830	-	81,764	-	74,832	-	(6,932)	-	(7,414)	-	482
Explosives	-	82,722	-	120,809	-	120,809	-	0	-	(746)	-	746
Human Factors	-	11,324	-	16,087	-	13,435	-	(2,652)	-	(2,746)	-	94
Infrastructure and Geophysical	-	65,448	-	74,958	-	36,122	-	(38,836)	-	(39,106)	-	270
Innovation	-	31,527	-	44,000	-	44,000	-	-	-	(216)	-	216
Laboratory Facilities	119	146,083	130	150,188	130	122,000	-	(28,188)	-	11,146	-	(39,334)
Radiological and Nuclear	-	-	-	-	-	109,000	-	109,000	-	-	-	109,000
Test and Evaluation Standards	-	27,332	-	29,000	-	23,174	-	(5,826)	-	(5,996)	-	170
Transition	-	13,422	-	46,134	-	42,134	-	(4,000)	-	(4,271)	-	271
University Programs	-	38,821	-	49,350	-	40,000	-	(9,350)	-	(9,654)	-	304
Homeland Security Institute	-	4,925	-	-	-	-	-	-	-	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	119	694,529	130	863,271	130	866,305	-	3,034	-	(70,674)	-	73,708
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Less Prior Year Rescission, P.L. 111-83	-	-	-	(6,944)	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	119	694,529	130	856,327	130	866,305	-	3,034	-	(70,674)	-	73,708

III. Current Services Program Description by PPA

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Borders and Maritime
Program Performance Justification
(Dollars in Thousands)**

PPA: Borders and Maritime

	Perm. Pos	FTE	Amount
2009 Actual	-	-	31,986
2010 Enacted	-	-	44,181
2011 Adjustments-to-Base	-	-	238
2011 Current Services	-	-	44,419
2011 Program Change	-	-	(4,483)
2011 Total President's Budget	-	-	39,936
Total Change 2010 to 2011	-	-	(4,245)

The Science and Technology (S&T) Directorate requests \$39.936 million for Borders and Maritime in FY 2011; of this amount, \$0.998 million supports the Small Business Innovative Research (SBIR) program. The \$4.245 million decrease in FY 2011 ensures that the Department's highest priority capabilities are fully funded to achieve its core missions and reduces technology development for the Borders and Maritime Capstone Integrated Product Teams (IPTs). Despite this reprioritization of resources, the Division will continue to conduct research and development for technologies to support U.S. border security.

CURRENT SERVICES PROGRAM DESCRIPTION

The Borders and Maritime Security Division (BMD) develops technical capabilities that enhance U.S. border and cargo security without impeding the flow of commerce or travelers. The division works closely with its operational customers to identify and generate the best technologies for securing U.S. borders. The division's responsibility encompasses all air, land, and maritime borders, including U.S. ports-of-entry and inland waterways.

The primary customers for technologies developed by BMD are the United States Coast Guard (USCG), Customs and Border Protection (CBP), Immigration and Customs Enforcement (ICE), Transportation Security Administration (TSA), and U.S. Citizenship

and Immigration Services (USCIS). All funded projects address gaps in customers' operational capabilities and support the DHS S&T Directorate's mission.

Border Watch Thrust Area – Develops and applies technologies and tools that:

- Increase detection of illegal land and maritime border activity while requiring less manpower;
- Reduce agent response time and increase officer safety;
- Provide connectivity (where it currently does not exist) to law enforcement officers; and/or
- Provide real-time, relevant information to DHS component command centers and various levels of law enforcement.

Border Watch develops a network of advanced sensor and communication technologies that provides critical information about illegal activities along the U.S. border to law enforcement officers. Currently, border operations, both at and between ports-of-entry, rely on operators' institutional knowledge and aging technology. Border Watch aims to deliver advanced detection, classification, and localization technologies that enhance law enforcement officers' ability to secure the borders efficiently and effectively.

Border Watch activities support the Secure Border Initiative (SBI), a comprehensive multi-year plan by CBP; and the Interagency Operation Centers, an initiative by USCG. SBI works to secure America's borders and reduce illegal immigration, and the Interagency Operation Centers work to enhance command-and-control capabilities for maritime entities. The thrust area includes the following programs: Border Technologies, Maritime Technologies, and Border Officer Tools and Safety.

Border Officer Tools and Safety Program – FY 2010: \$5.084 million; FY 2011 estimate: \$0.800 million. Provides tools and technologies to enable border-security law enforcement to perform their mission more safely, efficiently, and effectively. This program will tailor technologies developed for other government agencies to meet homeland security operational needs so DHS operating components can use them.

Border Officer Safety Project – Integrates technologies that will enable law-enforcement agents to perform their mission more safely. These technologies include, but are not limited to:

- Enhanced Ballistic Protection – delivers lighter weight, more durable, and higher strength materials and equipment to increase a field agent's ballistic protection while reducing his equipment load;
- Hidden Compartment Inspection Device – allows agents to non-intrusively detect people and contraband hidden behind walls and other barriers from a greater standoff distance.

In FY 2009, the project identified solutions to meet ballistic protection requirements from DHS border security law enforcement entities and completed an assessment of a hidden-compartment inspection device. In FY 2010, the project will upgrade the design for hidden-compartment inspection devices for vessels and vehicles. In FY 2011, the project

plans to demonstrate the hidden compartment inspection device in an operational environment and deliver to CBP and USCG.

Border Officer Tools Project – Improves law enforcement agent effectiveness and officer/agent safety while searching vessels and vehicles. Many of these tools will leverage technology DHS or Department of Defense (DOD) are currently pursuing for other purposes. These tools will provide:

- Secure communication (e.g., voice and data) among field operators and between the field and the command center;
- Intrusive (i.e., requires contact) as well as non-intrusive, non-destructive capability to identify contraband; and
- 24-hour, real-time high-resolution image transmission capability from the field to forensic laboratory for document authentication

In FY 2009, the project successfully demonstrated a prototype capability to ICE that can scan and transmit important security features associated with travel documents from the field to remotely located experts for examination. In FY 2010, the project will conduct operational evaluation of a real-time image transmission device and will investigate the feasibility of a comprehensive (chemical, biological, and explosive), man-portable detection device. In FY 2011, the project plans to conduct a final demonstration of the real-time image transmission device and transition it to ICE. The project also plans to investigate current and emerging counter-surveillance technologies for field agents.

Border Technologies Program – FY 2010: \$14.638 million; FY 2011 estimate: \$17.456 million. Delivers technologies for advanced detection, identification, apprehension, and enforcement capabilities along land and maritime borders. The program develops:

- Detection, classification, and localization sensor technologies to monitor illegal border activity with a wider range and greater accuracy than current technologies;
- Command and control systems that can enhance the quality and timeliness of information to different levels of law enforcement; and
- Communications systems that provide connectivity to law enforcement officers working in remote locations.

These technologies will ensure efficient use of border security assets and will provide law enforcement components with timely and greater access to robust and reliable information required for their mission. Projects in this program include BorderTech, Sensors/Data Fusion and Decision-Aids, SBI Systems Engineering and Modeling & Simulation, and Urban Tunnel Detection Basic Research.

BorderTech Project – Develops technologies for advanced detection, identification, apprehension, and enforcement capabilities along land and maritime borders. This project develops, demonstrates, and tests technologies to reduce program risk for the Secure Border Initiative Network (SBI*net*). BorderTech includes, but is not limited to, the following activities:

- North East Test Bed (NET-B) – evaluates Northern Border surveillance technologies in an operational environment testbed, enabling agent training and tactics development, as well as testing of developmental hardware in operational environments;
- Unattended Ground Sensor (UGS) Test Bed – evaluates new UGS technologies for detecting human border crossings and assists in agent training and tactics development;
- Advanced Sensor Technologies – develops advanced technologies to improve border sensor capabilities and addresses the problem of illicit people and goods entering the U.S. via public underground infrastructure; and
- Renewable Energy Basic Research – assesses energy scavenging, power sources, and energy management for remote areas or areas with minimal infrastructure.

In FY 2009, the project installed a command-and-control, distributed backbone for the NET-B; performed proof-of-concept tests with tunnel-activity sensors; conducted a study of renewable energy sources for sensors; and completed equipment checkout for the UGS testbed on the southern border. In FY 2010, the project will continue developing tunnel-activity sensors and will evaluate land-border tripwires. In FY 2011, the project plans to continue testing advanced sensor technologies and demonstrate renewable energy-sensor capabilities for the inland waterways and port/harbor security environments.

SBI Systems Engineering and Modeling & Simulation Project – Provides tools that capture complex relationships between immigration and border security for strategic planning and support. In FY 2009, the project began transitioning an immigration model and transportation-of-people model to CBP and ICE, and will complete the transition in FY 2010.

Urban Tunnel Detection Basic Research Project – Provides a better understanding of the effectiveness and limitations of various detection technologies against different types of cross-border tunnels. The project also investigates other methods that will enhance clandestine tunnel detection (predictive capability for tunnel location based on intelligence, change detection, geophysical, etc.). Detection of tunnels requires a combination of direct and indirect methods to determine the shape, size, and position of the tunnel. This basic research will identify the best methods for tunnel detection. In FY 2010, the project will research and characterize different key urban border regions and identify technologies with the greatest potential for detecting tunnels. In FY 2011, the project plans to initiate requirements analysis.

Sensors/Data Fusion and Decision-Aids Project – Develops tools to enable full situational awareness, effective decision-making and timely response by law enforcement officers and agents operating in complex and dynamic environments. This project combines information from different types of sensors (sensor fusion) and data systems to provide critical information that will promote reliable detection and tracking capabilities. This project will:

- Provide the capability to fuse tactical information from multiple data sources, such as sensors and databases (both law enforcement and commercial databases);
- Provide real-time situational awareness;
- Eliminate scene clutter;
- Identify and track high-risk targets (e.g., people, vehicles, and vessels) automatically;
- Provide decision aids;
- Facilitate multi-agency coordination for rapid response; and
- Enable Unmanned Aerial Systems (UAS) to sense other air traffic and maneuver as needed to avoid a mid-air collision.

In FY 2009, the project delivered modeling and simulation capabilities for cooperative and non-cooperative air traffic as part of the UAS effort, and assessed the performance of current national system capabilities to assist operational components in the interdiction of self-propelled semi-submersibles (SPSS). In FY 2010, the project will demonstrate and transition initial Automated Scene Understanding (ASU) maritime capabilities to CBP and USCG and deliver modeling and simulation results for UAV-related USCG applications. In FY 2011, the project plans to develop and demonstrate a multi-sensor and multi-data fusion capability to CBP and USCG; demonstrate and transition initial ASU land capability on the Southern Border to CBP; and develop an improved SPSS detection system.

Maritime Technologies Program – FY 2010: \$9.000 million; FY 2011 estimate: \$5.000 million. Develops advanced detection, identification, interdiction, and enforcement technologies for rapid, coordinated responses to maritime threats.

This program will provide significant risk mitigation while complementing major proposed acquisition efforts, such as the USCG's Interagency Operation Centers and CBP's SBI-net. Projects in this program include Maritime Security Technology Pilot Project, Sensors and Surveillance, and Situational Awareness and Information Management.

Maritime Security Technology Pilot Project – Provides a maritime environment for the development, testing, and evaluation of new sensors and surveillance technologies. In FY 2010, the project will establish a controlled, operational testbed with settings representative of DHS operational environments. Funding for this project ends in FY 2010.

Sensors and Surveillance Project – Develops and demonstrates visual and non-visual technologies for monitoring the maritime border, including U.S. coastal and contiguous waters, along the shore, in ports and harbors as well as inland waterways. The project includes the following:

- Advanced Geospatial Intelligence (AGI) Technical Exploitation – demonstrates data processing and exploitation to provide wide-area surveillance of the offshore maritime environment;

- Port and Coastal Radar Improvement – tests and evaluates the performance of a commercially available off-the-shelf radar coupled with advanced signal processing to detect, track, and identify large and small vessels in port and coastal regions under a variety of operational and environmental conditions; and
- Small Boat Harbor Surveillance Study/Pilot – develops and tests near-term technologies for tracking small boats in a port environment and demonstrates the improved situational awareness through an operational test/pilot program.

In FY 2009, the project performed a market survey of potential technologies, which resulted in plans for technology development and prototype demonstrations. The project also evaluated a new approach to detect and track vessels in port and coastal areas (0-12 nm offshore) with low-cost, commercially available radars coupled with advanced signal processing to overcome environmental clutter issues. The project also investigated current and emerging AGI technologies for detecting small boats. In FY 2010 and FY 2011, the project plans to develop several new prototype systems for identifying and tracking small vessels in harbor environments; detecting and tracking vessels in port and coastal regions; and tracking Certain Dangerous Cargo (CDC) barges on inland rivers. The project will test and evaluate a newly developed radar collection reporting system, Shipboard AIS and RADAR Contact Reporting (SARCR), which integrates data available from the existing shipboard Automated Information System (AIS) and existing shipboard radar systems. This technology will monitor vessel traffic in maritime regions where there is no shore and/or space-based surveillance coverage

Situational Awareness and Information Management Project – Enhances the ability of law enforcement to quickly detect and localize maritime threats and provide timely decision-support information. In FY 2009, the project performed a study of technologies that can covertly track illegal contraband to its final destination. In FY 2010, the project will transition the OTH results for boarding team communications, and an initial Advanced Automated Scene Understanding maritime capability to CBP and USCG. In FY 2011, the project plans to provide a Port Security Testbed to demonstrate maturing technologies in an operationally relevant environment for USCG, CBP, and other Federal, State and local First Responders in and around a port area.

Cargo Security Thrust Area – Develops technologies to enhance the end-to-end security of the international supply chain by providing the capability to ensure the physical integrity of cargo shipments; increasing supply chain visibility through tracking and chain-of-custody monitoring; and increasing the detection of threats in shipping containers.

Cargo and Conveyance Security Program – FY 2010: \$14.355 million; FY 2011 estimate: \$15.682 million. Technologies developed in this program will enable government officials to identify and locate tampering events, track shipping containers, and communicate alarm data securely and reliably.

Advanced Container Security Device (ACSD) Project – Develops an advanced sensor system for monitoring containers’ integrity from the point-of-consolidation to the point-of-deconsolidation in the maritime supply chain. The ACSD is a small unit that attaches to the inside of a container to monitor all six sides and report any intrusion, door opening, or human cargo. If ACSD detects an intrusion, breach, door opening, or human, it transmits alarm information through the Marine Asset Tag Tracking System (MATTS) to CBP. In FY 2009, the project performed test and evaluation of prototype systems. In FY 2010, the project will remedy shortfalls discovered during prototype testing and integrate system improvements. In FY 2011, the project plans to conduct final field-testing.

Advanced Screening and Targeting (ASAT) Project / Project Screen – Provides next-generation risk assessment and targeting tools for inbound containers to CBP and DHS Policy’s need to enhance the Department’s risk assessment capability. In FY 2009, the project initiated a requirements analysis for advanced computer algorithms and software to collect data from a broad spectrum of sources and combined/analyzed shipping information to find suspicious relationships and patterns. In FY 2010, the project will perform an evaluation of pattern analysis tools. In FY 2011, the project plans to initiate core-system implementation; develop advanced analytic software for CBP; and initiate a beta test of advanced analytic software modules.

Air Cargo Composite Container Project – Expands upon the Hybrid Composite Container Project and develops an Air Unit Load Device (Air ULD). The Air ULD will detect and communicate intrusions through any of its sides during transit in the air-cargo supply chain. In FY 2009, the project completed an analysis of requirements. In FY 2010, the project will complete security-sensor system development and structural system design and weight optimization. The project will also field-test and demonstrate an air cargo composite container. In FY 2011, the project plans to deliver final Air ULD product specifications to TSA.

Automated Target Recognition (ATR) Project – Develops an automated imagery detection capability for anomalous content (e.g., persons, hidden compartments, contraband) for maritime, land, and air cargo to enhance or augment existing and future non-intrusive inspection (NII) systems. ATR is broadly applicable to scanning and imaging systems used by CBP and TSA, providing an operator-assisted decision aid for target discrimination in low-resolution images. Further, the project will be scalable to accommodate future NII systems with higher resolution imagery and material-discrimination capability. In FY 2010, the project will develop and finalize requirements, conduct business planning, and perform concept studies and analysis of alternatives. In FY 2011, the project plans to initiate system design.

CanScan Project – Develops a next-generation, NII system to detect terrorist materials, contraband items (e.g., drugs, currency, illegal firearms), or humans at border crossings and ports of entry. The new system will provide increased penetration, resolution, and throughput compared to current capabilities for scanning containerized cargo. The system will incorporate technologies that will provide elemental material identification and/or material composition. In FY 2009, the project performed requirements analysis

and initiated concept studies and an analysis of alternatives. In FY 2010, the project will initiate concept selection and system design. Also in FY 2010, the project will integrate the technology developed under the ATR project to enhance the quality of scanned images produced by CanScan. In FY 2011, the project plans to develop the CanScan NII prototype.

Container Security Device (CSD) Project – Develops a security device with sensor(s) that can detect the opening of container doors from the point-of-consolidation to the point-of-deconsolidation in the maritime supply chain. The CSD will provide an interim capability to monitor the status of container doors until the ACSD is available. The CSD is a small, low-cost device mounted on or within a container that can detect the opening or removal of container doors and reports its status to CBP. In FY 2009, the project operationally tested the CSDs. In FY 2010, the project will remedy shortfalls discovered during prototype testing, integrate systems improvements, and deliver improved prototypes for future field-testing. In FY 2011, the project plans to deliver the CSD product specifications to CBP and DHS Policy. These specifications will be open performance standards based on potential commercial devices for any vendor to build and make available to users.

Hybrid Composite Container Project – Develops an International Standards Organization (ISO) composite shipping container with embedded security sensors. The sensors detect intrusions from the point-of-consolidation to the point-of-deconsolidation in any global maritime supply chain. This technology yields several potential benefits for the shipping industry beyond cargo security. Composite containers are stronger than current steel shipping containers and are 10-15 percent lighter. Weight savings benefit shippers by allowing them to load more goods per container. Composite containers are also easier to repair, which decreases life-cycle costs. In FY 2009, the project successfully built one full-size ISO-compliant, composite container prototype that passed ISO structural testing (this is an important step towards gaining acceptance by the shipping industry). In FY 2010 and FY 2011, the project plans to test and evaluate the manufactured prototype against operating conditions.

Secure Carton Project – Develops technology to detect tampering to a shipping carton from the point-of-packing to the point-of-delivery in the supply chain. This project improves the supply chain visibility and the integrity of the chain of custody. In FY 2009, the project conducted testing in an air cargo environment. In FY 2010, the project will address system deficiencies noted during previous testing and add design improvements. In FY 2011, the project plans to deliver final Secure Carton product specifications to TSA.

Secure Wrap Project – Provides a transparent, flexible, and tamper-indicative wrapping material to secure and monitor palletized cargo in the land, maritime, and air-cargo supply chains after it leaves the point-of-packing to the point-of-delivery. This project improves supply-chain visibility and the integrity of the chain of custody. In FY 2009, the project completed the feasibility study and prototype design. In FY 2010, the project

will deliver samples for developmental testing in the supply chain. In FY 2011, the project plans to conduct field-testing of Secure Wrap prototypes.

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Chemical and Biological
Program Performance Justification
(Dollars in Thousands)

PPA: Chemical and Biological

	Perm. Pos	FTE	Amount
2009 Actual	-	-	167,109
2010 Enacted	-	-	206,800
2011 Adjustments-to-Base	-	-	1,251
2011 Current Services	-	-	208,051
2011 Program Change	-	-	(7,188)
2011 Total President's Budget	-	-	200,863
Total Change 2010 to 2011	-	-	(5,937)

The Science and Technology (S&T) Directorate requests \$200.863 million for the Chemical and Biological Division; of this amount, \$5.022 million supports the Small Business Innovative Research (SBIR) program. The FY 2011 request reflects a reduction of \$5.937 million due to the funding of higher priority items within the Department.

This reduction will reduce support provided to the Office of Health Affairs' (OHA) operation for the National BioSurveillance Integration System (NBIS) project. The reduction will delay prototype development for the Next-Generation Biological Detection project. The reduction will also eliminate the Economic Supply Chain project. These projects fill capability gaps identified by Chemical and Biological customer components of the Capstone Integrated Product Team (IPT).

CURRENT SERVICES PROGRAM DESCRIPTION:

The Chemical and Biological Division works to increase the Nation's preparedness against chemical and biological threats through improved threat awareness; advanced surveillance and detection; and responsive countermeasures. Program priorities are risk-based. The IPT process identifies high-priority customer capability.

Biological Countermeasures Thrust Area – The Biological Defense Thrust encompasses risk-based, biological threat countermeasure development programs including threat characterization, development, and transition of new and improved technologies, strategies, and procedures. These programs support multi-layered defense

capabilities that address intentional, accidental, or natural introduction of biological agents presenting a threat against the Nation's human population or infrastructure sufficient to affect national security. This thrust covers hazards to the population through inhalation, dermal exposure, and ingestion of biological threats.

This thrust area addresses Homeland Security Presidential Directives (HSPD) 9, 10, and 18. HSPD-10, *Biodefense Strategy for the 21st Century*, provides a comprehensive framework for our Nation's biodefense. HSPD-9, *Defense of United States Agriculture and Food*, establishes a national policy to defend the agriculture and food system against terrorist attacks, major disasters, and other emergencies. HSPD-18, *Medical Countermeasures against Weapons of Mass Destruction*, establishes policy for the acquisition of medical countermeasures against weapons of mass destruction. This thrust area consists of five main programs: Systems Studies and Decision Support Tools; Threat Awareness; Surveillance and Detection Research and Development; Forensics; and Response and Restoration.

Systems Studies and Decision Tools Program – FY 2010: \$7.306 million; FY 2011 estimate: \$6.574 million. Conducts system studies and net assessments to identify and assess effective measures for deterrence, detection, and mitigation of biological terrorism acts against the U.S. population and infrastructure. This program provides the analysis and tools that help refine requirements for program execution within the Chemical and Biological Division. A portion of this work supports system design and tradeoffs to develop requirements for future systems. Federal, State, and local emergency responders will use tools developed in this area. Key partners and customers include; the Office of Health Affairs (OHA), the Interagency Modeling and Atmospheric Assessment Center (IMAAC), Office of Infrastructure Protection (OIP), U.S. Secret Service (USSS), Transportation Safety Administration (TSA), and the U.S. Department of Agriculture (USDA).

Biodefense Net Assessments Project – Conducts net assessments of this Nation's overall biodefense strategy every four years to provide “...*recommendations for re-balancing and refining investments among the pillars of our overall biodefense policy*” as required in HSPD-10. In FY 2009, the project initiated a new cycle of biodefense analysis, targeting the five to 20-year future timeframe. The project convened a new executive review panel (ERP) and conducted several workshops to inform perspectives. In FY 2010, the ERP will refine and assign high-priority questions and issues in future biodefense to a group of experts for detailed analysis. In FY 2011, the ERP plans to review preliminary results from the working experts. ERP feedback will refine the results to ensure convergence on the issues assigned.

Decision Support Tools Project – Develops fully integrated operational tools for surveillance, detection, incident characterization, and response systems, including improved models of transportation systems and their associated response options and concepts of operations (CONOPS) for chemical and biological attacks. These tools provide architecture design and operational response capability for detection, incident characterization, response, and training simulations. Starting in FY 2009, the project

transitioned tools and data to IMAAC to provide real-time, high-resolution meteorological data feeds from existing National Oceanic and Atmospheric Administration (NOAA) radars deployed across the Nation to enhance IMAAC's current hazard-prediction capabilities. The project extended its Washington, DC, subway system tracer studies to Boston in order to further support subway model validation and support architecture analysis for detection, incident characterization, and response systems for the transit sector. The project used real-world data gathered from these tracer releases to support the validation of subway models. The project also developed an algorithm for IMAAC and TSA to understand transport of dense gases better. In FY 2010, the project will initiate the integration of chemical and biological (CB) transport and health effects modules into USSS training tools to support their operational training. In FY 2011, the project plans to support algorithm development to improve real-time chemical and biological detection systems in indoor transit systems based on on-going subway and indoor transit analysis.

System Studies Project – Performs studies that use reference scenarios to assess the capability of the Nation's current biodefense posture, identify critical gaps, perform cost-benefit tradeoffs of different options for addressing those gaps, and inform guidance and CONOPS. Internal DHS customers use the results of system studies to help coordinate DHS-led biodefense for the Nation. For example, OHA uses study results to support operation of the third-generation (Gen 3) BioWatch system. In FY 2009, the project shifted its focus from detect-to-warn systems to detect-to-protect systems supporting indoor facility/critical infrastructure protective architectures, and their CONOPS. In FY 2010, the project will perform a preliminary architecture analysis of food systems for defending against biological threats. This analysis will lay the foundation for prioritizing future studies in this sector. In FY 2011, the project plans to use the results from the preliminary analysis to identify high-level requirements for prioritized countermeasures identified in the architecture analysis.

Threat Awareness Program – FY 2010: \$40.062 million; FY 2011 estimate: \$41.048 million. Characterizes threats posed by biological weapons, anticipates future threats, and conducts comprehensive threat and risk assessments to guide prioritization of the Nation's biodefense investments. The *Project BioShield Act of 2004* launched an effort to develop, acquire, and stockpile effective medical countermeasures to protect Americans against attack by chemical, biological, radiological, or nuclear weapons. It assigned DHS the lead in conducting threat analyses to determine what constitutes a significant material threat to public health and national security. The primary deliverable is an intelligence-informed, scientific characterization and prioritization of bio-terrorist threats and risks to the Nation. DHS components, including; OHA, the National Security Council (NSC), and other agencies such as the Department of Health and Human Services (HHS), Environmental Protection Agency (EPA), USDA, and the Intelligence community will use this deliverable to support their efforts in enhancing the Nation's biodefense. The Threat Awareness Program contains two main project areas: the Biological Threat Characterization Center (BTCC) and the Biodefense Knowledge Center (BKC).

Biological Threat Characterization Center (BTCC) Project – Conducts two major activities: 1) biennial, systematic end-to-end risk assessments on both traditional and advanced biological agents, known as Bioterrorism Risk Assessments (BTRA); and 2) laboratory studies to close major scientific gaps to further refine our understanding of the risk and threat posed by these agents.

The BTRA, required under HSPD-10, drives the focus of the analytical studies. The BTRA provides the basis for risk-informed investments for National strategic biodefense planning, while identifying key knowledge gaps and defining critical vulnerabilities. Through thorough analyses, the BTRA assesses the likelihood and consequence of biological attacks. The process focuses on the acquisition and production of an agent, its dissemination in a broad range of scenarios, and the human health and economic impacts of those attacks. The resulting information helps to prioritize the risks posed by various agents, to identify vulnerabilities, and to identify associated major scientific knowledge gaps. This guides investments in biodefense and permits the U.S. to develop effective biodefense capabilities in the face of limited resources. The risk assessment will include stakeholder-driven, focused sensitivity studies to evaluate the impact of possible mitigations to bioterrorism.

In FY 2009, the project focused activities on the BTRA and the Integrated CBRN (iCBRN) Risk Assessments (RA), which enables concurrent analysis of chemical, biological, radiological, and nuclear threats and is due in 2010. These activities included improved assessment of the intelligent adversary, simplified modeling tools and scenario-specific analyses that allow a greater range of ‘what if’ exercises, and inclusion of direct and indirect economic effects for all the threats. In FY 2010, the project will deliver the third BTRA and the second iCBRN RA reports and tools. These reports will include enhanced and advanced agents and a prototype desktop tool (BTRA Consequence Calculator Interface). In FY 2011, the project plans to expand the second iCBRN RA report, and the use of the BTRA Consequence Calculator Interface to provide additional decision support.

The BTCC also conducts laboratory studies that help to answer key knowledge gaps identified in the BTRA and reduces uncertainties associated with biological agents of interest. In FY 2009, the BTCC addressed key knowledge gaps on high-priority traditional threat agents. In FY 2010, the BTCC will continue to address knowledge gaps on traditional agents to reduce the uncertainties in the BTRA, and will evaluate feasible advanced biological threat agents. In FY 2011, the BTCC plans to continue to perform laboratory-based research to supply crucial data for the BTRA. This will include analysis of antibiotic resistant *Bacillus anthracis* and its impact on current therapies. This analysis will address requirements for the Biomedical Advanced Research and Development Authority to develop medical countermeasures for the Strategic National Stockpile.

Biodefense Knowledge Center (BKC) – Provides multiple levels of analysis of biological threats to DHS and other Federal agencies – including 24/7 science and technology reachback for the DHS National Operations Center (NOC) and other stakeholders, as well as tailored assessments and in-depth analyses of biodefense issues and

biotechnologies. For example, Awareness Bulletins provide information to analysts and decision makers about technologies used for peaceful or, with a little alteration, nefarious ends. Population Threat Assessments (PTAs) provide an estimate of the number of people exposed to different dose levels of an agent in plausible high-consequence scenarios. HHS depends on these assessments to inform its health effects modeling to define requirements for new medical countermeasures. In addition, in its Biodefense Knowledge Management System (BKMS), the BKC develops and supports knowledge discovery tools for data integration, analysis, and understanding, as well as software pilots for DHS customers to rapidly characterize and understand biological threats. In FY 2009, the BKC improved BKMS to provide enhanced analysis capabilities and additional curated data sources as well as BKC-produced documents. In FY 2010, the BKC will link the BKMS to the new, Office of the Director of National Intelligence (ODNI)-sponsored knowledge management tool Analytic Space. In FY 2011, the program plans to use the BKMS to conduct an operational genomic data-monitoring pilot. Throughout, BKC will continue to provide 24/7 operational support and technology assessments such as Awareness Bulletins.

In addition to the ongoing activities described above, in FY 2009 BKC also provided an improved Biodefense Knowledge Management System (BKMS) with enhanced analysis capabilities and additional curated data sources as well as BKC-produced documents. In FY 2010, BKC will continue to provide 24/7 operational support, awareness bulletins, and technology assessments. BKC will enable BKMS to link to the new, Office of the Director of National Intelligence (ODNI)-sponsored knowledge management tool Analytic Space. In FY 2011, the program plans to use BKMS to conduct an operational genomic data monitoring pilot, and will continue to provide 24/7 support, awareness bulletins, and technology assessments.

Food Defense Basic Research Project – Performs fundamental basic research through the Food Protection and Defense National Center of Excellence that addresses agent/matrix interactions and the resulting implications for contaminant viability, detection, decontamination, and disposal. In FY 2009, the project enhanced fundamental knowledge of select agent interaction in complex food matrices and expanded capabilities in the areas of rapid detection and characterization. In FY 2010, the project will explore new concepts and approaches to prevent, respond to, or recover from the intentional contamination or disruption of the Nation's complex food system. In FY 2011, the project plans to develop promising new concepts and approaches to prevent, respond to, or recover from the intentional contamination or disruption of the Nation's complex food system along with continuing ongoing R&D activities to support critical priorities.

Surveillance and Detection R&D Program – FY 2010: \$42.404 million; FY 2011 estimate: \$42.088 million. Develops next-generation detectors for biological threat agents, including fully autonomous detection capabilities for the next-generation BioWatch systems. These detectors will operate with lower costs and faster detection times – significantly increasing the portion of the U.S. population protected. This program is also developing detect-to-protect systems specifically for use indoors. Key partners and customers include DHS components - OHA, OIP, USSS, Customs and

Border Protection (CBP), U.S. Coast Guard (USCG), Intelligence and Analysis (I&A) in addition to agencies such as HHS, TSA, EPA, the Central Intelligence Agency (CIA), Federal Emergency Management Agency (FEMA), Armed Forces Medical Intelligence Center (AFMIC), USDA, State agencies, and local agencies.

Bioassay - Near Term Project – Develops assays (specific fingerprint signatures of biological agents) employed within detectors to recognize biological agents in order to support the Integrated Consortium of Laboratory Network (ICLN) for event detection, characterization, and mitigation. The project also provides bioinformatics resources and nucleic-acid signatures for use on commercial instruments. This effort develops Public Health Actionable Assays (PHAA) used in U.S. Government-deployed systems to provide extremely high-confidence information to support public-health related decisions. These government-specific operational assays enable Generation 2 and Generation 3 BioWatch to detect the top tier, or highest priority aerosolized biological threats, identified in the 2008 BTRA, as well as aid in event characterization upon an attack. This project is also establishing a mechanism to independently evaluate and validate Public Safety Actionable Assays (PSAA) for first responders and the private sector. In FY 2009, the project transitioned 10 potential biothreat agent-specific assays to the CDC Lab Response Network (LRN) to support of the National Biomonitoring Architecture (NBMA). In addition, in FY 2009, the project initiated transition of the Signature Erosion Analysis Report to Centers for Disease Control and Prevention (CDC) to support the continuous evaluation of current assays for robustness and integrity. In addition to the above detection assays, this project is also actively involved in the development of Rapid Antimicrobial Susceptibility assays to support medical countermeasure distribution and dispensation. In FY 2010, the project will deliver the Signature Erosion Analysis Report to CDC. In FY 2010, the project also will transition additional Gen 3 BioWatch characterized assays to CDC, to support the Gen 3 BioWatch program. Also in FY 2010, this project will transition the Rapid Antimicrobial Susceptibility Assay to CDC LRN for implementation and deployment to all 163 LRN laboratories. This will allow the laboratories to rapidly assess the sensitivity of the biothreat agent to medical countermeasure supporting decision making for distribution and dispensation of appropriate post-exposure prophylaxis. In FY 2011, the project plans to transition the PSAA process to establish initial operational capability, transition the top 20 evaluated biothreat assays for Gen 3 BioWatch to OHA, and develop and transition replacement nucleic-acid detection assays for assays that have “eroded” (based on updated bioinformatics information and tools). In FY 2011, the project also plans to develop and transition assays for biothreat agents as identified by the 2010 BTRA.

In addition to nucleic acid based detection assays, this project also develops immunological assays (multiplexed and enzymed-linked immunosorbant assay (ELISA)) for the detection of biological toxins and antigens and confirmatory assays in support of the National BioMonitoring Architecture (NBMA). These assays will transition to CDC for continuous support of event detection, event characterization, and event mitigation. In FY 2010, this project will transition Rapid Ricin toxin and Botulinum neuro-toxin, sero-type specific assays to CDC LRN. In FY 2011, this project plans to continue to develop highly robust immunologically based antigen and toxin detection assays of the

top biothreat agents for octagonal-based testing. In addition to the assay development effort, this project will support the establishment of enduring capabilities such as sequencing newly identified biothreat agents and understanding strain diversity to support a robust bioinformatics program. This is highly critical for assay developmental effort and signature erosion analysis. This effort ensures that previously developed and employed assays maintain their robustness and integrity to support the National Biomonitoring Architecture. The second enduring capability establishes a DHS repository containing biological materials to support assay evaluation and validation efforts, e.g., BioWatch-Bioplex, Generation-3 BioWatch, Public Health Actionable Assay (PHAA), Public Safety Actionable Assays (PSAA), and Pipeline Assays. The test and evaluation of the immunological assays (toxins) will begin in FY 2010, and continue as assays are developed into FY 2011 with supporting validation testing as agreed upon by Federal partners, such as CDC.

BioAssays – Next Generation Basic Research Project – Evaluates and develops new approaches for detecting the broad range of future threats including enhanced, advanced and emerging threats. This project addresses the need for a highly robust multiplexed assay chemistry that will allow the Nation to screen and monitor for multiple pathogens from a single sample at a reduced cost. This will encompass nucleic-acid-based detection, non-antibody-based antigen detection, and exploration of other novel approaches to support the rapid detection of biological agents of interest. This project also evaluates and develops highly robust sample preparation and processing chemistry to support detection. In FY 2009, this project initiated multiple research efforts aimed at identifying the most promising approach for detecting a broad range of future threats. In FY 2010, this project will continue to evaluate potential candidates and associated chemistries to support future needs for biodetection and monitoring. In FY 2010, this project also will evaluate novel approaches to address enhanced (antibiotic resistance) and advanced threats (genetically modified or engineered threats). In FY 2011, this project plans to evaluate novel approaches to emerging threats and optimize the strategy for incorporation of promising candidate assay chemistries for Next Gen Biodetection and BioAssays – Near Term projects.

Detect to Protect (DtP): Remote Sensors and Triggers and Confirmers Projects – Develops low-cost, bio-aerosol sensors and triggers to detect biological agents within one minute (acting as reliable ‘bio smoke alarms’) to protect high-value facilities and their occupants. This project will provide commercially available detection systems that could enable transportation, entertainment, and other high-value facilities to monitor for airborne hazards and take low-regret precautions (e.g., turning off ventilation systems) to protect people by preventing mass exposure. In FY 2009, this project completed the final round of prototype evaluations in operational environments.

National BioSurveillance Integration System (NBIS) Support Project – Provides decision makers early identification of biological events of national significance, such as disease outbreaks, the potential use of biological agents, and emerging biohazards. The S&T Directorate supports OHA’s operation of NBIS by providing subject matter expertise and developing modeling tools. NBIS acquires, integrates, analyzes, and disseminates

information from existing human disease, food, agriculture, water, meteorological, and environmental surveillance systems and relevant threat and intelligence information. NBIS is currently developing a robust, domestic system that will assist with biosurveillance and provide a core, permanent, open-source biosurveillance capability. This project significantly improves information sharing and situational awareness for decision-makers and provides a common operating picture for all participating agencies to enable a timely response to biological events. In FY 2009, the project supported model development for the Biosurveillance Common Operating Picture (BCOP) and continued to provide subject-matter-expert support in bioinformatics and information technology systems. In FY 2010, the project will fully transition model development and platform enhancements that support an operational NBIS capability to NBIC.

Next-Gen Biological Detection Project – Develops technology to accurately detect the presence of a traditional biothreat agent, provides characterization of that pathogen for its virulence, and determines if the agent has been enhanced to defeat medical countermeasures, provides a rough quantification of the amount of that agent, and preserves samples for further analysis. The system should additionally provide advance warning or indication of potential advanced threat agents that have been genetically engineered to defeat detection. In basic research, the project evaluates existing technology as well as explores and develops new technology for potential application and development of the Next-Generation Biodetection technology in support of the National BioMonitoring Architecture. This project will have the potential to address enhanced, emerging, and advanced biological threats and will explore universal detection technologies (existing, developmental, and emerging). Basic research efforts will explore these technologies for compatibility and potential through spiral development of an automated, fully integrated, end-to-end (collection, identification, and reporting) system. This project will both draw on and inform the BioAssay – Next Generation project described above. The Next-Generation Detection project began in FY 2009 as a solicitation of fundamental research to evaluate technical feasibility. In FY 2010, the project will continue its basic research, focusing on the exploration of more promising concepts encompassing sample capture, sample processing, and agent detection and characterization. In FY 2011, the project plans to complete component exploration in research and initiate transition phase with development of requirements in concert with user.

Portable Bio Detector Project – Develops a hand-held biological detector/identifier in a spiral development process, beginning with a target to classify unknown samples as potential biological threats and culminating in approaches that identify agents (at species level) across an array of known agents. Target users are Customs and Border agents and First Responders. In FY 2009, the project delivered several trade studies to assess the requirements of customers. In addition, based on the trade studies, a technology assessment explored current technologies and determined the best path forward. In FY 2010, the project will identify technology solutions for the rapid, on-site discrimination of potential biological agents and initiate development of CONOPS for these technologies in target application environments. In FY 2011, the project plans to conduct feasibility tests of the promising solutions.

Viabile Bioparticle Capture Project – Develops an automated sampler that is compatible with laboratory analysis, sealed for safe handling of potential infectious agents, and capable of preserving sample viability for multiple days. The final system will augment BioWatch information by 1) allowing characterization of the viability of a threat during an attack; 2) supporting antimicrobial susceptibility testing; 3) implementing orthogonal testing (using other assay chemistry for additional verification or characterization) as needed, and 4) enabling more definitive post-event characterization of bioterrorist events. In FY 2009, the project solicited technology concepts and selected performers. In FY 2010, the project will demonstrate the feasibility of selected concepts and components through laboratory tests. In FY 2011, the project plans to test collectors for their ability to maintain viability of pathogens collected as aerosols. The project will deliver and transition the prototype to OHA.

Multi-Application Multiplex Technology Platform Project – Develops a multiplex technology platform that will allow an end user to screen for multiple pathogens from a single sample, and provide a user-friendly concept for multi-agency application where assay cartridges may be changed, based upon facility-or agency-specific needs. The project will ensure that different assay cartridges are validated for use by specific agencies. During surveillance operation mode, each agency will use their specific assays/cartridges for their intended application and use. In the event of a bio attack, this facilitates assay cartridge delivery to support agencies that have the same platform to provide surge-capacity support for event mitigation. As the detection science and technology matures, the Multi-Application Multiplex Technology Platform will test for traditional agents, enhanced agents, emerging agents, and advanced agents, performing up to 100 tests or detecting 100 targets simultaneously within a single sample. In FY 2010, the project will conduct a technology feasibility assessment. In FY 2011, the project plans to deliver a prototype for capability demonstration.

In-Line Food Monitoring Device (formerly Rapid Test Methods for High Volume Analysis project) – Identifies key areas for improvement in laboratory analytical methods for high-throughput and on-site analysis of suspect food products. The project will investigate contamination, including chemical, biological, and radiological contaminants that pose high risk to the American public or economy by undermining the safety of the agriculture/food infrastructure and supply. Investment in this area will enable more rapid detection of food contamination; provide prompt assessment of the scope of risk presented during a food-contamination incident; support enhanced ability for epidemiological trace-back investigations, and will minimize the impact of food contamination events on both public safety and the economy. In FY 2010, the project will develop a systems study report identifying the highest leveraged investments. In FY 2011, the project plans to refine requirements and initiate concept development.

Forensics Program – FY 2010: \$28.348 million; FY 2011 estimate: \$29.265 million. Operates the National BioForensics and Analysis Center (NBFAC) and conducts bioforensics research supporting criminal investigative cases, with the ultimate goal of attribution, apprehension, and prosecution of the perpetrator to fulfill the mission

established by HSPD–10. These activities provide facilities, tools (e.g., assays, protocols, and strain libraries), analyses, and rigorous chain-of-custody controls needed to support the Federal Bureau of Investigation (FBI) and others in their investigation of potential biocrimes or acts of bioterrorism. NBFAC analyzes a large number of samples for the FBI and other national security partners in secure, contamination-free, biocontainment laboratories. Other key customers include DHS components such as CBP, USSS, and OHA.

National BioForensics Operations (NBFAC) Project – Provides the Nation with a unique capability to conduct forensic analysis of evidence from biocrimes or bioterrorism. This helps prevent and deter biocrimes and terrorism by providing unimpeachable data for attribution. As designated in HSPD-10, NBFAC is the Nation’s lead facility for technical analysis of samples from potential biocrimes or bioterrorism. As an operational facility, NBFAC provides secure, state-of-the-art, contamination-free, biocontainment space for the analysis of evidentiary material and validated protocols for the biological, chemical, and physical “fingerprints” that those samples may contain. The NBFAC also provides rigorous chain-of-custody and quality-control procedures to ensure the integrity of the sample and its analysis in addition to spoke laboratories to provide specialized capabilities.

The NBFAC plans to continue to provide scientific analysis and support to the FBI to analyze biological threat evidence. In FY 2009, NBFAC expanded capability by increasing the number of assays that are ISO 17025 accredited and ISO validated. Also in FY 2009, the NBFAC maintained continuous hub-and-spoke operations and conducted casework. In FY 2010, the project will ISO accredit the casework labs in the NBACC building. The project also will complete capability expansion to include 30 top biotreat agents in FY 2010. In FY 2011, the NBFAC plans to initiate the verification and validation of bioforensic assays for genetically modified organisms, as well as for enhanced and engineered threats. In FY 2011, the NBFAC also plans to continue to maintain continuous operational in-house availability for casework, and have hub-and-spoke operations on call as required.

Bioforensics R&D - Near-Term & Long-Term Projects – Develops improved methods for extracting genetic materials and proteins from samples for biological, chemical, and physical characterization. Provides scientific foundation for material attribution, develops protocols for characterization and identification of Biological Threat Agents (BTAs), and develops a robust sample management, molecular signatures, and physical/chemical analysis research program to address FBI/NBFAC requirements. Bioforensics R&D – Near-Term provides NBFAC with tools to analyze the CDC Category A and B biological threat agents of concern and methods for analyzing enhanced and engineered threats. Bioforensics – Long-Term advances forensic science, establishes an inter-disciplinary approach to the Bioforensics problem, and engages academia in basic scientific research that supports bioforensics technological gaps. In FY 2009, the project provided identification and drill-down capabilities for the Category B agents (excluding viruses). The project also initiated improved genotyping schemes for Category A viral agents, with emphasis on smallpox (variola major) and viral

hemorrhagic fevers. In FY 2009, the project launched a viral genetic stability study on all Category A and B viruses to identify knowledge gaps in viral population genetics and the requirements for match criteria in viral samples. In FY 2010, the program will initiate phase two of the bacterial population genetics study, focusing on laboratory experiments to close knowledge gaps and provide insight to improving match criteria between samples. In FY 2010, the program also will initiate a study to determine knowledge/capability gaps for culturing trace amounts of fastidious select agent bacteria. Furthermore, the project will begin planning for new molecular markers/genotyping or whole genome sequencing methods to identify enhanced and advanced threats rapidly. In FY 2011, and beyond, the project plans to identify strategies for analyzing emerging and advanced threat agents.

Response and Restoration Program – FY 2010: \$6.849 million; FY 2011 estimate: \$8.219 million. Provides advanced planning, develops CONOPS, and funds exercises and training for responding to and recovering from large-scale biological attacks. Biological agents have the potential to contaminate large portions of a city, covering multiple city blocks and the facilities therein. This project will provide a more rapid and cost-effective post-attack cleanup and restoration by developing a systems approach for the restoration of citywide areas. Restoration demonstrations, which bring together Federal, State, and local partners to develop, test, and then share the CONOPS for key scenarios, are at the heart of this approach. The S&T Directorate partners with EPA, OIP, the Department of Defense (DOD), TSA, the Occupational Safety and Health Administration (OSHA), and the State and local public health and response communities.

Systems Approaches for Restoration Project – Develops a coordinated systems approach to the restoration of wide urban areas, to include high-traffic areas (transit/transportation facilities) and DOD infrastructures, following the aerosol release of a biological agent. Prior activities focused on guidelines and protocols for protecting and restoring airports and other critical transportation hubs (e.g., subways). The S&T Directorate is now focusing on restoring wide urban areas, like city neighborhoods, following a biological attack using the Interagency Biological Restoration Demonstration (IBRD), in collaboration with DOD's Defense Threat Reduction Agency (DTRA) and in partnership with the EPA, HHS, Seattle, and county authorities and agencies. When completed, IBRD will provide a set of concepts, protocols, and tools that other communities can adopt and modify to develop their restoration plans. In FY 2009, the project conducted an exercise and demonstration of wide-area decontamination methods and restoration system tools. The project also developed a Seattle Urban Area (SUA) specific plan. In FY 2010, the project will perform final exercises and demonstrations through a series of tabletops, field exercises, and workshops for the SUA plan. In FY 2011, the project plans to extend wide-area restoration guidance and demonstration results from prior years' efforts nationally.

Operational Tools for Response and Restoration Project– Develops a suite of state-of-the-science indoor-outdoor predictive tools to characterize the extent and degree of contamination, incorporating the best-available deposition, degradation, and surface viability data. This project will provide validated interagency sampling plans and

improved statistical sampling design to support characterization and decontamination planning. In FY 2009, this project delivered an initial decision tool to support event mitigation and characterization. In FY 2010, this project will initiate the development of sampling design/plan tools and validate a sampling plan design for anthrax. Also in FY 2010, the project will create and finalize Responder Guidance for sampling suspicious materials. In FY 2011, the project plans to continue to develop sampling design/plan tools as well as operationally test the available sampling plans and tools.

Agriculture Thrust Area – The Agricultural Defense mission is to enhance current capabilities and develop state-of-the-art countermeasures for high-consequence foreign animal diseases consistent with the roles and responsibilities articulated in *Defense of United States Agriculture and Food* (Homeland Security Presidential Directive, HSPD-9). This includes near- and long-term research and development for vaccines and diagnostics, in coordination with internal and external stakeholders.

Foreign Animal Diseases Program – FY 2010: \$24.237; FY 2011 estimate: \$27.561 million. Develops next-generation veterinary vaccines and other countermeasures in partnership with the USDA to protect against natural and/or intentional introduction of high-consequence foreign animal diseases (FAD), and develops models and simulations of the spread of FADs, and their economic impact, to evaluate control and response strategies. In addition to the USDA, key customers include the National Veterinary Stockpile (NVS), the National Animal Health Laboratory Network (NAHLN), the NSC, OHA, and CBP.

Ag Screening Tools Project – Develops portable protocols and tools that provide minimally trained users' assistance in sampling (e.g., maritime containers and unprocessed samples), rapid detection, and field identification of illegal product, high-consequence pathogens, and toxins that threaten U.S. agriculture and the food industry. Starting in FY 2010, the project will identify and prioritize stakeholder needs for protocols, screening, and inspection tools, as well as develop a strategy to address their needs. In FY 2011, the project plans to formulate concept of operations to address user needs.

Foreign Animal Disease (FAD) Modeling Project – Supports the development and use of national-scale FAD simulation and modeling to provide inter-agency partners and analysts with platforms to explore control strategies for FAD outbreaks at multiple scales, and to support S&T Directorate strategic planning and the formulation of countermeasure requirements.

Initially focused on foot-and-mouth disease (FMD), the S&T Directorate has worked with USDA partners since FY 2006 on the use of Multi-scale Epidemiologic and Economic Simulation Analysis (MESA) to examine scenarios for FMD and Highly Pathogenic Avian Influenza (HPAI). In FY 2009, with USDA Animal and Plant Health Inspection Service (APHIS), the project used multiple epidemiological and economic simulations and models to populate a scenario database to support planning and analysis for select high-consequence FADs, such as FMD and HPAI. In FY 2009, the Research

and Policy for Infectious Disease Dynamics (RAPIDD) program initiated efforts to address modeling hierarchy and validation as well as the modeling of zoonotic diseases, which will culminate in FY 2010. These are two centrally linked questions in the implementation and efficient use of infectious disease models. Also in FY 2009, with USDA APHIS, the project leveraged RAPIDD insights, as well as the shared experience of DHS and USDA analysts, to enhance collective understanding of the requirements and necessary verification and validation for the models and simulations used for strategic planning and reach-back support for policy and decision makers. This collaborative effort will continue in 2010. During FY 2009, DHS and USDA began working together to perform a technical review on the national scale MESA model. This FY 2010 effort will document the model development and will expand by initiating a similar analysis of the regional scale North American Animal Disease Spread Model (NADDSM) model and an analysis of the requirements to build a national scale NADDSM. In FY 2011, the project plans to work with inter-agency partners to develop methods of model verification and validation required for the use of multiple epidemiological and economic models and simulations to support inter-agency cooperation on analysis of national-scale FAD scenarios. In FY 2011, the project also plans to complete final reports and peer-reviewed publications from initial RAPIDD Working Groups on high-priority knowledge and capability gaps.

FAD Vaccine and Diagnostics – Near- & Long- Term Projects – Develops vaccines and biotherapeutics for high-priority FAD pathogens, with the goal of providing vaccines that are more effective to differentiate infected from vaccinated animals (DIVA). DIVA vaccines cause an animal to develop protective antibodies that can be differentiated from antibodies that are associated with the presence of disease or infection. Ultimately, DIVA vaccines will allow vaccination of animals against a disease without the fear that, once vaccinated, healthy animals will test positive for disease due to the presence of protective antibodies in their bloodstream. This project will additionally research vaccines for FADs for which no vaccine exists. In FY 2009, the project determined how quickly the next generation of serotype-specific FMD vaccines provides immunity, and how long the immunity lasts. The project also delivered proof-of-concept studies using different vaccine and biotherapeutic countermeasure platforms for other non-FMD FADs. In FY 2010, the project will complete all regulatory testing requirements for the first next-generation DIVA vaccine for FMD. In FY 2011, the project plans to complete these requirements for additional serotypes for the next-generation FMD vaccine; coordinate implementation of USDA DIVA assays; safety test commercially available international vaccines (e.g., Argentina’s 4-way vaccine for FMD); conduct research on improving potency and duration of immunity of FMD molecular vaccines; and leverage the knowledge gained to improve other FAD biological countermeasures.

Agrodefense Basic Research Project – Performs fundamental basic research and addresses critical knowledge gaps for foreign animal and zoonotic diseases, in collaboration with Federal and academic partners. In FY 2009, the project addressed critical knowledge gaps for high-priority FADs, and assessed the efficacy of detection platforms for select foreign animal and zoonotic diseases. In FY 2010, the project will complete integrated planning of S&T Directorate programs for foreign animal and

zoonotic disease research. In FY 2010-11, the project plans to continue to execute ongoing R&D activities to address critical priorities, to include biotherapeutic discovery in collaboration with Federal and academic partners.

Joint Ago Defense Office (JADO) Project – Provides coordination and staff support for the development and maintenance of an integrated interagency R&D strategy for foreign animal disease defense. The National Science and Technology Council (NSTC) Foreign Animal Disease Threat (FADT) subcommittee facilitates the overall inter-agency coordination to better leverage and integrate inter-agency R&D efforts, including programs on veterinary countermeasures, basic research, FAD modeling and depopulation, disposal and decontamination (3D). In FY 2009, the office began to assess strategic R&D opportunities identified by interagency working groups of the FADT Subcommittee. In FY 2010, in coordination with the Subcommittee, the office will support the preparation of an integrated R&D roadmap for FY 2012-2016 and enhance interagency coordination of veterinary countermeasure, basic research, FAD modeling, and 3D programs. In FY 2010, the office will also initiate an assessment of strategic research and development opportunities for the National Bio- and Agro Defense Facility (NBAF). In FY 2011, the project plans to deliver an interim report of the assessment.

Chemical Countermeasures Thrust Area –The Chemical Defense thrust conducts risk-based chemical countermeasures development programs that seek to characterize the threat. These programs will develop and transition new and improved prototype technologies, strategies and procedures for the interdiction, detection, response and recovery from use of toxic chemical threat agents in intentional attacks or from major accidental releases that present acute hazards to the health of the Nation’s population. The thrust area’s mission includes consideration of hazards to the population through inhalation, dermal exposure, and ingestion. This thrust area supports the HSPD-22, “*National Domestic Chemical Defense*”, which provides a comprehensive framework for our Nation’s chemical defense. It also supports HSPD-9 and HSPD-18. This thrust area carries out its activities through three main programs: Analysis; Detection; and Response and Recovery.

The S&T Directorate coordinates with interagency partners, such as DOD and EPA, to maximize resources and minimize duplication. While DOD’s program focuses on the battlefield needs, the S&T Directorate’s program actively seeks to incorporate DOD technologies where they have relevant impact against domestic threats. DHS investments provide amplification to EPA’s program to ensure we address major operational gaps in domestic chemical defense. Additional partners and customers include DHS components: OIP, OHA, FEMA, CBP, USSS, USCG, Federal Protective Service (FPS) as well as the following government agencies: DOD, EPA, DHHS, USDA, FBI, ATF, TSA, and State and local entities.

Analysis Program – FY 2010: \$17.737 million; FY 2011 estimate: \$14.264 million. Develops a robust and enduring analytical capability to support chemical countermeasures development. Activities include: 1) developing a fundamental understanding of toxic chemical threat properties and conducting risk and vulnerability assessments based on those properties; 2) developing and sustaining expert reach-back

capabilities to provide rapid support in domestic emergencies; and 3) developing and validating forensic methods and analytical tools, such as chemical signatures that are used to help identify the nature and origin of chemical threats used by terrorists and criminals. In addition, the S&T Directorate supports maintenance of infrastructure, consisting of receipt, laboratory, and storage spaces to accommodate highly toxic chemicals and associated evidence, to provide to support the FBI's chemical terrorism or criminal casework. This includes trained and fully certified scientific and technical staff available to process this type of evidence.

Chemical Security Analysis Center (CSAC) Project – Develops and sustains expert reachback capabilities to provide rapid support in domestic emergencies. The CSAC serves as the Nation's first centralized repository of chemical threat information (hazard and characterization data) for analysis of the Nation's vulnerabilities to chemical agent attacks. To ensure a cohesive effort to evaluate threats and countermeasures, CSAC conducts key analytical assessments, such as PTAs, Chemical Terrorism Risk Assessment (CTRA), and Chemical Infrastructure Risk Assessment (CIRA). OIP, OHA, TSA, and I&A are the primary DHS customers for the CSAC. CSAC provides completed PTAs to HHS to fulfill BioShield requirements. The work of CSAC assists the Department and the interagency community with planning for responses to chemical threats. CSAC assesses risk and consequence due to chemical attacks on population and infrastructure. In FY 2009, CSAC defined end-to-end systems studies for OIP and TSA. In FY 2010, CSAC will deliver the chemical agent reactions database (CARD) to DHS I&A. CSAC also will complete and deliver the biennially updated CTRA, which expands the number of chemicals considered in the assessment and incorporates an economic impact model. In FY 2011, the project plans to deliver end-to-end systems studies and Capability Assessments to OIP and TSA, as well as provide S&T Directorate-based 24/7 reach back capability to DHS and other government agencies.

Chemical Infrastructure Risk Assessment Project – Develops tools to help assess risk presented by attacks on the chemical industry by identifying and quantifying various infrastructure gaps, vulnerabilities, potential key hazardous chemicals, and associated processes (carried out by CSAC). It also maintains an operational reach-back capability supporting the development of OIP chemical security regulations (Chemical Facility Antiterrorism Standards, CFATS). In FY 2009, the project completed an assessment of chemical dispersion models and downstream impacts from infrastructure disruptions. The project also assessed the potential for safer alternative processes to reduce risk to a select subset of high-volume toxic chemicals. In FY 2010, the project will develop a scenario-driven approach for assessing the hazard of a release from the chemical supply chain as well as develop objectives for improved models. In FY 2011, the project plans to deliver an economic model for chemical facility effects and complete a first probabilistic risk assessment (PRA).

Large-Scale Chemical Transport Release Modeling Project – Develops an improved understanding of the consequences of large-volume, hazardous-chemical releases in transport (e.g., rail cars or tankers). In FY 2009, the project conducted a critical assessment of existing dispersion models compared to observations made during and

following releases from rail-car accidents. Previous efforts identified improvements in models that more closely approximate the actual effects of large-scale releases. In FY 2010, the project will develop improved source terms for incorporation into models. In FY 2011, the project plans to test improved source term descriptions and models with laboratory-based experiments to verify model enhancements.

Increase Safety of Hazardous Chemicals Project – Develops an understanding and identifies solutions to improve the safety of hazardous chemical formulations for their intended uses. Additionally, the project develops an understanding and scientific basis for alteration in hazardous chemical formulations during transit to minimize overall risk due to accidents or intentional disruption of hazardous materials transport devices. In FY 2010, this project will begin by developing a consensus definition for inherently safer technology among industry, academia, and government. In addition, in FY 2010, the project will review current industry use of hazardous materials and formulations and initiate a study to identify hazardous materials with highest volume use and whose formulations may be changed to increase safety without undermining value to industry and consumer. The project also will assess potential modifications of the most commonly used toxic and explosive chemical formulations to increase their safety during use and transport and minimize implications on cost and effectiveness toward the intended purpose. The project plans to identify hazardous chemical products that can be modified during transport and permit reversion back to original formulation at point-of-distribution or use. In FY 2011, the project plans to conduct a series of workshops with the chemical sector to identify capability gaps and outline a strategy for addressing gaps.

Chemical Forensics (Chem FP) Project – Develops and maintains a robust and enduring national capability for the collection, preservation, and processing of chemical threat agents (CTAs) and associated evidence to provide comprehensive and timely forensic analysis and attribution. This effort enables the FBI to conduct investigations of chemical terrorist and criminal acts. CTAs include Chemical Warfare Agents (CWAs) and Toxic Industrial Chemicals/Materials (TICs/TIMs). This capability supports the investigation of terrorist and criminal incidents involving CTAs by enabling their association with people, places, and other events, as well as potential attribution to their original source. The S&T Directorate coordinates similar efforts relative to Non-Traditional Agents (NTAs) with, and conducted by, other agency partners. This information is a critical component of criminal prosecutions and intelligence analysis activities. In FY 2009, the project evaluated chemical forensic analytical methods for several nerve and blister agents, ricin, and TICs, and studied their chemical attribution signatures extracted from an initial set of common materials. In FY 2009, the project also evaluated techniques for the collection, preservation, and analysis of samples recovered at the scenes of chemical incidents. In FY 2010, the project will evaluate and develop collection, preservation, and analytical methods for additional CTAs, prioritized by risk and intelligence, as well as environmental effects on sampling and signatures. In FY 2011, the project plans to develop additional analytical methods for emerging CTAs prioritized by risk and intelligence. The project will select out-year (FY 2010 and forward) chemical forensics studies based on inputs from customer agencies, to ensure optimal interagency collaboration and support of foreign government partners.

Deliverables consist primarily of reports, peer-reviewed articles in appropriate scientific journals, and Standard Analytical Methods provided to customers and maintained in a Chem FP Library on the Chemical Security Analysis Center website.

The Economic Supply Chain Analysis Project - Develops analytical capability to assess the impact of natural and man-made disruptions on the chemical infrastructure of the United States. This capability will enable DHS to conduct 1) policy analysis of the chemical sector as a whole; 2) consequence analysis of the impacts of natural and man-made events on the chemical industry and chemical-dependent sectors of the economy; and 3) analysis of individual chemical assets. Detailed datasets including individual process unit and independencies with transportation and utility sectors enable cross-sector assessments of the effect of hurricanes, floods, earthquakes and other causes of chemical supply chain disruptions. In FY 2009, the project modeled the inorganic chemical supply chains. In FY 2010, the project will refine inorganic, organic, and specialty chemical supply-chain models, in addition to automation of dataset maintenance.

Detection Program – FY 2010: \$15.992 million; FY 2011 estimate: \$14.447 million. Develops technology to warn and notify of a chemical threat release. It includes technologies responders need to survey potentially contaminated scenes, while limiting their exposure to chemical agents. This program aims to provide technologies that can sense a broad spectrum of chemical agents and commonly monitored toxic chemicals, in a single package, at costs that will support dual-use application. Developing this capability requires a leap forward in technology for next-generation systems. Due to the various physical properties associated with detecting high-vapor pressure versus low-vapor pressure chemical threats, this application requires an array of technologies to ensure that it addresses the full spectrum of chemical hazards.

Two of the detection systems – the Autonomous Rapid Facility Chemical Agent Monitor (ARFCAM) and the Lightweight Autonomous Chemical Identification System (LACIS) – are the first-generation chemical detection systems for facility monitoring and handheld use, respectively. Currently, commercially available systems cannot detect a wide range of CWAs and TICs and often have high false-alarm rates. ARFCAM and LACIS address these gaps.

ARFCAM Project – Develops a low-cost, fully autonomous, networkable chemical monitor that will “detect-to-warn” the presence of up to 17 CWAs and high-priority TICs within a single device at both immediately dangerous to life and health (IDLH) and permissible exposure limit (PEL) concentrations. This project will improve protection of facility occupants by more reliably detecting a wide range of agents. In FY 2009, the project completed test-bed trials and expanded the independent test and evaluation (IT&E) of candidate detector approaches. In FY 2010, the project will conduct a critical design review to down-select successful prototype detectors for developmental field-testing scheduled to occur in FY 2010 and FY 2011. In FY 2011, the project plans to report on developmental test and evaluation (DT&E) of field prototypes; deliver operational test articles and technical data package; and transition successful candidates

through commercialization, SAFETY Act certification, and designation as allowable grants expenditure.

LACIS Project – Develops a networkable handheld detector for responders, which will detect up to 17 TICs and CWAs in a single sensor package. The S&T Directorate is targeting LACIS to detect TICs and CWAs below the IDLH level, emphasizing a very low false-negative response. This system more reliably detects a broader range of chemical agents for improved protection of responders to a chemical incident. Additionally, it will enable enhanced detection capabilities at borders, portals and other nodes of people and cargo flow. In FY 2009, the project initiated and completed test-bed trials and expanded and continued the IT&E of prototype detectors. In FY 2010, the project will conduct a critical design review to down-select successful prototype detectors for developmental field-testing scheduled to occur in FY 2010 and FY 2011. In FY 2011, the project plans to report on DT&E of field prototypes; deliver operational test articles and technical data package; and transition successful candidates through commercialization, SAFETY Act certification, and designation as allowable grants expenditure.

Advanced Chemical Vapor Detection System Project (formerly Next-Gen ARFCAM & LACIS) – Develops technology that can be used both as an autonomous, networked continuously running facility monitor and a hand-portable, networked chemical detection system that will quickly (<1 min) “detect-to-warn” of the presence of up to 40 high-priority TICs and CWAs including conventional and non-traditional agents. Starting in FY 2010, the project will initiate research efforts aimed at exploring novel approaches to chemical detection. In FY 2011, the project plans to define requirements and initiate concept exploration.

Integrated CBRNe Detection System Project – Develops an architecture that integrates reporting from disparate chemical, biological, radiological, and potentially nuclear and explosive (CBRNe) detection/collection systems. This system will provide timely CBRNe detection, identification, and assessment of the threat and enable appropriate response by local, State, and Federal officials. It will greatly improve the integration of alarm and response assets across multiple attack modes, resulting in more rapid and informed decisions at the appropriate response level. In FY 2009, the project expanded the Integrated CBRNe pilot testing to include biological and explosive detection integration and performed a full-scale demonstration. In FY 2010, the project will conclude with the development of a lessons-learned package and a technical template/guidance document to support implementation by other Federal, State, and local agencies.

Low-Vapor Pressure Chemicals Detection Systems (LVPCDS) Project – Investigates man-portable technology to detect and identify persistent low vapor pressure chemical threats on surfaces. This system will enable a rapid, standoff survey of areas potentially contaminated with persistent chemical agents, thus accelerating facility restoration. In FY 2009, the project conducted test and evaluation of an engineering development model in a simulated operational environment. In FY 2010, the project will build, test, and

evaluate a field prototype system and deliver the final project report. In FY 2011, the project plans to complete developmental test/evaluation of field prototype and complete technical data package.

Non-Intrusive Container Monitor Project – Investigates technology to rapidly and efficiently determine the contents of suspicious packages passing through security portals or containers in cargo. This project focuses on enhancing security at portals within and at the perimeter of key elements of our national infrastructure. This technology will promote the interception and confiscation of illicit materials by a variety of customs, law enforcement, and responder personnel. In FY 2009, the project conducted research to characterize the range of hazards that can be interrogated effectively through common packaging materials. In FY 2010, the project will explore new technology concepts. In FY 2011, the project plans to report on mid-phase laboratory testing against potential hazards or their surrogates.

Standoff Chemical Detector Project – Develops a flexible, mobile standoff chemical detector that can identify and quantify a broad range of toxic industrial chemicals (TICs) and chemical warfare agents (CWAs) from distances greater than 100 meters. Required sensor characteristics include high sensitivity, low false alarms and rapid response time (ideally real-time), all in a compact and robust package. Target users are First Responders, local emergency management officials in the locale of chemical industry sites, and government agencies maintaining mobile chemical response platforms. In FY 2011, the project plans to conduct a market survey and deliver several trade studies to assess the requirements of customers. In addition, based on the trade studies, a technology assessment will explore current technologies and determine the best path forward.

Response and Recovery Program – FY 2010: \$18.695 million; FY 2011 estimate: \$12.375 million. Provides technologies for restoring a chemically contaminated area to a normal condition. This work primarily supports the development of technologies and guidelines for decontamination and the analysis of contaminated areas both before and after restoration processes. These efforts will decrease the time it takes to recover a contaminated space after a chemical agent attack on key infrastructure. This program also includes development and demonstration of facility restoration and decontamination technologies and guidelines; development of a mobile chemical analysis laboratory; and development of fixed-site chemical analysis laboratories for CWAs.

Facility Restoration Demonstration Project – Develops a systems approach to response and recovery (R&R) of critical transportation facilities following a chemical agent release. This project develops efficient planning tools, identifies decontamination methods, identifies sampling methods, and develops decision analysis tools. This project will enable rapid recovery from a chemical agent release in a major transportation facility, minimize the economic impact of a chemical agent release, and inform defensible public health decisions concerning the re-opening of major transportation facilities following a chemical agent release. In FY 2009, the project completed a tabletop exercise to refine restoration guidance with participation of key Federal, State, and local

stakeholders as well as a well-attended demonstration for stakeholders to promote developed technologies and procedures. The project will conclude in 2010 with the finalization of restoration guidance in coordination with EPA and the execution of an operational demonstration in the Los Angeles airport system.

Fixed Laboratory Response Capability Project – Develops prototype environmental laboratories and protocols to assist with the assessment and remediation of CWA contamination. These laboratories will have full EPA quality certification, standard methods for analysis of CWAs in environmental matrices, and standard reporting protocols. The laboratories will be located in high-threat areas and be available to assist law enforcement with rapid identification of unknown chemical hazards. The optimization of laboratory protocols will maximize overall throughput and the capability will be appropriately sized to assist in remediation of incidents involving CWA or TIC releases. This project will greatly reduce the time needed to restore contaminated facilities and inform public health decisions regarding re-use. In FY 2009, the project optimized the high-throughput analytical methods, jointly with EPA, and established a proficiency testing process that the original three prototype laboratories demonstrated. The project quantitatively determined via round-robin tests the improved analytical capacity for environmental samples containing CWAs. In FY 2010, the four additional prototype laboratories will complete proficiency and high-throughput tests, and the project will complete the optimization. In FY 2011, the project plans to complete demonstration and transition the capability to EPA for maintenance and expansion.

NTA Laboratory Capability Project (formerly NTA Mobile Laboratory Capability) – Develops a high-throughput chemical laboratory system for analysis and identification of NTAs. The project will enable high-throughput analysis for rapidly mapping contamination and supporting the recovery of contaminated areas. This project will help government officials make rapid determinations and expedite the return of areas contaminated with evolving chemical threats to normal use. In FY 2009, the project completed studies to inform decisions regarding the optimum target laboratory platform (e.g., fixed site, mobile, or transportable). In FY 2010, the project will validate analytical assay performance across multiple matrices, optimize sample preparation methods to maximize agent recovery/detection, and complete a system design. In FY 2010, the project also will initiate lab design with front-end analysis to evaluate appropriate protocols and technologies for inclusion in the laboratory, and gather necessary standard operating procedures from end-users. In FY 2011, the project plans to initiate lab construction using customer-designated platforms.

Integrated Detection/Decontamination Demonstration Project – Demonstrates newly evolving tools for detecting the release of evolving chemical threats, mapping chemical contamination, and monitoring the decontamination process through facility clearance. This project plans to reduce the overall time for recovery of critical infrastructure by focusing response on effected areas. In FY 2010, this project will complete a system study and market survey of technologies and procedures, and will begin planning a demonstration of available technologies. In FY 2011, this project plans to demonstrate and evaluate performance of surveyed technologies.

Chemical Decontamination R&D Project – Develops and tests technologies that decontaminate NTAs, CWAs, and persistent TICs. The project will assess the validity of current techniques for decontamination of NTAs, describe performance gaps, and begin to fill gaps through a measured R&D program. In FY 2009, the project completed the initial study and described key performance gaps. In FY 2010, the project will select the most promising new approaches for use in proof-of-concept demonstrations against NTAs and traditional persistent chemical threat agents. In FY 2011, the project plans to investigate new approaches for use in proof-of-concept demonstrations against NTAs and traditional agents.

Integrated Consortium of Laboratory Networks (ICLN) Project – Consists of a national homeland security infrastructure with a coordinated and operational system of laboratory networks that provide timely, high-quality, interpretable results for early detection and effective consequence management of acts of terrorism and other events requiring an integrated laboratory response. This project will provide optimized national laboratory preparedness by improving coordination of laboratory response to incidents and by promoting common standards of performance across laboratory response assets of multiple Federal agencies. In FY 2009, the project developed an integrated laboratory response architecture and assessed the architecture through table-top exercises. In FY 2010, the project will transition the operational aspects of the ICLN to OHA and continue to support specific laboratory response technological assessments and improvements in the S&T Directorate's program. In FY 2011, the project plans to refine the model for gap assessments in laboratory response.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Command, Control and Interoperability
Program Performance Justification**
(Dollars in Thousands)

PPA: Command, Control and Interoperability

	Perm. Pos	FTE	Amount
2009 Actual	-	-	73,830
2010 Enacted	-	-	81,764
2011 Adjustments-to-Base	-	-	482
2011 Current Services	-	-	82,246
2011 Program Change	-	-	(7,414)
2011 Total President's Budget	-	-	74,832
Total Change 2010 to 2011	-	-	(6,932)

The Science and Technology (S&T) Directorate requests \$74.832 million for Command, Control, and Interoperability (CCI) in FY 2011; of this amount, \$1.871 million supports the Small Business Innovative Research (SBIR) program. The decrease of \$6.932 million reflects a reprioritization of resources within the Department to fund higher priority mission areas.

CURRENT SERVICES PROGRAM DESCRIPTION

The Command, Control, and Interoperability (CCI) Division is spearheading the Virtual USA strategic initiative to drive a technical and cultural shift on how the Nation shares information during emergencies. CCI will accomplish this by creating and deploying technologies and information resources to enable seamless and secure interactions among local, tribal, State, and Federal stakeholders ensuring that they have comprehensive, real-time, and relevant information to create and maintain a secure and safe Nation. Through Virtual USA, CCI's science and technology efforts work toward providing operational capabilities that:

- Integrate existing frameworks;
- Build on existing investments;
- Draw on practitioner input; and
- Employ a comprehensive approach.

CCI thrust areas include: Basic/Futures Research; Communication, Interoperability, and Compatibility; Cyber Security; Emergent Threat Assessment; Knowledge Management Tools; and Reconnaissance, Surveillance, and Investigative Technologies.

Basic/Futures Research (BFR) Thrust/Program Area – FY 2010: \$4.744 million; FY 2011 estimate: \$5.628 million. Addresses the increasing difficulties associated with discovering, processing, analyzing and synthesizing, understanding, securing, and communicating information. Customers and partners include the various first responder, law enforcement, public safety, and public health officials and organizations throughout the local, tribal, State, and Federal homeland security community. The BFR thrust area promotes an effective homeland security risk-management process based on comprehensive, real-time situational awareness and informed decision-making. The programs will accelerate the development of automated knowledge management capabilities to help identify and analyze potential national threats, strengthen communications interoperability, improve the security and integrity of our Nation’s cyber infrastructure and the internet, and apply integrated, network- and database-aware sensors and investigative tools.

Visual Analytics, Precision Information Environments (VAPIE – formerly, Visual Analytics and Physics-based Simulation Research) Project - Visual analytics refers to visualization-based techniques and technologies that enable such diverse, diffuse, and dynamic data to be shared, analyzed, and understood in real time. The techniques enable users from the local, State, tribal, and Federal first responder, law enforcement, public safety, and public health communities to collaborate with database information as well as on-scene data. In FY 2009, the project, directed through the National Visualization and Analytics Center (NVAC), developed a multi-modal common visual-analytics framework; demonstrated a lightweight Scalable Reasoning System (SRS) for Visual Analysis at the San Diego Automated Regional Justice Information System (ARJIS); and piloted a full visual-analytics suite tailored for its Computer Statistics (CompStat) system at the Port Authority of New York and New Jersey (PANYNJ). In FY 2010, the program will design and demonstrate a combined PANYNJ CompStat and ARJIS SRS capability in both locations; complete integration of the NVAC, the CCI Center of Excellence, and the DHS-NSF FODAVA research activity; and demonstrate a limited, metropolitan-scale precision information environment for San Diego and Seattle. In addition, the program will support the 2010 Olympics by implementing a Common Operation Picture and a Visual Analytics Center and will establish a basic Science-Industry-Funding Transfer framework (SIFT) for moving research products to local, State, and Federal applications. In FY 2011, the project plans to develop incident-scale simulation capability, and demonstrate the Mid-Atlantic Data Sharing Program.

Discrete-Element Computing, Privacy and Forensics (formerly data-Intensive Computing, Privacy, and Forensics) Project – Develops specialized technologies and techniques for accessing, managing, and processing multiple data types, modes, and structures. To be most effective and useful, these techniques must operate in real-time on dynamic, streaming data and include networked sensor or surveillance data. In FY 2009, the project tested the application of advanced mathematical approaches that allow

computers to handle complex data, including video, audio, text, and other data. This effort is critical to making huge quantities of information both intelligible and useful for analysts and decision makers. In FY 2010, the project will design and create the discrete-element computing hardware architecture, demonstrate a discrete element framework for synthetic simulation environments, and pilot discrete-based techniques for incorporating information privacy and security. In FY 2011, the project plans to test common data-intensive computing architecture and identify privacy-ensuring data elements.

Collaboration Project (formerly included within above efforts) – Creates valuable scientific and technical collaboration with partners both inside and outside the DHS research community which enables CCI to leverage both its funding and technical expertise and take advantage of research activities underway in government and industry laboratories and in universities in the US as well as abroad. In FY 2009, further collaborations occurred with Germany, the Central Intelligence Agency (CIA) and Department of Defense (DOD) within the United States based on a previously signed Memorandum of Understanding (MOU). In FY 2010, CCI will expand joint programs to include machine learning (DHS National Science Foundation (NSF) Foundations of Data and Visual Analytics (FODAVA)); visual analytics based cyber security techniques (European Union), cognitive science for visual analytics (Canadian VAC), and large-scale database visualization (Germany). In FY 2011, the project plans to complete integration of FODAVA mathematical design with NVAC and complete the first joint research program with the German Ministry of Interior.

Center of Excellence Project – Identifies and examines novel techniques and technologies for discovering, analyzing, communicating, and securing information. In FY 2011, the project plans to integrate forensics and surveillance capabilities with data sharing and complete next-generation software-defined, cognitive radio development and demonstration.

Communications, Interoperability and Compatibility Thrust Area – Strengthens interoperable communications to improve effective information sharing at all levels of government. The thrust area coordinates interoperable emergency communications requirements for all voice and data communications systems and equipment purchased with DHS funding. It also develops and evaluates cross-jurisdictional information-sharing technologies, policies, and processes. In support of Virtual USA, the thrust area examines new technologies, which energize openness and interoperability between web-enabled capabilities and systems. CCI initiatives impact end users that include more than 60,000 emergency response agencies nationwide, state homeland security officials, and policy makers at the local, tribal, State, and Federal levels.

Office for Interoperability and Compatibility (OIC) Program – FY 2010: \$9.885 million; FY 2011 estimate: \$12.414 million. Strengthens and integrates interoperability and compatibility activities at all levels to improve preparedness and response among Federal, State, local, and tribal governments. OIC plans to:

- Accelerate the development of voluntary consensus standards for interoperable communications, including Project 25 and Voice over Internet Protocol (VoIP);
- Develop message interface standards and architectures that enable emergency-information sharing, data exchange, and public alerts and notifications;
- Develop standards, applications, and technologies to enable seamless access to voice, data, and imagery;
- Standardize, pilot, and evaluate wireless broadband technologies and applications across multiple networks;
- Perform interoperable communications standards compliance testing on emergency response devices and systems;
- Test and evaluate multi-band radio technologies for use in emergency communications and day-to-day operations; and
- Foster a dynamic information-sharing environment for emergency responders.

OIC also conducts the research, development, test, and evaluation (RDT&E) and standards aspects of the SAFECOM program.

Compliance Assessment Project – Validates that P25 standardized systems are indeed P25-compliant and that equipment from different manufacturers can interoperate. OIC works with the National Institute of Standards and Technology (NIST) to execute this project. In FY 2009, the project recognized laboratories qualified to test equipment for compliance with the P25 Common Air Interface (required by grant guidance). In FY 2010, the project will extend the program to test to the P25 Inter-RF Sub-System Interface standard, which will require evaluating and recognizing laboratories. In FY 2011, the project plans to continue interoperability testing and expand to include assessing VoIP systems that implement bridging standards and include conformance testing for P25 equipment.

Converged Interoperable Communications Project – Develops a system of systems approach to enable effective coordination across organizational and jurisdictional boundaries and seamlessly share relevant information when needed, as authorized. Ultimately, this will allow states and regions to coordinate preparations for response and recovery efforts for day-to-day incidents and large-scale emergencies, such as a major hurricane. Emergency responders, emergency managers, and others will be able to coordinate to pre-position assets better to assist in response efforts, plan for mass evacuations, monitor the availability of resources, and measure the initial impact. In FY 2011, the project plans to publish requirements and guidelines for base-level functionality for regions, states, and municipalities to foster a dynamic information-sharing environment for all relevant practitioners. Also in FY2011, the project plans to identify and evaluate technologies to provide integration, resource management, information management, and information protection.

Emergency Data Exchange Language (EDXL) Project – Facilitates the RDT&E of practitioner-driven, information-sharing standards and encourages their implementation into software, systems, and devices. In FY 2009, the project initiated and piloted data-messaging standards for the emergency response community and developed a

compliance-certification process to ensure industry implements the standards as intended. In FY 2010, the project will expand its standards development work to address the list of gaps identified through the gap-analysis effort, as well as develop and pilot additional data-messaging standards. In FY 2011, the project plans to expand standards development to ensure seamless information exchanges among the emergency management services at the local, tribal, State, and Federal levels including Federal Emergency Management Agency (FEMA)'s Integrated Public Alert and Warning System (IPAWS), the Commercial Mobile Alert Service (CMAS), and health-related fields.

Internet Protocol (IP) Communications Test and Evaluation Project – Researches IP-enabled communication technologies and evaluates promising solutions. This project will enable the emergency response community to confidently deploy and use IP technologies and integrate video, cellular, and satellite communications. In FY 2009, the project initiated testing and evaluation of IP solutions and prepared a report that analyzed multiple VoIP bridging solutions (technologies that allow voice communications equipment to interoperate). In FY 2010, the project will transition a set of standards, prioritized by public safety and confirmed by industry, for an operational environment. In FY 2011, the project plans to complete the first draft of the next VoIP implementation profile focused on the technology area prioritized by practitioners, identify video requirements for emergency response activities, and publish results and lessons learned from pilots of new technologies.

P25 Interfaces Project – Accelerates emergency-response interoperable communications through the development of national voluntary consensus standards. Through this project, OIC participates on the Telecommunications Industry Association's P25 Interfaces standards committee. The project will enable connections between multi-vendor and multi-jurisdiction communications infrastructure components and allow greater interoperability and flexibility. In FY 2009, the project launched a demonstration between VoIP and P25 gateways. In FY 2010, the project will complete the development of the test standards and testing tools for new and existing interfaces. In FY 2011, the project plans to complete the test standards and testing tools for priority interfaces and publish field evaluations of multi-band radio technologies in several types of jurisdictions and regions.

Wireless Broadband Technology Project – Tests and evaluates commercially available and emergent wireless broadband products to reveal capability gaps. The project will ensure that technologies developed in the laboratory work in a real-world environment to support the emergency response community. In FY 2009, the project developed a strategy for effective emergency-response use of and migration to the 700 MHz band. In FY 2010, the project will pilot cutting-edge emergency-response communications technologies (e.g., wireless broadband prototypes). In FY 2011, the project plans to publish recommendations regarding the transition to wireless broadband solutions.

Cyber Security Thrust Area – Leads cyber security research, development, testing, evaluation, and transition to secure the Nation's current and future critical cyber infrastructure. As outlined in the President's *National Strategy to Secure Cyberspace*

(NSSC), our Nation's economy and national security depend on information technology and the information infrastructure. Information networks directly support the operation of all sectors of our economy – energy (electric power, oil and gas), transportation (rail, air, merchant marine), finance and banking, information and telecommunications, public health, emergency services, water, chemical, defense industrial base, food, agriculture, and postal and shipping. Computer networks also control electrical transformers, trains, pipeline pumps, chemical vats, radars, etc. Cyber attacks can have serious consequences including the disruption of critical operations, loss of revenue and intellectual property, and loss of life. This thrust area consists of three programs: Information Infrastructure Security, Research Tools and Techniques, and Next Generation Technologies.

Cyber Security Research Tools and Techniques (RTT) Program – FY 2010: \$6.871 million; FY 2011 estimate: \$9.400 million. Provides secure facilities and methods for testing cyber security technologies in real-life conditions. Neither existing research infrastructures nor the operational internet provide adequate means for testing defense technologies. Over the last decade, the network-security research community could not test their research prototypes and prove the utility of their research in large-scale network environments. To accelerate research, development, and deployment of effective defenses for U.S.-based computer networks, the program is developing a cyber security-testing infrastructure that allows researchers, developers, and operators from government, industry, and academia to experiment with potential cyber security technologies. This program will produce scientifically rigorous testing frameworks and methodologies to support national-scale experimentation.

Experimental Research Testbed Project – Provides a cyber security testbed to evaluate defense mechanisms against attacks on the infrastructure and supports mitigation of attacks. The project supports the S&T Directorate by working with the NSF to create the Defense Technology Experimental Research (DETER) cyber security testbed. Existing testing facilities cannot handle experiments on a large enough scale to represent today's operational networks or the portion of the internet that might be involved in a security attack. Industry has only been able to test and validate new security technologies in small- to medium-scale private research laboratories that do not adequately simulate a real networking environment. In FY 2009, the project tested five new technologies. In FY 2010, the project will test additional technologies that may include worm defense, routing security, distributed denial of service defense, malware detection, and domain name system security. In FY 2011, the project plans to increase overall testbed capacity and scaling capabilities.

Experiments and Competitions Project – Addresses cyber security requirements from DHS customers in support of operational missions in critical infrastructure protection. In FY 2009, the project deployed technology that defends against malware and botnet attacks on the S&T LABNET, which included a connection to the Defense Research and Engineering Network (DREN). In FY 2010, the S&T Directorate will work with the oil and gas sector as part of the Linking Oil & Gas Industry to Improve Cyber security (LOGIIC) consortium. LOGIIC is a public/private partnership that allows industry to perform pre-competitive collaborative research and development. During FY 2010, the

LOGIIC consortium will complete the Safety Instrumented Systems (SIS) Project, which will result in security improvements to individual systems, architectural recommendations to greatly increase the security of SIS/PCS integration, and confidence that safety systems are verifiably secure. In FY 2011, the project will engage with DHS customers and relevant Government-wide organizations to develop a lifecycle approach to testing, evaluation, experimental deployment, and transition of new malware and botnet detection and mitigation techniques.

Research Data Repository Project – Creates and maintains a large-scale data set repository of real network and system traffic for use by the cyber-security research community to accelerate design, production, and evaluation of next-generation cyber-security solutions, including commercial products. In FY 2009, the project increased the large-scale data sets applications to 200. In FY 2010, the project will add 50 cyber-security data sets to the Research Data Repository to allow users to more effectively test technologies using a wider sample of data. In FY 2011, the project plans to continue adding datasets to the repository and produce the interim report on the impact of the project on a National scale.

Information Infrastructure Security (IIS) Program – FY 2010: \$13.335 million; FY 2011 estimate: \$8.969 million. Facilitates the implementation of the President's NSSC. This program leverages the collective resources of private companies and technology vendors to identify and demonstrate new technologies to help protect the Nation's infrastructure. Through the IIS program, the S&T Directorate engages with industry, government, and academia to ensure that the core functions of the internet develop securely and benefit all owners, operators, and users, including internet operations organizations. In addition, the IIS program addresses economic assessment, risk analysis, and modeling requirements to implement and deploy cyber security technologies.

Cyber Infrastructure and Emerging Threats Project – The Distributed Environment for Critical Infrastructure Decision-Making Exercises (DECIDE) effort is a distributed scenario-based risk-management exercise tool designed to enable large businesses in critical infrastructures to develop coordinated responses against cyber attacks based on their business models. In FY 2009, the project provided a dedicated exercise capability for several critical infrastructures in the U.S. In FY 2010, DECIDE will facilitate distributed infrastructure protection exercises by providing a multi-user simulation framework aimed at business continuity managers. Also in FY 2010, DECIDE will demonstrate more complex user interfaces and decision trees, and scenarios involving equities and options trading, clearing and settlement, and investment banking.

Cyber Security Assessment Project – Conducts economic assessment, risk analysis, and modeling requirements that focus on implementation and deployment of cyber security technologies. In FY 2009 and FY 2010, the project led technology transition forums with other Federal agencies and large system integrator companies and developed reports in support of cyber security technology transitions. In FY 2011, the project plans to conduct red-teaming efforts on developed technologies and provide red-team assessments and feed back.

Insider Threats Project – Translates appropriate control requirements into a security policy applied to documents and preserved from cradle to grave. In FY 2009, the project developed and evaluated a graph-based approach for insider threat; designed, prototyped, and analyzed Document-based Management, Access Control, and Security (DocuMACS). In FY 2010, the project will develop and implement graph-based approach performance enhancements; pilot DocuMACS Version 1.0; and deliver a Source Code/Executables and DocuMACS Computer Based Training (CBT) Guide. In FY2011, the project plans to accelerate transition of new technology for insider threats into commercial cyber security products and services.

Process Control Systems (PCS) Security Project – Improves security for PCS, a statistics and engineering discipline that deals with architectures, mechanisms, and algorithms for controlling the output of a specific process. PCS control water supply, electrical power, gas and oil pipelines, and other distributed processes. In FY 2009, the project initiated PCS Security activities to support improved security for process control systems used across multiple critical infrastructure sectors and developed PCS model applications to Oil and Gas Sector(s) to secure those infrastructures better. In FY 2010, the project will deliver Secure Wireless devices that will help secure wireless transmission for process control systems. In FY 2011, the project plans to create and deliver sector roadmaps and requirements documents, and evaluate current threats based on input from customers and key stakeholders.

Secure Protocols Project – Develops secure protocols for the cyber-components that make up the internet, specifically the internet's Domain Name System (DNS) and routing infrastructure. This project combines Domain Name Security System Security (DNSSEC) and Secure Protocol for the Routing Infrastructure. In FY 2009, the project deployed additional DNSSEC protocol and gathered operational DNSSEC query data to further analyze DNS security, and initialize deployment within government networks. In FY 2010, the project will conclude Public Key Infrastructure (PKI) deployment activities with global registries to enable effective and efficient connections between URLs; develop and deploy standards for secure routing; and gather operational DNSSEC query data to analyze DNS security further. In FY 2011, the project plans to report on draft secure routing protocols, deploy DNSSEC into government and the private sector, and continue core standards activities to develop new secure routing protocols.

Next Generation Technology (NGT) Program – FY 2010: \$17.981 million; FY 2011 estimate: \$17.631 million. Addresses next-generation cyber security R&D needs in support of DHS components' mission requirements. This program will accelerate transition of new cyber security technologies into commercial products and services. End-users for these technologies include: first responders, critical infrastructure providers, the banking and finance sector, private industry, and government.

Cyber Security Forensics Project – Develops new technologies for law enforcement officers and forensic examiners. Starting in FY 2011, the project plans to test and

evaluate deployable solutions and new capabilities in partnership with law enforcement customers.

Enterprise Level Security Metrics Project – Develops a science of security measurement and the supporting tools and techniques to make the measurements practical and useful as decision aids. Specifically, this project addresses evaluating security at the system level, providing tools that facilitate decision-making and accountability through collection, analysis, and, reporting of relevant performance data. In FY 2010, the project will develop security measurements and the supporting tools and techniques. In FY 2011, the project plans to mature models and simulation capabilities to more accurately simulate how attack actions affect system performance and define an initial set of risk metrics based on those capabilities.

Internet Measurement Techniques Project (formerly Internet Route Monitoring) – Identifies critical internet infrastructure, incorporating an understanding of geographic and topological mapping of internet hosts and routers. These maps will enhance internet monitoring and modeling capabilities to identify threats and predict the cascading impacts of various damage scenarios. In FY 2009, the project released open-source software Prefix Hijack Alert System (PHAS). In FY 2010, the project will complete Geographic router-level maps. In FY 2011, the project plans to complete and deliver mapping and analysis tools to the National Cyber Security Division (NCSD) of CS&C within DHS.

Leap-Ahead Technologies Project - In response to the Comprehensive National Cyber security Initiative (CNCI), investments in leap-ahead research and development will target revolutionary techniques and capabilities that can be deployed over the next decade with the potential to redefine the state of cyber security. In FY 2011, the project plans to initiate research activities studying trustworthy computing in scalable environments and realistic settings directly applicable to the Nation's critical infrastructures, and establish long-term (five plus years) goals and outcomes

Modeling of Internet Attacks Project – Develops modeling and analysis capabilities that predict the effects of cyber attacks on commercial and Federal Government infrastructures. This project will improve public Border Gateway Protocol (BGP) route monitoring capabilities; extract peering relationships from internet topology and telco hotel datasets; and produce more reliable geo-location tools for visualizing and navigating geographic as well as topological connectivity and increase accuracy of currently available tools for matching IP addresses to router interfaces. In FY 2010, the project will collect network traffic data revealing internet attacks from widely distributed internet locations that will help to create technologies to combat internet attacks. In FY 2011, the project plans to apply research activities to operational setting in ongoing studies of cyber attacks.

Software Quality Assurance Project – Develops tools and techniques for analyzing software to detect security vulnerabilities associated with our Nation's critical infrastructure (energy, transportation, telecommunications, banking and finance, and

others) and networks. Specifically, this project addresses the presence of internal flaws and vulnerabilities in software and deals with the root of the problem by improving software security. In FY 2010, the project will provide tools and techniques to analyze software to detect security vulnerabilities. In FY 2011, the project plans to establish and apply advanced software testing services to selected software code bases used by the Government and other critical infrastructures.

Usability and Security Project – Create interface design standards, a science of evaluation for usable security, and tools that will assist developers in the producing systems that are both more secure and easier to use for the common operator. In FY 2011, the project plans to initiate activities to improve existing security mechanisms and cyber systems and initiate research and development to study usable security in applicable environments

Emergent Threat Assessment Thrust Area – Provides DHS components, the Intelligence Community, and other government agencies programmatic and technical expertise in emerging threats, risk sciences, intelligence, surveillance, and reconnaissance (ISR) and other areas applicable to homeland security that may be especially sensitive, classified, or requiring extraordinary security protection.

Emerging Threats Program – FY 2010: \$1.511 million; FY 2011 estimate: \$1.798. Analyzes emerging threats through commissioned and interagency threat assessments; expertise brought by the customers in the Integrated Product Team (IPT) process; and assessments of existing counter-measure availability and capabilities. Individual activities under the project areas including deliverables, technology capabilities, customer, performer, and/or overall program focus may be classified.

Countermeasures Development Project – Addresses the dynamic nature of emerging threats previously identified through threat assessments of new technology. The project identifies capabilities to counter emergent threats for which countermeasure capabilities do not yet exist. In FY 2009, Countermeasures Development completed project SWITCHBLADE to include an operational prototype and design package. The SWITCHBLADE system provides the capability to identify/detect a wide range of undeclared electronics, in both the on and off position. In FY 2010, the project will identify and continue countermeasure development needs. In FY 2011, the project plans to identify emerging and disruptive technological threats that do not have countermeasures.

Future Capabilities Research and Development Project – Supports research collaboration with external agencies and international partners. In FY 2009, the project completed the proof-of-concept development of a nanosensor detector in collaboration with outside agencies. This resulted in a library of nanosensors tuned to compounds of human odors with technology that uses DNA-coated carbon nanotube field-effect transistors as sensing elements. Also in FY 2009, the project continued a proof-of-concept effort in determining if satellite imagery can detect and identify threatening plant pathogens. In FY 2010, the project will continue working on the Detect and Identify Threatening Plant

Pathogens activity. Also, in FY 2010, the project will initiate a proof-of-principle project to determine whether individuals who intend to deceive or are in the act of deception experience an identifiable and quantifiable change in their odor signature. In FY 2011, the project plans to complete the proof-of-concept biometric screening tool and satellite imagery detection of threatening plant pathogens algorithms that may be introduced into the United States.

Identification and Assessment Project – Anticipates and defines potential threats emerging from new scientific and technological advances, and evaluates terrorists’ innovative or novel use of existing technologies. In FY 2009, the project completed a study to examine potential homeland threats and vulnerabilities associated with emerging U.S. hydrogen fuel-cell infrastructure. Also in FY 2009, the project initiated a study that assessed the vulnerabilities associated with the reliance on civil infrastructure upon the Global Positioning System (GPS). In FY 2010, the project will complete the threat assessment of civil reliance on GPS and provide up to two threat assessments on over-the-horizon technologies and harmful innovative uses of that technology. In FY 2011, the project plans to identify assessment topics on emerging and disruptive technological threats.

Intelligence, Surveillance, and Reconnaissance (ISR) Program/Project – FY 2010: \$2.189 million; FY 2011 estimate: \$1.271 million. Supports research activities to improve the collection and dissemination of intelligence information using satellites, radars, sensors, and unmanned platforms in support of DHS components and Northern Command. In FY 2009, the project continued an airspace modeling effort. The project performed systems analysis of DOD surveillance, information gathering, and decision-support technology investments to benefit the complex DHS needs in Customs and Border Protection (CBP) Air and Marine and Coast Guard operations, protecting critical infrastructure, and integrating operations with other government agencies. In FY 2010, the project will initiate a program to model the effects of wind turbine farms on radar sites. This will support the CBP Air and Marine Operations Center (AMOC), the CBP A&M Joint Program Office, and assist interagency partners that face the same issue. In FY 2011, the project plans to complete the modeling effort initiated in FY 2010 and continue to form collaborative efforts to pinpoint and address ISR technological gaps that face first responders.

Risk Sciences Program – FY 2010: \$0.800 million; FY 2011 estimate: \$0.702 million. Fosters systematic, transparent, and goal-focused application of risk concepts and tools to better support strategic, operational, and tactical decision-makers across the national homeland security enterprise. In addition, this program enables informed decision-making across government, and particularly in DHS.

Comparative Studies Project – Conducts research and analytic studies (e.g., historical, competitive strategies, net assessment, etc.) to examine the past and future evolution of the terrorist-versus-security-force competition over time. In FY 2009, the project delivered a report on “*Consequences of Worldwide Immigration*”. In follow-on to “*Reasons for Success and Failure of Terrorist Attacks*”, the project conducted a

comparative study looking at the success and failure of on-the-ground security forces in U.S. and foreign settings. In FY 2010 the project will prepare a number of focused issue papers to support the Quadrennial Homeland Security Review. In FY 2011, the project plans to conduct at least one comparative study and/or net assessment as directed by the Office of Policy DHS.

Risk and Decision Support Project – Conducts R&D aimed at advancing risk and decision support sciences (risk analysis, risk communications, performance metrics, etc.). In FY 2009, the project supported the development of a risk-assessment methodology model using actual information from a transit-security project, produced a Risk and Intelligence Communities Integration Study, and provided support to National Protection Programs Directorate (NPPD). In FY 2010, the project will continue improving risk practices in DHS with particular emphasis on improving both internal and external DHS risk communications practices. In FY 2011, the project plans to identify research and development projects that would be complementary to previous threat assessments.

Knowledge Management Tools Thrust Area – Provides knowledge management capabilities to reduce the risk of terrorist attacks and to prepare for and respond to natural and man-made disasters. In support of Virtual USA, efforts in this thrust area will:

- Create overarching architecture and criteria to enable nationwide information sharing;
- Develop technologies to improve the ability to manage, analyze, share, and secure information; and
- Develop tools to enable jurisdictions, communities, and states to work together.

The thrust area is developing new capabilities for the DHS Office of Intelligence and Analysis (I&A), NPPD, U.S. Immigration & Customs Enforcement (ICE), U.S. Coast Guard (USCG), FEMA, local, tribal, State DHS partners and the DHS information sharing enterprise, which is a gateway for users to retrieve information, services or resources from the Department. This includes tools and methods to handle massive amounts of information that are widely dispersed in a great variety of forms. Work in this thrust area is collaborative and complements efforts in the intelligence, law enforcement, and homeland security communities. This thrust area consists of the Knowledge Frameworks and Collaborative Information Sharing programs.

Collaborative Information Sharing Program – FY 2010: \$8.158 million; FY 2011 estimate: \$5.926 million. The purpose of this program is to focus on the development and deployment of advanced technologies to support inter-organizational and multi-level dissemination of information and intelligence products. This includes:

- Statistical analysis and correlation technologies for creating broad threat awareness;
- Operational support capabilities for protecting infrastructure, guarding against threats, and providing relevant, actionable intelligence to operators;
- Strategic analysis capabilities to recognize, track, and accurately assess the significance of trends in suspicious activity reports; and

- Advanced encryption and redaction tools, digital-rights management technologies, and automated destruction capabilities to increase the multi-level security of distributed products.

Network Identity Management Project – Develops a highly scalable architecture for managing user identities, rights, and authorities used within and external to an organization’s networks. The project will enable timely, complete evaluation of an individual’s status and eligibility for access – enhancing the security of homeland security (local, tribal, State, and Federal) information-sharing environments by improving authentication for persons, hardware devices, and software applications. In FY 2009, this project evaluated the Homeland Security Presidential Directive (HSPD)-12 Backend Attribute Exchange (BAE) Architecture, the proposed government-wide standard for exchanging user attributes. In FY 2010, this project will conduct an operational test of the BAE to share information between FEMA, State, and local first responders and the United States Northern Command (NORTHCOM) in a secure and timely manner. In FY 2011, in partnership with National Security Agency (NSA), the project plans to submit a proposal for a federated interagency agreement between DoD and DHS on how user attributes will be transferred, shared, and maintained, based on the outcomes of the use-case pilot between FEMA and NORTHCOM. The project will continue to conduct pilots with State and local entities to enable information sharing and ensure preservation of privacy and information assurance. Based on the test and evaluation of the identity-management tools and technologies, the project will publish results of concept evaluation and provide recommendations for next steps.

Secure Multi-Level Information Dissemination Project – Provides secure inter-organizational and multi-level dissemination capabilities for information and intelligence products. In FY 2009, the project assessed and documented requirements for external intelligence product dissemination and evaluated relevant multi-level security technologies. In FY 2010, the project will support Controlled Unclassified Information (CUI) implementation and rollout pilots for additional multi-level security technologies. In FY 2011, the project plans to assess capability gaps and perform multi-level dissemination technology pilots to support the CUI framework.

Suspicious Activity Reporting (SAR) Project – Assists with the technical development of a cross-agency suspicious activity reporting tool/system to track, in real-time, all encounters with individuals on government watch lists, while protecting privacy. In FY 2009, the project developed mission-based reports and requirements for improving each DHS component’s SAR capabilities, including an integrated approach to SAR analytics based on best practices and knowledge of common analytic tools and techniques. Also in FY 2009, the project delivered a Capability Migration Roadmap that outlines how DHS components could deploy the SAR tool. In FY 2010, the project will perform technology assessments, system interface specifications, and software development for SAR. The S&T Directorate fully coordinates this effort with related Department of Justice (DOJ) efforts. In FY 2011, the project plans to provide information on analytic capabilities and technical segments for collaboration planning.

Threat Dissemination Standards Project – Disseminates intelligence products to State, local, and private sector security partners. In FY 2009, the project conducted a pilot test to deploy the Critical Infrastructure Inspection Management System (CIIMS) to the Los Angeles Police Department (LAPD) ARCHANGEL program that was integrated into the patrol, assessment, prevention, response, and after-action process of critical infrastructure protection. In FY 2010, the project will design specifications for sensor fusion standards, exchange protocols, and continue the pilot test with the LAPD ARCHANGEL program. In FY 2011, the project plans to pilot National Information Exchange Model (NIEM) exchanges in geospatial applications such as Google Maps or Google Earth in fusion centers.

Knowledge Frameworks Program – FY 2010: \$12.246; FY 2011 estimate: \$7.715 million. Reduces the risk of terrorist attacks and enhances preparations for and responses to natural and man-made disasters. Efforts include developing tools and methods to handle massive amounts of information that are widely dispersed in a great variety of forms. The best way to save lives is to identify pertinent information, understand its meaning, and then use it to assess an actual threat and determine the level of risk before an attack or incident occurs.

Collective Situational Awareness Project – Researches and develops technologies for accessing and exchanging situational awareness information between the USCG and its maritime, law enforcement, and intelligence partners. The project establishes information-sharing protocols to enable the exchange of information across disparate National System security networks. In FY 2009, CCI provided a basic demonstration of the Global Command and Control System-Joint (GCCS-J) Track Management System (TMS) as a web service. In FY 2010, the project will continue to provide technical services to the DHS Office of Applied Technology within the Chief Information Office, to collect, test, and validate requirements across the DHS Enterprise. In FY 2011, the project will focus on collective situational awareness that crosses the local, tribal, State, and Federal boundary, as part of the Virtual USA initiative.

Common Operating Picture (COP) Data Fusion Technologies Project – Develops sensor integration technologies to fuse massive volumes of surveillance information from government agency and private sector sensor systems. In FY 2009, the project initiated development of the Automated Continuing Evaluation System (ACES) for the DHS Headquarters Office of Security. In FY 2010, the project will automate the verification and validation process for the Fused Analytic Desktop Environment (FADE) project, along with producing emerging requirement analysis papers. In FY 2011, the project plans to develop a catalogue of common fusion-center capabilities and their associated technologies.

Integrated Data Processing and Analysis Project – Develops scalable technologies for the integrated analysis of free text, database records, audio, video, imagery, transactional data, geographical data, and sensor information. This project provides technological tools for intelligence analysts to “connect the dots” of information that legally collected by DHS to protect the homeland. In FY 2009, the project launched Integrated Text

Analytics for the ICE Office of Intelligence. In FY 2010, the project will transition text analysis/geospatial capability to the production environment and demonstrate a proof-of-concept prototype to ICE and local and State partners. In FY 2010, the project will transition the Detainee Prioritization and Questioning system to ICE and deploy information-sharing enhancements among regional law enforcement agencies. In FY 2011, the project plans to conduct regional information sharing and collaboration pilots with law enforcement agencies in the Mid-Atlantic and Pacific Northwest regions.

Law Enforcement and Intelligence Sensor Fusion Project – Develops comprehensive sensor-fusion standards and protocols for sharing sensor information between traditional law enforcement organizations and intelligence partners. In FY 2009, the project developed a prototype of multiple visualization environments and demonstrated the exchange of Geospatial Information System (GIS) Data between NPPD and the State of Alabama. In FY 2010, this project will pilot the integration of multiple technologies such as Smart Closed Circuit TV, Automatic License Plate Recognition (ALPR), a digital dashboard for incident management and coordination, an infrastructure-inspection management capability, Automatic Vehicle Locator (AVL), and Link analysis software into GIS Software. In FY 2011, the project plans to identify and prioritize sensor-fusion protocols for State and local first responders.

Real-Time Data Processing and Visualization Project – Develops technologies for dynamic, real-time processing, and visualization of information in multiple forms and from diverse, distributed sources. The project automates the selection, ranking, and correlation of relevant information for purpose-driven, decision making. In FY 2009, the project initiated development of the Generalized Data Driven Analysis and Integration (GDDAI) system for the ICE Office of Investigations, the Scalable Exploration of Network Flows for the U.S. Computer Emergency Readiness Team (US-CERT) and the Sea, Lake, Overland Surge for Hurricanes (SLOSH) system for FEMA. In FY 2010, this project will develop an ICE Office of Investigations' infrastructure capable of supporting enterprise-wide data fusion and web-based visualization of queries across data cubes and GIS systems. The project will roll out handheld access to the field as well as anomaly detection, and emergency-management processing and visualization for State/local emergency managers. In FY 2011, the project plans to pilot an evacuation modeling and visualization tool for multi-State/region use.

Reconnaissance, Surveillance, & Investigative Technologies (RSIT) Thrust Area – Provides local, State, and Federal Law Enforcement (LE) components with R&D for technologies that aid in the discovery, investigation, and prosecution of terrorists and criminals. The projects address operational component needs and gaps provided directly from practitioner groups such as the Law Enforcement Working Group (LEWG) and the Cyber Forensics Working Group. The program will address the full spectrum of crimes investigated by LE organizations with a focus on the following two areas:

- Advanced Forensic Technologies Program, and
- Investigative Technologies Program.

Advanced Forensic Technologies Program (formerly Forensic Analysis Tools Program) – FY 2010: \$0.907 million; FY 2011 estimate: \$0.879 million. This program area develops cutting-edge forensic technologies to assist law enforcement investigations into terrorist and criminal acts. This program area develops forensic technologies to offer new analytical capabilities for the LE investigator community.

Cyber Forensics Project – Develops advanced tools to analyze and interrogate advanced technological devices (such as personal electronic devices and computer hard drives) seized by law enforcement during investigations. In FY 2010, the project will build upon research and develop a universal GPS-device analysis tool. In FY 2011, the project plans to investigate emergent technology in mobile device forensics to develop new types of forensic tools.

Traditional Forensics (formerly Laboratory Forensics) Project – Provides technology solutions for data-visualization, identity-questioned document examination, forensic audio/visual analysis, forensic chemistry, and forensic examination. Recent deliverables transitioned through this project have significantly increased the efficiency of component laboratories, including the Digital Ink Library. Customers include United States Secret Service (USSS), ICE, and CBP forensic labs. In FY 2010, the project will determine the most appropriate equipment for characterization of ink categories and document current best practices in print media recognition.

Investigative Technologies Program (Formerly Law Enforcement Support Systems and Tagging, Tracking and Locating Programs) – FY 2010: \$1.093 million; FY 2011 estimate: \$0.629 million. This program will develop advanced integrated tools and technologies to enable the collection and display of information as well as tagging, tracking, and locating devices to monitor and capture criminal and terrorist suspects.

RealEyes Project – Prototype software system that enables first responders and law enforcement officials equipped with Personal Digital Assistants (PDAs) to send and receive live video and geospatial coordinates; view video from fixed or mobile cameras; and receive data (video, photos, and text) from a field command post using basic cellular technology. In FY 2010, the project will test the operational effectiveness and efficiency of streaming video for first-responder and law enforcement applications.

Sensor Web Project – Develops and demonstrates intelligent sensor webs for use in law enforcement applications and emergency response situations. In FY 2010, the project will focus on the development of robust, low cost, easily deployable sensor platforms to detect and track intruders; identify threats (such as carrying a weapon, crawling, or loading/unloading trucks); provide information on emergencies; and increase situational awareness.

Tagging, Tracking, and Locating Project – Develops technologies to provide tagging, tracking, and locating devices for the law enforcement community. In FY 2010, the project will expand the capabilities of current direction-finding equipment adapted to the changing cellular landscape. In FY 2011, the project plans to develop a single Graphic

User Interface (GUI) and software package to allow simultaneous signal across various cell phone protocols.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Explosives
Program Performance Justification
(Dollars in Thousands)**

PPA: Explosives

	Perm. Pos	FTE	Amount
2009 Actual	-	-	82,722
2010 Enacted	-	-	120,809
2011 Adjustments-to-Base	-	-	746
2011 Current Services	-	-	121,555
2011 Program Change	-	-	(746)
2011 Total President's Budget	-	-	120,809
Total Change 2010 to 2011	-	-	0

The Science and Technology (S&T) Directorate requests \$120.809 million for Explosives; of this amount, \$3.020 million supports the Small Business Innovative Research (SBIR) program.

CURRENT SERVICES PROGRAM DESCRIPTION

The Explosives Division develops the technical capabilities to detect, interdict, and minimize the impact of non-nuclear explosives used in terrorist attacks against mass transit, civil aviation, and critical infrastructure. This includes passenger-, baggage-, and cargo-screening technologies, including blast-resistant aircraft construction.

The Division's primary Federal customers include the Transportation Security Administration (TSA), the U.S. Secret Service (USSS), the U.S. Coast Guard (USCG), and the Office of Bombing Prevention (OBP). Other end-users include Federal, State, and local First Responders and the aviation industry.

The Explosives Division carries out its activities through four thrust areas: Explosives Detection, Mitigation; Explosives Research; and Counter Improvised Explosive Devices (C-IED)/ Domestic Explosives Threats.

Explosives Detection Thrust Area: Develops advanced technologies to detect explosive threats to the Nation's aviation, rail, and ship transportation systems. Activities in this thrust area include: improving existing explosive-detection methods; developing new detection methods for screening people, baggage, and cargo; and ensuring freedom-of-

movement for people and commerce. The Explosives Detection Thrust Area includes the following programs: Cargo, Canine Explosives Detection, Check Point, Homemade Explosives, and Manhattan II.

Cargo Program - FY 2010: \$11.500 million; FY 2011 estimate: \$15.671 million.

Develops the next generation of air cargo screening systems to mitigate the threat of explosives placed in air cargo containers based on Department of Homeland Security (DHS) customer-identified capability gaps developed during the S&T Directorate Capstone Integrated Product Team (IPT) process. The program will continue research, development, testing, and evaluation (RDT&E) of the next generation of air cargo screening systems that will enable the screening of 100 percent of air cargo, while reducing operating costs and achieving a low false-alarm rate. The program includes the following projects:

Air Cargo Project – Identifies and develops the next generation of air cargo screening systems to mitigate the threat of explosives placed in air cargo containers. Activities include developing technologies to enable 100 percent air cargo screening (including break-bulk, palletized, and containerized configurations screening) with reduced operational costs and a low false-alarm rate. This technology will protect commercial airliners, as well as the Nation's supply chain and economy. The technology will reduce reliance on human screeners to detect artfully concealed threats; provide automated equipment to screen air cargo to increase throughput; reduce the government's oversight costs; reduce the costs of industry compliance to air-cargo screening regulations; and provide additional layers of security to enhance and verify air-cargo, supply-chain integrity. In FY 2009, the project delivered valid, reliable, and fair qualification tests at technology readiness level (TRL) 6 for the selection of cargo screeners. In FY 2010, the project will deliver a prototype mass-spectrometry, bench-top, trace detector for laboratory assessment. In FY 2011, the project plans to deliver the mass-spectrometry, bench-top detector for independent testing and evaluation and pilot testing by TSA.

Canine Explosives Detection Program (Previously a project in Air Cargo, the S&T Directorate will reclassify the Canine Explosives Project as a program in FY 2011) - FY 2010: \$1.950 million; FY 2011 estimate: \$1.700 million. Provides tools, techniques, and knowledge to further understand, train, and use canine explosives detection in the DHS operational mission space. Develops more efficient training aids and advanced training techniques to improve canine detection of explosives (including homemade or liquid explosives), as well as performance in complex screening environments (e.g., airport terminals or mass transit venues with high volumes of passengers and baggage). In addition, the program will work to optimize canine explosive-detection performance to enable DHS canine user agencies such as TSA, Customs and Border Protection (CBP), USSS, and National Protection and Programs Directorate (NPPD) to meet new threats and the increased demand for canine inspections. The program includes the following project:

Canine Explosives Detection Project – Studies the canine olfactory system and the genetic markers that can predict high-performance explosive-detection canines, and

canine physiological limitations and strengths. In early FY 2009, the project completed a canine gait-analysis tool and written protocols, which can be used to model canines with existing knee and hip problems. Also in FY 2009, researchers completed a physical model of the canine nose that will measure airflow within the canine nasal cavity to understand odorant deposition within a canine nose better. Additionally the project will determine the feasibility of enhancing canine olfaction using zinc nano-particles to improve canine trace explosives detection. In FY 2010, the project will initiate a multi-year program to observe DHS breeding programs to determine Deoxyribonucleic acid (DNA) markers associated with desirable behavioral, physiological, and genetic traits of a successful explosive-detection dog. Results will lead to the use of DNA markers for selection of breeding pairs and for selection of procured working dogs.

The project will also enhance canine training tools and implementation. In FY 2009, researchers completed an analysis of high-priority homemade explosives (HME) formulations to identify unique chemical signatures that researchers can use as markers to develop low-cost, non-hazardous HME canine-training aids for those formulations that currently do not have them. In late FY 2009, this activity began assessing and field-testing currently available HME canine training aids to determine the effectiveness of these aids against the actual explosive type in a TSA operational environment. In FY 2010, the project will develop and transition low-cost, non-hazardous canine training aids for the highest priority HME threats identified by TSA. In FY 2011, the project plans to deliver another set of low-cost, non-hazardous canine training aids for high-priority HME threats identified by TSA.

Check Point Program – FY 2010: \$8.150 million; FY 2011 estimate: \$17.000 million. Develops advanced capabilities to detect explosives and concealed weapons (including HMEs) that individuals could detonate in passenger cabins or use in the hostile takeover of mass transit systems. The program is designing a next-generation checkpoint that will enable passengers to travel seamlessly from public areas to secure areas via a high-tech corridor that will automatically identify threats. The check-point corridor will contain an integrated system of detectors (sensors, biometrics, radio-frequency identification technologies) networked with command control operations to effectively meet TSA's requirements for automation, efficiency, and cost reduction. Concepts will be developed for integrating multiple complementary and overlapping checkpoint detection technologies to obtain improved performance along with operational efficiency. Automatic Threat Recognition and Trace Detection technologies will be incorporated into an Integrated Checkpoint system, providing the framework to further advance capabilities and guide future system development. These projects will demonstrate key technology items, paving a way forward for further technology demonstrations and subsequent full-scale development, acquisition and deployment in our airports.

This program includes the following projects:

Automated Carry-On Detection Project – Develops advanced capabilities to detect explosives and concealed weapons. This project also will introduce new standalone or adjunct imaging technologies, such as computed tomography (CT), to continue the improvement of detection performance and the detection of novel explosives. In FY

2009, the project completed certification for the detection of novel explosives in the new generation checkpoint system. In FY 2010, the project will transition to TSA a CT checkpoint detection system to identify potential threats based on physical characteristics. In FY 2011, the project plans to deliver a prototype Shoe-Screening system, capable of detecting explosives hidden in shoes worn by passengers.

Automatic Threat Recognition Project - Develops and evaluates automated target recognition algorithms for advanced imaging technology (AIT) in a test bed with the goal to automatically and reliably detect threats on passengers, eliminating the need for human interpretation in order to improve detection and false alarm performance and reduce privacy concerns. The December 25, 2009 incident clearly shows the importance of detecting threats hidden on passengers' bodies. This research will guide further enhancements necessary to reach full-scale development and deployment. In FY 2011, advanced threat recognition algorithms will be evaluated.

Explosives Trace Detection Project – Develops advanced capabilities to detect explosives (including HMEs) through non-contact trace residue technologies. This project is developing the capability to perform trace detection without the use of swabs and will deliver a fully functional laboratory breadboard walk-through portal in FY 2010. This will improve throughput by sampling and analyzing a passenger's wake while he or she is walking through the portal. In FY 2010, the project will conduct a demonstration of a bench-top non-contact trace detection system. In FY 2011, the project plans to deliver prototype swab-based mass spectrometry trace-detection systems for check-point applications. With lessons learned from these initial systems, the technology will be enhanced for improved detection and operational characteristics such as throughput and maintenance.

Next Generation Passenger Check Point Project – Develops the next-generation detection system to screen passengers for explosives at mass transit portals. This project investigates new emerging liquid- and gel-based explosive threats and includes them in a comprehensive detection system. In FY 2009, the project transitioned a dual-energy checkpoint detection system to identify potential threats based on atomic number, mass, and other physical characteristics to TSA. In FY 2009, the project collaborated with the Explosives Trace Detection Project to develop a fully functional laboratory breadboard portal to improve passenger checkpoint throughput by using real-time sampling of a passenger's wake while he or she walks through the portal (no stopping required). In FY 2010, the project will deliver a Standoff Personnel Imager at TRL 7. In FY 2011, the project plans to complete qualification for the next-generation checkpoint detection system to detect novel explosives.

Homemade Explosives (HME) Program – FY 2010: \$5.300 million; FY 2011 estimate: \$3.600 million. Identifies and detects HMEs in the U.S. transportation system, in response to numerous attempted and executed terrorist attacks involving HMEs, which have led to an urgent operational need to detect these threats. The DHS S&T Directorate stood up a rapid-response team in FY 2004 to address the HME threat. The primary focus is currently on aviation venues but is expanding to other modalities of transportation (e.g., surface transportation). The program consists of the following projects:

Homemade Explosives (HME) Project – Evaluates all potential technologies capable of detecting and distinguishing explosives and flammable liquids from benign liquids. The project includes: improving products and systems capable of detecting HME; supporting the R&D of next-generation, novel technologies, algorithms, or prototypes for the detection of HME; and addressing potential operational venues, including airport and mass-transit checkpoints for passengers and carry-on baggage (not including cargo or checked baggage). In FY 2009, the project produced a final report for TSA. The project also completed new technology test and evaluation and reported findings to TSA. Funding for this program ends in FY 2009.

Homemade Explosives Characterization Project – Determines the impact, friction, and electrostatic-discharge sensitivities of HME threats. The project provides a better understanding of the potential damage of HME and their impact on aircraft. Further, this work assists the division in determining the requirements for technologies to counter this threat. This data also facilitates the safe handling and storage of volatile materials that S&T Directorate researchers and their customers routinely use to develop explosive-detection systems. In FY 2009, the project conducted detonation assessment tests, published the results, and characterized several HME formulations in an effort to improve detection technology. In FY 2010, the project will systematically qualify and quantify the physical and chemical properties of high-consequence HME threats selected by TSA, specifically hydrogen peroxide and solid oxidizers. In FY 2011, the project plans to examine HME material selection and its impact on HME safety-testing processes at several laboratory locations to generate best-practice testing approaches and further improve our predictive explosive modeling tools such as kinetic-Cheetah, Hydrodynamic code, and Finite Element Analysis.

Homemade Explosives Stand Alone Detection Project – This project identifies, evaluates, and improves HME detection technologies and screening methods through the collection of raw data and images from a wide variety of Commercial off the Shelf (COTS) Explosive Detection Systems (EDS), CT, and x-ray diffraction equipment. This work helps TSA determine how to improve EDS performance through hardware and software (image processing) upgrades. In addition, this project evaluates COTS equipment in laboratories to determine detection limits, false-alarm rates, and documents unique HME properties for detection exploitation. In FY 2009, the project evaluated numerous EDS – Smiths 6040i, L3 ACX 6.4, and Rapiscan 522DV – and presented the results of these evaluations to TSA. The characterization activity also provided TSA with raw and analyzed data from COTS near real-time tests in peer-reviewed reports. In FY 2010, the project will evaluate HME-detection technology that meets TSA technical requirements for screening bottles and medically essential liquids, as well as contributing to EDS certification and acquisition. In FY 2011, the project plans to determine the error associated with equipment and test-method selection for different HME safety data tests and will develop a definitive Integrated Data Collection and Analysis Compendium for HME and novel threats that the S&T Directorate will distribute to members of the explosives community.

Manhattan II Program – FY 2010: \$12.630 million; FY 2011 estimate: \$4.445 million. Drives commercial development of next-generation systems that will substantially improve performance and affordability of checked baggage screening. Test and evaluation of these systems will focus on probability of detection, number of false alarms, and throughput. The project also measures affordability of these systems by evaluating initial purchasing cost, operating costs, maintainability, and other elements of the full life-cycle costs. In FY 2009, the project completed detection technology demonstrations and produced a final report for TSA. In FY 2010, the project will transition next-generation EDS performance requirements that leverage enhanced detection technology. In FY 2011, the project plans to deliver a Carbon Nanotube X-Ray source to enable higher performance in x-ray based screening systems.

Mitigation Thrust Area – Reduces the impact of undetected explosive threats. This thrust area hardens conveyance against threats (e.g., blast-resistant cargo containers) to enhance the protection of high-value transportation targets. The Mitigation Thrust Area includes the Conveyance Protection Program.

Conveyance Protection Program - FY 2010: \$2.200 million; FY 2011 estimate: \$2.200 million. Assesses risks and mitigates the consequences of an intentional assault on air, surface, and maritime conveyances. The overall objectives of this program are to:

- Assess the vulnerability and survivability of commercial vehicles to high-energy explosives;
- Develop materials, technologies, and techniques to decrease vulnerability or improve survivability of commercial vehicles;
- Develop domain awareness systems and other information technology that help security organizations thwart intentional assault; and
- Develop information systems that allow First Responders to react most effectively to terrorist attacks, other intentional assaults, natural disasters, or other catastrophes.

TSA, the aviation industry, and the traveling public are the primary customers for this program. Current program activities focus on aircraft hardening and preventing the catastrophic loss of passenger aircraft from explosive devices detonated in passenger cabins or cargo holds. Specific projects include:

Aircraft Vulnerability Tests Project – Assesses the vulnerability of narrow- and wide-body aircraft passenger cabins and cargo holds to explosives. These vulnerability assessments will analyze blast/damage effects of explosives and determine how much HME causes catastrophic damage to various aircraft types. The assessments will also identify the detection limits for screening systems. In FY 2009, the project delivered computational models to predict aircraft vulnerability to HME threats at various locations within passenger cabins and cargo holds. In FY 2010, the project will test full-scale effects of aircraft vulnerability on narrow-body overhead bins, wide-body and narrow-body window-belts, and wide-body and narrow-body lavatories. In FY 2011, the project plans to complete validation of aircraft vulnerability codes for relatively simple phenomena, including testing flat panels and curved reinforced panels.

Explosives Research Thrust Area – Conducts basic research to support the integrated execution of the S&T Directorate’s responsibilities for explosives detection and mitigation to support future customer needs

Explosives Research Program – FY 2010: \$8.717 million; FY 2011 estimate: \$9.113 million. Improves explosive-detection capabilities by performing multi-disciplinary R&D in imaging, particle physics, chemistry, and algorithms. Through this work, the program will develop enhanced detection capabilities and next-generation detection systems.

Algorithm and Analysis of Raw Images Project – Develops a non-proprietary database of explosive-detection images, which the project will provide to all detection-program participants. Collects and consolidates images from commercial vendors and coordinates the purchase of additional images and data from CT, EDS, Trace, and emerging devices, including novel explosives and other technologies. The evaluation of these images will help determine the causes of false alarms over many types of scanning systems. In FY 2009, the project completed preliminary research and data analysis to identify the potential application to customer capability gaps and detection programs. In FY 2010, the project will investigate x-ray analysis applied to image science in detecting explosives. In FY 2011, the project plans to investigate neutron analysis applied to image science in detecting explosives.

Detection Technology and Material Science Project – Employs the latest advances in high-performance materials to enhance aircraft survivability in the event of an on-board blast. The project will study blast-resistant materials, develop, and implement advanced materials within aircraft to reduce the effects of an explosive detonation, including the attenuation of the explosive shock wave and containment of blast fragmentation (shrapnel). In FY 2009, the project investigated legacy material characteristics to improve protection of people, conveyances, and infrastructures. In FY 2010, the project will exploit biosciences for novel detection capabilities. In FY 2011, the project plans to investigate applications of nanotechnologies in advanced detection systems.

Fundamental Particle Physics Project – Researches phenomenology to best exploit particle behavior and properties to improve technology. This fundamental research can lead to the development of new sampling technologies and the enhancement of current technology. Advances in understanding particle behavior can potentially lead to the next generation of sampling technologies. In FY 2009, the project conducted preliminary data analysis in advanced signature and detection concepts. In FY 2010, the project will investigate chemical and physical phenomenon at surfaces of explosive particles. In FY 2011, the project plans to determine fundamental properties of surfaces of specific novel explosive threats.

Liquid and Homemade Explosives Chemical Characterization Project – Identifies and quantifies the physical and chemical properties of HME as part of an ongoing effort to counter this increased threat. This project will identify explosive properties including

density, dielectric constant, chemical composition, molecular structure, and thermal decomposition rates of products. In FY 2009, the project continued work on hydrogen peroxide and related HME threats. In FY 2010, the project will determine fundamental chemical and physical properties of specific novel explosive threats. In FY 2011, the project plans to assemble a data matrix of specific novel explosive threats.

Counter IED and Domestic Explosives Threats Thrust Area – The S&T Directorate coordinates with interagency partners, such as DOD and DOJ, to maximize resources and minimize duplication. While DOD’s program focuses on the battlefield needs, the S&T Directorate’s program actively seeks to incorporate DOD technologies where they have relevant impact against domestic threats. DHS investments provide amplification to DOD and DOJ programs to ensure we address major operational gaps in domestic IED defense. Additional partners and customers include the Office for Bombing Prevention (OBP), United States Secret Service (USSS), Transportation Security Administration (TSA), and State and local entities.

The Counter IED thrust area develops science-based knowledge and technologies that will counter the threat of explosive attacks in our homeland in support of Homeland Security Presidential Directive (HSPD)-19 and its resulting National Strategy for Improvised Explosive Devices, which calls for “the detection of, protection against, and response to terrorist use of explosives in the United States”. The S&T Directorate has a balanced, long-term, basic research and technology development program to deliver critical Counter-IED technologies and knowledge products to address three major domestic threats: person-borne IEDs, vehicle-borne IEDs, and devices targeting valuable infrastructure. In addition to leveraging existing multi-agency Counter-IED investments from Department of Defense (DOD), NPPD’s OBP, USSS, TSA, and CBP, C-IED has incorporated related projects from the Explosives, Human Factors, and Infrastructure and Geophysical Divisions to advance efforts in this area. The C-IED Thrust Area carries out its activities through five program areas: Prevent/Deter; Predict; Detect; Mitigate; and Crosscutting.

The Domestic Explosives Threats thrust area develops advanced technologies for detection, response, and defeat of explosive threats to the Nation’s mass transit, maritime transportation, and other intermodal transportation systems. This thrust area is focused on enhancing explosive-threat detection screening for people, vehicles, carry-on and leave behind items in intermodal (non-aviation) transportation modes. The Domestic Explosives Threats Thrust Area includes the following programs: Detect and Respond/Defeat.

Prevent/Deter Program – FY 2010: \$2.800 million; FY 2011 estimate: \$3.650 million. Conducts social and behavioral science research to identify indicators of future violent extremism in the U.S. and to assess the efficacy of intent-focused prevention efforts. This program has one project, Actionable Indicators and Countermeasures, which addresses multiple aspects of IED prevention and deterrence.

Actionable Indicators and Countermeasures Project – Aids the intelligence and law enforcement communities by developing and validating a framework that integrates

multiple indicators to assess whether individuals, groups, and communities are moving toward engaging in extremist violence in the U.S. It will also systematically assess international and domestic efforts developed to prevent violent extremism to provide policymakers with scientifically sound information on which they can base response and prevention strategies. In FY 2009, the program produced final reports analyzing terrorists' use of IEDs and five international de-radicalization programs. These reports provide a baseline understanding of the nature of the IED threat posed to the U.S. and discuss five current approaches to countering violent extremism. In FY 2010, the project will identify characteristics that distinguish the rhetoric of violent and non-violent Jihadi groups. In FY 2011, the project plans to field test communication and outreach strategies aimed at countering violent extremism in the U.S.

Predict Program – FY 2010: \$6.250 million; FY 2011 estimate: \$4.890 million.

Develops technologies that will automatically identify, alert on, and track suspicious behaviors that precede a suicide bombing attack to secure U.S. borders, transit portals, and special security events. This technology will automatically identify and prioritize the risk of potential targets of attack. The program also develops technologies to rapidly and automatically identify IED targets and staging areas within the U.S. These capabilities will enhance the people-screening capability of DHS customers by reducing their reliance on subjective processes.

Predictive Screening Project – Develops technologies to automatically identify, alert authorities to, and track suspicious behaviors that precede suicide-bombing attacks. The S&T Directorate will test technologies at ports-of-entry, transit portals, and special events. Operational benefits derived from predictive screening include increased probability of identifying suicide bombing behaviors before an attack occurs; significant expansion of active surveillance within a target environment; and increased deterrence of travelers carrying illegal weapons and false documents. In FY 2009, the project used knowledge elicitation (an interviewing technique) with eyewitnesses and operational experts to prepare for experiments in an operational setting. In FY 2010, the project will conduct operational testing of semi-automated tracking of designated suspicious behavior. In FY 2011, the project plans to deliver a final validation report on observable behavioral indicators of suicide bombing attacks.

Risk Prediction Project – Develops technology to rapidly and automatically identify potential IED targets and staging areas within the U.S. This project will leverage existing geo-behavioral pattern discovery algorithms from overseas attacks. These algorithms coupled with an understanding of domestic infrastructure, terrorist tactics, and demographic data, will identify U.S. vulnerabilities. In FY 2009, the project analyzed and developed multi-cultural data sets related to IED use and began operational tests at customer sites. In FY 2010, the project will deliver a final test and evaluation report, benchmarking the performance characteristics of existing technologies, and deliver an interim architecture for integrated geospatial, social, and anomaly detection technologies. In FY 2011, the project plans to insert algorithms and/or software into a C-IED operational test bed.

Detect Program – FY 2010: \$45.537 million; FY 2011 estimate: \$42.923 million.

Conducts research on underlying science for advanced approaches to IED and explosives detection and develops advanced technologies to detect explosive threats to the Nation's aviation, mass transit, rail, ship transportation systems, and intermodal transportation modes. Activities in this program will:

- Improve existing explosive-detection methods;
- Enhance explosive-threat detection for intermodal transportation modes;
- Develop new detection methods for screening people, packages, and vehicles; and
- Ensure high throughput screening capability for people and commerce.

This program includes funding for both basic research and transition. It supports projects that address four specific aspects of IED detection: Person-Borne Improvised Explosive Device (PBIED) Detection, Technology Demo/System Integration, Vehicle-Borne Improvised Explosive Device (VBIED) Detection, and Standards.

Person-Borne Improvised Explosive Devices (PBIED) Detection Project – Investigates technologies capable of detecting all types of explosive threats such as homemade, commercial, and military explosives. In FY 2009, the project continued basic research efforts, including advancing scientific understanding behind deposition, sampling, removal, and trace detection of explosive particles on people and packages. The project also explored fundamental science behind explosive particle behavior for insight into sampling technology. The project also expanded contamination studies for non-intrusive sampling and detection of explosive residues, developed algorithms for fusing multiple detection technologies, and investigated increased automation for PBIED detection. In FY 2010, the project will develop basic standalone-detection prototypes using spectroscopic technologies and demonstrate a laser system for broad bandwidth dynamic control. In FY 2011, the project plans to develop a basic prototype of standalone technologies using spectroscopic sensors to detect both “explosives” and “explosive device components” for the standoff detection of PBIEDs.

Technology Demo/System Integration Project – Consolidates work with First Responders, State and local public safety officials, and Federal officials to develop a comprehensive plan and venue for technology demonstrations. The project also leverages its partnerships to determine and validate system-integrated technologies to detect IEDs to improve system performance definition and integration. In FY 2009, the project conducted a larger-scale technology field demonstration. Funding for this project ended in FY 2009.

Vehicle-Borne Improvised Explosive Devices (VBIED) Detection Project – Develops technologies to detect or image IEDs within a vehicle. The project also develops technologies to sample and detect explosive residues and components non-intrusively, and fuse multiple technologies to provide automation for VBIED detection. This has the potential to speed screening and enable security screeners to concentrate on high-risk vehicles. In FY 2009, the project conducted contamination studies for sampling and trace detection of explosives residues from vehicles and developed methods to detect threat explosives. In FY 2010, the project will develop a prototype for screening moving

vehicles, as well as a prototype of standalone spectroscopic technologies to detect both explosives and explosive-device components for the standoff detection of VBIEDs. In FY 2011, the project plans to develop a prototype of standalone technologies using spectroscopic technologies to detect both “explosives” and “explosive device components” for the standoff detection of VBIEDs.

Mass Transit Project – Assesses and develops technology for the detection of explosive threats to mass transit, passenger rail – including buses, commuter rail transit (i.e. subways or metros), light rail (i.e. trolleys and streetcars), and long-distance rail (i.e. Amtrak) – and heavy rail. The project will develop and demonstrate technology to enable a resilient transit system that leverages public awareness, technology, and layered-security programs, while maintaining efficient flow of passengers. In FY 2011, the project plans to conduct a demonstration of emerging technologies for screening people and leave behinds in the mass transit environment.

Maritime Transportation Project – Assesses and develops technology for the detection of explosive threats to the maritime ferry and cruise lines, as well as seaport and marine terminal facilities. The program will develop and demonstrate flexible, layered technology to sustain a secure and efficient maritime transportation system that enables legitimate travelers and goods to move without danger, disruption of commerce, or reduction of civil liberties. In FY 2011, the project plans to conduct a demonstration of emerging technologies for vehicle screening and leave behinds in the maritime environment.

Respond/Defeat Program – FY 2010: \$4.077 million; FY 2011 estimate: \$6.150 million. Develops technologies, tactics, and procedures for bomb squads and other First Responders to improve their effectiveness and increase safety when dealing with explosives threats. Beginning in FY 2010, the program will conduct research and systems development to increase the operational capabilities of the State and local bomb squads to defeat and mitigate explosives threats. The research will focus on a basic understanding of explosives threats to deliver advanced tools and technologies to access, diagnose, and render safe explosives threats.

In collaboration with Federal, State, and local agencies, the S&T Directorate identifies, validates, and prioritizes requirements through an on-going generation and prioritization process. The program consists of the following projects:

Render Safe/Diagnostics Project – Increases standoff capabilities, reduces collateral damage, and provides precision disruption and disablement capabilities and techniques. In FY 2009, the project delivered a complete explosive-threat, tool-characterization guide to help bomb technicians make tactical decisions to disable threat devices. Also in FY 2009, the project developed technologies for precision disruption, aiming, and ranging systems to improve explosive threat render-safe capabilities and to assist bomb squads in accessing and analyzing improvised terrorist devices. In FY 2010, the project will transition a decision-support tool for tactical decision making in disabling the threat. In FY 2011, this project moves to the Domestic Explosive Threat Thrust Area.

VBIED Full Mission Characterization Project – Quantitatively characterizes the operational parameters for disrupting complete (“full-up”) homemade explosives/fusing and firing VBIED System(s) under realistic conditions for a variety of VBIED and leave-behind IED platform configurations (i.e. car/panel truck/large truck threats) to determine the effectiveness of disruption tools as a function of operational parameters to inform requirements for the development of future disruption tool systems. Disruption techniques needing characterization include manual, overpressure, expulsion, and surgical. In FY 2011, the project plans to evaluate simultaneous overpressure charge to truck cab and trailer as well as the effects of an expulsion charge on a truck trailer.

PBIED Directed Energy Response Project – Investigates innovative approaches and novel concepts that can use high-power electromagnetic phenomenology for future applications relating to directed-energy (DE) systems to attack PBIEDs. In FY 2011, the project plans to assess DOD directed-energy research/systems to establish a design basis for DHS PBIED threat scenarios.

Defeat Project – Conducts R&D to better respond to and defeat explosive threats. This project will develop technology to defeat explosive threats without activating them – preventing detonation and collateral damage. In FY 2009, the project began to characterize various disruption techniques. The S&T Directorate uses these techniques to identify specific requirements for disruption tools needed during large-scale explosive threats. In FY 2010, the project will continue disruption-tool characterization using overpressure threat defeat techniques and develop a system capable of penetrating a simulated vehicle wall without initiating reactive material. Also in FY 2010, this project will develop standoff technologies that allow the bomb technician to remain outside the blast zone of an explosive device. This system will provide remote access to large-scale threats. Additionally, in FY 2010, this project will develop technologies to enable public-safety bomb-squad technicians and divers to disrupt and defeat water-borne explosives threats (including devices attached to port infrastructure and small craft used as explosive devices). In FY 2011, this project plans to complete assessment of alternatives for identifying bomb-making capabilities within suspected terrorist cells.

Electronic Countermeasures (ECM) Project – Improves the technology used to counter Radio-Controlled Explosive Threats, by providing a secure and safe radius of operations. In FY 2010, the project will improve and enhance current State and local countermeasures capability by: 1) developing enhanced waveforms and jamming algorithms (load sets) that can effectively address the challenges defined by the Domestic Radio-Controlled Explosive Threat List; 2) optimizing the selected waveform, testing, and validating operational load sets for current ECM systems; and 3) examining potential improvements to antenna, amplifier, receiver, and signal processing technologies. In addition, the project plans to provide an evaluation of COTS ECM systems to identify those that may support future domestic ECM operations. In FY2011, this project will test and evaluate current ECM equipment to ensure compatibility with bomb squad robotics and communications systems.

Render Safe/Diagnostics Project (Previously a project in the Counter IED Thrust Area, the Render Safe/ Diagnostics Project will fall under the Domestic Explosive Threat Thrust Area in FY 2011) – Increases standoff capabilities, reduces collateral damage, and provides precision disruption and disablement capabilities and techniques. In FY 2009, the project delivered a complete explosive-threat, tool-characterization guide to help bomb technicians make tactical decisions to disable threat devices. Also in FY 2009, the project developed technologies for precision disruption, aiming, and ranging systems to improve explosive threat render-safe capabilities and to assist bomb squads in accessing and analyzing improvised terrorist devices. In FY 2010, the project will transition a decision-support tool for tactical decision making in disabling the threat. In FY 2011, this project plans to deliver and conduct an evaluation of diagnostics camera/optics equipment.

Mitigate Program – FY 2010: \$7.491 million; FY 2011 estimate: \$6.150 million. Reduces the effects of undetected bombs that cannot be rendered safe through practical and available means. This program includes the protection of high-value or prominent buildings and infrastructure, and addresses methods to help communities prepare for, respond to, and recover from IED attacks. The program area contains the following projects: Blast-Resistant Materials, Bridge Vulnerability, Enhanced Blast in Urban Canyons, Blast Analysis of Complex Structures, Stabilization of Damaged Structures, Active Blast Protection, and Community Resilience.

Blast-Resistant materials – Develops proof-of-concept material technologies to mitigate the explosive/blast force and fragments from an IED. This project includes basic research studies on advanced blast-resistant materials with properties that provide added protection to high-value structures that are likely targets of IED attacks. This includes new materials and deflecting structures that reduce damage to critical infrastructure and/or personnel. In FY 2009, the project initiated material properties studies to improve understanding of blast resistance and performed experiments on materials to protect against high-velocity, kinetic energy, penetrator-type weapons. In FY 2010, the project will characterize new materials to define their critical blast-resistance properties. In FY 2011, the project plans to evaluate materials to protect against high-velocity kinetic-energy penetrators.

Bridge Vulnerability Project – Develops an understanding of the vulnerabilities of different types of bridges. Provides more accurate vulnerability information for aging bridges and improves existing numerical models to predict failure of bridge components. The project is using the Waldo Hancock Bridge, a suspension bridge, completed in 1931 and now scheduled for demolition, for homeland security research on potential effects of an IED attack against a bridge. This effort is a partnership with the Maine Department of Transportation (DOT) and the Federal Highway Administration. In FY 2009, the project developed strategies for recovering key components (sections of the bridge towers, cables, and suspenders) from the Waldo Hancock Bridge. In FY 2010, the project will continue planning for recovering Waldo Hancock components and develop a plan for explosive testing to assess critical bridge vulnerabilities. In FY 2011, the project plans to perform blast experiments on bridge components. The project also plans to remove

components from the Waldo Hancock Bridge and include them in these experiments, pending the bridge demolition schedule.

Enhanced Blast in Urban Canyons Project – Characterizes the effect of IED events in urban canyons (i.e., city landscapes populated with tall buildings). This project also develops a high-quality database of blast overpressure measurements to refine numerical models to accurately predict the complicated reflection, diffraction, and diffusion of blast waves in these scenarios. It is critical to characterize the explosive air blast in an urban environment accurately to predict casualties and building damage, develop structural retrofits and blast mitigation methods, and plan response operations. The S&T Directorate collaborates with the Technology Support Working Group on this project. In FY 2009, the project investigated instrumentation for large-scale blast testing with enhanced novel explosives, such as those containing aluminum particles, and developed a test plan. In FY 2010, the project will conduct a series of half- to full-scale explosives tests in a wide range of simulated urban environments. In FY 2011, the project plans to perform the second phase of urban blast experiments.

Blast Analysis of Complex Structures Project – Develops computational tools to quickly calculate structural responses to a range of explosives. Provides methods for blast engineers to calculate blast loads in dense urban environments and perform calculations to estimate the relationship between an overcast sky and blast loads. In FY 2009, the project performed nonlinear, explicit, dynamic, finite-element analyses on a variety of structural systems to determine the response to blast loading in dense urban environments and the potential for developing progressive collapse of a building. In FY 2010, the project will conduct a detailed investigation of air blast interaction with novel curtain walls, such as blast-resistant glass and laminated glass in urban environments. In FY 2011, the project plans to deliver a database of structural blast loads on urban buildings.

Stabilization of Damaged Structures Project – Develops technologies that will research priorities to fill gaps on building stabilization and investigates materials that might stabilize a building after an IED attack. In FY 2009, the project created a Technical Committee for the Stabilization of Buildings. In FY 2010, the project will create a research clearinghouse of available technologies to help stabilize buildings. Also in FY 2010, the project will conduct up to three product test simulations based on preliminary computer and small-scale lab evaluations of repaired structure elements. In FY 2011, the project plans to conduct test simulations for building stabilization technologies.

Active Blast Protection Project – Researches materials used to protect infrastructure and buildings in case of an IED attack. The project will develop new materials that enhance the performance of existing structures and buildings, making them increasingly more energy-efficient, environmentally friendly, and multi-hazard resistant, with self-healing and self-monitoring capabilities. In FY 2009, the project issued a report on Advanced Materials and Counter-IEDs Effects. In FY 2010, the project will report on ultra-high-performance concrete (UHPC) and explore emerging active-blast materials. In FY 2011, the project plans to produce a material characterization report for UHPC and pursue testing and analysis of active protective materials that show merit.

Community Resilience Project – Conducts research into methodologies for effective hazard and risk communications to enhance the ability of local officials to convey understandable and credible warnings of IED activity to the public. This project will help local government and civic officials understand how to properly frame risk warnings and post-event instructions to maximize the public’s understanding of the information while maintaining public trust and confidence. In FY 2009, the project developed a plan to address risk communications for an IED event, incorporating all the programmatic elements required to produce a simulation-based training system for local officials. In FY 2010, the project will issue a preliminary report detailing the current understanding of risk perception and hazard and risk communication. The report will also provide preliminary guidelines to government and civic officials for effective IED communication strategies. It will validate the preliminary guidelines against historical events, experiential reasoning, and expert knowledge among authorities in terrorism, risk perception, media communications, and public administration. In FY 2011, the project plans to field and test a prototype simulation-based system that will permit officials to develop, evaluate, and train hazard/risk communication strategies at the local level.

Crosscutting Program (formerly CIED-PEO) – FY 2010: \$1.187 million; FY 2011 estimate: \$0.297 million. Funds R&D efforts that cross over more than one of the programs within the Counter-IED Thrust Area. The program area contains a strategic plan, Long Range Broad Agency Announcement (BAA), and Community Perceptions of Counter-IED Technology project.

Strategic Plan/Roadmap - Assists in developing a DHS S&T Directorate investment strategy linking S&T C-IED programs to the 10 operational needs identified by the National Science and Technology Council’s (NSTC) Subcommittee on Domestic Improvised Explosive Devices as “the most critical priorities”. Funding for the roadmap ends in FY 2010 to fund specific projects based on recommendations from the S&T Directorate’s internal IPT process.

Long Range Broad Agency Announcement (BAA) - In FY 2009, the Long Range BAA effort funded the “Neutralization of Vehicle-Borne Improvised Explosive Devices (VBIED) using a percussion-actuated nonexplosive (PAN) Disruptor Bullets” program through the University of Texas at Austin’s Institute for Advanced Technology. This program builds upon a successful feasibility program funded by the National Institute of Justice (NIJ). In FY 2010, the project will design and demonstrate a PAN launched reactive material projectile that reliably produces render-safe solutions for VBIED targets. In FY 2011, project funding for this effort will focus on program reviews and recommendations from the S&T Directorate’s internal IPT process.

Community Perceptions of Counter-IED Technology Project – Conducts focus groups and survey analysis to improve the understanding of public perception regarding IED countermeasures to ensure the delivery of more acceptable and effective C-IED methods and technologies. Focused panel workshops will help analyze community perceptions of C-IED strategies and technologies. Researchers will use qualitative workshop results to

develop a broad-based, quantitative survey to capture community implications from a larger, more diverse population. The results will inform program managers and technology developers, enabling them to construct more acceptable and effective Counter-IED solutions. In FY 2010, under the Respond/Defeat program, the project will conduct and report on two Community Perceptions of Technology (CPT) panels. In FY 2011, the project plans to conduct two CPT Panels and provide analyses resulting in guidance documents.

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Human Factors
Program Performance Justification
(Dollars in Thousands)

PPA: Human Factors

	Perm. Pos	FTE	Amount
2009 Actual	-	-	11,324
2010 Enacted	-	-	16,087
2011 Adjustments-to-Base	-	-	94
2011 Current Services	-	-	16,181
2011 Program Change	-	-	(2,746)
2011 Total President's Budget	-	-	13,435
Total Change 2010 to 2011	-	-	(2,652)

The Science and Technology (S&T) Directorate requests \$13.435 million for Human Factors; of this amount, \$0.336 million supports the Small Business Innovation Research (SBIR) Program. The decrease of \$2.652 million due to a reprioritization of resources by the department.

CURRENT SERVICES PROGRAM DESCRIPTION

The Human Factors Division applies the social, behavioral, and physical sciences to improve the detection, deterrence, analysis, and understanding of threats posed by individuals, groups, and radical movements. This division supports the preparedness, response, and recovery of communities impacted by catastrophic events and advances homeland security capabilities by integrating human factors into the development and deployment of homeland security technologies. The division also develops and tests biometrics-based technologies to identify known terrorists and criminals and prevent their movement into, out of, or within the United States, while reducing delays of legitimate travelers.

The Division's primary Federal customers include Customs and Border Protection (CBP), Federal Emergency Management Agency (FEMA), Immigration Customs Enforcement (ICE), Transportation Security Administration (TSA), U.S. Coast Guard (USCG), U.S. Citizenship and Immigration Services (USCIS), Office of Intelligence and Analysis (OIA), and U.S. Secret Service (USSS). End users include Federal, State, and

local emergency management officials, First Responders, and private sector infrastructure owners and operators.

Human Technology Integration Thrust Area – Improves the effectiveness of DHS technologies through independent research and by working with S&T Directorate divisions and DHS components to incorporate the needs of technology users – including operators, maintainers, and the public at large – into the research, design and development of technology from its inception. The thrust area promotes research, development, and deployment processes that build on and take account of what is known about human capabilities and limitations; increases levels of satisfaction with and acceptance/adoption of useful technologies; mitigates program risks; reduces costs; and enhances system safety, efficiency, and effectiveness. Projects within this thrust enhance the capacities of technology users and ensure public trust in technologies, with due regard for privacy, civil rights and civil liberties.

Human Systems Research and Engineering Program – FY 2010: \$1.580 million; FY 2011 estimate: \$1.508 million. Incorporates human systems integration activities into contracts, planning, and execution of DHS research and development (R&D) to ensure that components are conducting human-systems integration analysis, design, and test activities throughout the system life cycle. This program also conducts research in human-systems integration to better understand the underlying cognitive, behavioral, and physiological processes that affect human performance. Projects supporting this program are Human Systems Engineering and Human Systems Research.

Human Systems Engineering Project – Develops and defines requirements for systems, technologies, methods, and measures to evaluate the adequacy with which new and existing technologies and systems address human-performance needs. This project is developing a human-systems integration roadmap that will aid the S&T Directorate's divisions and DHS components to identify, develop, and apply a standard process to enhance technology and system design, system safety, and operational efficiency. In FY 2009, the project established a DHS-wide Human Systems Integration Community of Practice that provides a forum for information exchange across all DHS components. The project also incorporated human systems integration into DHS Acquisition Policy and established DHS Acquisition and RDT&E frameworks. In FY 2010, the project will demonstrate the process for identifying human-performance requirements and risks in the design and development of technologies and systems for five DHS programs/projects. In FY 2011, the project plans to apply and continue to improve human-systems integration processes on an additional five DHS programs/projects.

Human Systems Research Project – Develops ways to maximize human performance in screening-related tasks and activities. This project explores brain-based sensor technology and how it can provide real-time cognitive state and operational-performance feedback for customized training and personnel selection. In FY 2009, the project reviewed existing brain-based sensor technologies to determine applicability and identified five candidate systems for further evaluation and development. In FY 2010, the project will review the five systems, select one, and evaluate it in a simulated training

situation. In FY 2011, the project plans to analyze algorithms associated with the selected system and conduct additional analyses of ways to enhance screener performance.

Technology Acceptance and Integration Program – FY 2010: \$0.350 million; FY 2011 estimate: \$0.450 million. Researches public perceptions of new technologies and processes to: 1) identify factors that can advance or impede technology deployment and 2) to identify adjustments to technologies and processes that make them more effective in achieving their intended purposes. This research generates knowledge that drives process improvement and guides the development and deployment of technologies to optimize public acceptance.

Community Perceptions of Technology (CPT) Panel Project – Brings together representatives of industry, public interest groups, community organizations, and citizens with subject-matter experts to understand and integrate community perspectives and concerns in the development, deployment, and public acceptance of technology. In FY 2009, the project coordinated three panels. One panel focused on Acoustic Non-Linear Standoff Threat Detection; the second, in conjunction with the Canadian government, examined Radio Frequency Identification (RFID) vehicle registration and Low-Resolution Imaging for improved Northern Border Security; and the third panel focused on Standoff Imaging technologies. Panel responses work to ensure acceptance of the technologies within affected communities and aid program managers in technical design for deployment to an operational environment. In FY 2010, the program will coordinate two to four panels. In FY 2011, the project plans to conduct another two to four panels, and deliver expert assessments of public perceptions of national security measures in relation to civil liberties and privacy issues.

Personal Identification Systems Thrust Area – Develops accurate and near real-time capabilities to identify known terrorists and criminals at U.S. checkpoints while facilitating the movement of legitimate travelers.

Biometrics Program – FY 2010: \$4.175 million; FY 2011 estimate: \$4.586 million. Develops biometrics-based technologies to identify known terrorists and criminals and prevent their movement into and out of the U.S. through effective, interoperable multi-biometrics in diverse areas, including border crossings, ports-of-entry, and visa application sites. Projects in this program are Multi-modal Biometrics and Mobile Biometrics System.

Mobile Biometrics System Project – develops technologies for mobile biometrics screening at remote sites along U.S. borders, at sea, and other areas not near a processing station. HFD worked with CBP, TSA, USCIS, USVISIT, USCG, USSS and ICE field operators to define and prioritize Mobile-Biometrics technology requirements. In FY 2009, the project defined functional requirements and initiated a spiral development of a four-finger slap mobile module, enabling DHS operators to quickly take 10 prints in the field and increasing the likelihood of positive identification. In FY 2010, the project will develop components for a future Mobile Biometrics Device. In FY 2011, the project

plans to demonstrate those components and a Multi-modal Mobile Biometrics System prototype.

Multi-modal Biometrics Project – Delivers a department-wide capability to non-intrusively collect two or more biometrics (e.g., fingerprint, face image, and iris recognition) in less than 10 seconds at a 95% acquisition rate without impeding the movement of individuals. This project provides robust, standards-based, interoperable multi-modal biometric technologies to identify dangerous individuals accurately and rapidly. This project will develop technology that will support entrance and exit solutions that US-VISIT will need to provide to the Office of Field Operations (OFO) within CBP. In FY 2009, the project awarded a phase two SBIR contract to develop a contactless multi-modal biometrics identification prototype and to create a corresponding reference dataset. In FY 2009, it also initiated work to reduce DNA processing time from weeks to less than an hour and the processing cost from \$500 to less than \$100, which will allow verification of family relationships (kinship) and identification of criminals among those seeking asylum. In FY 2010, in conjunction with the National Institute of Standards and Technology (NIST) and other Federal partners, the project will perform field evaluations of biometric technologies and sponsor the development of voluntary consensus standards to improve performance. The project will also analyze the performance of biometric technologies against DHS operational components' performance requirements. In FY 2011, the project plans to focus on iris-image biometric technologies, conduct an iris-quality evaluation and calibration study, and develop test protocols to allow accredited third-party laboratories to evaluate biometric vendor products based on DHS performance requirements. In FY 2011, the project also plans to deliver a prototype rapid and low-cost DNA-based screening system.

Social Behavioral Threat Analysis Thrust Area – Improves the detection, analysis, and understanding of threats posed by individuals, groups, and radical movements using theory and data from the social and behavioral sciences. The thrust area conducts research addressing the psychological, social, and economic impacts of catastrophic events to inform risk analyses, risk communications, community and individual preparedness, response, resiliency, and recovery efforts. Programs within this thrust area include: Community Preparedness and Resilience; Motivation and Intent; and Suspicious Behavior Detection.

Community Preparedness and Resilience Program – FY 2010: \$1.200 million; FY 2011 estimate: \$0.830 million. Conducts analytical research to enhance the ability of the public and government to support communities in preparing for, responding to, and recovering from catastrophic events. The program includes the following projects: Enhancing Public Response and Community Resilience; Quantitative Psychosocial Impacts Index; Resilient Social Networks; and Risk Perception, Public Trust and Communication.

Enhancing Public Response and Community Resilience Project – Makes empirically based recommendations about prioritizing and addressing public needs using data generated during hurricanes Katrina and Rita. The project will capture and communicate

lessons learned to enhance Federal, State, and local responses to future catastrophic events. In FY 2009, the project provided a report detailing a temporal analysis of needs for shelter, food, and disaster relief requested by callers to the Texas 2-1-1 System. In FY 2010, the project will report on a geospatial analysis of needs for shelter, food, disaster relief, and other services. This analysis will enable First Responders and response planners to anticipate assistance needs during hurricanes and other catastrophic events and more accurately plan for resource requirements and evacuation strategies. In FY 2011, the project plans to deliver a validated template for national 2-1-1 call systems to standardize preparedness, response planning, and delivery of emergency services and information immediately before, during, and after catastrophic events.

Quantitative Psychosocial Impacts Index Project – Produces a quantitative index of the direct and indirect psychological, social, and economic impacts of catastrophic events. A valid quantitative index will improve DHS risk and cost assessments and will help DHS prioritize its preparedness, response and recovery activities. Starting in FY 2010, this project will begin research on the social and behavioral science theory and data needed to model human reactions to disasters and construct a valid index. In FY 2011, this project plans to conduct research to identify indicators related to social disruption and develop a method for testing these indicators using case studies of past events.

Resilient Social Networks Project – Examines the application of social network analysis to the identification and strengthening of local social networks within and across the public and private sectors to improve collaboration, planning, response, and recovery at the community level. In FY 2009, the National Research Council (NRC) delivered a report on the state-of-the-art in social network analysis and its applicability to community resilience. In 2010, the NRC will complete a report highlighting research opportunities and methodologies to enhance public and private sector collaboration to strengthen community resilience against natural and man-made disasters. Funding for this project ends in FY 2010.

Motivation and Intent (M&I) Program – FY 2010: \$2.015 million; FY 2011 estimate: \$1.715 million. Leverages social and behavioral science research, data, and theory to understand the determinants and timing of group conversions to terrorism and the intent to engage in violence. Knowledge from this program informs analytical, operational, and policy concerns related to terrorists and terrorist activities. The program plans to model likely scenarios for the rise, fall, and activities of groups engaged in violence.

Violent Intent Modeling and Simulation (VIMS) Project – Develops tools to assist analysts in determining whether radical groups are likely to engage in political violence. This project builds models and data retrieval systems that will allow analysts to understand how behavioral, social, and organizational factors may contribute to and predict the emergence of violence. In FY 2009, the project verified modeling capabilities; identified reliable data sources for the various VIMS components; assessed analysts needs; and evaluated information extraction and content analysis tools for integration into VIMS. In FY 2010, the project will update VIMS 2.0 to increase user friendliness, better integrate social-science theory and data into the analysis, and will

evaluate additional capacities, like agent-based models, that might improve analysis. In FY 2011, the project plans to begin evaluating the information extraction and content analysis tool for integration into the analytical framework of VIMS.

Suspicious Behavior Detection Program – FY 2010: \$6.365 million; FY 2011 estimate: \$4.010 million. Builds the capability to non-invasively detect suspicious behavior that indicates the intent to cause harm. This program's activities support DHS's operational screening and interviewing missions.

Hostile Intent Detection-Automated Prototype Project – Develops a real-time, non-invasive, multi-modal, and culturally independent, hostile-intent detection prototype to identify unknown or potential terrorists through an interactive process with 75 percent accuracy. In FY 2009, the S&T Directorate demonstrated real-time automated detection of hostile intent in a laboratory setting and transitioned expanded multi-cultural behavioral indicators of hostile intent to TSA. In FY 2010, the project will demonstrate integrated multi-cultural, real-time intent detection. In FY 2011, the project plans to transition multi-culturally validated intent indicators for the Hostile Intent Detection Automated Prototype.

Insider Threat Detection Project – Delivers improved tools to identify behavior patterns and characteristics before, during, and after employment that are associated with insider threats. Starting in FY 2009, this project collaborated with other U.S. agencies and international partners to leverage their work and develop a greater capacity to deter and detect insider threats before the individual can do substantial harm. In FY 2009, the project also launched a market survey of existing insider countermeasure technologies and related behavior research, and developed a program plan to include addressing privacy and legal issues. In FY 2010, the project will assemble enabling data including research, training and testing sets; develop metrics to measure tools and provide linkages to standard threat measurements; and identify behavioral indicators. In FY 2011, the project plans to begin operational testing of an empirical framework. Ultimately, this project will pilot and transition the insider-threat detection tools to critical industrial bases, DHS, and other government agencies.

Intent Training and Simulation Project – Develops a computer-based simulation to train behavior-based, standoff detection of hostile intent in support of screening and interviewing interactions at air, land, and maritime portals. It will leverage the interactive and observational behavioral indicators, as analyzed in the Hostile Intent Detection – Automated Prototype and Validation of SPOT projects, respectively. In FY 2009, the project demonstrated and tested a courseware prototype and transitioned a validated simulation product to TSA. In FY 2010, the project will transition validated cross-cultural upgrades to the classroom and simulation-based training. FY 2010 is the final year of funding for this project.

Validation of SPOT Project – Provides multi-cultural validation of behavioral indicators employed by DHS' operational components to screen passengers at air, land, and maritime ports, including those indicators contained within TSA's SPOT. This effort

complements the automated prototype work and supports development of an enhanced capability to detect behavioral indicators of hostile intent at a distance. The project will integrate these validated behavioral indicators into the screening concept of operations through each component's existing training programs. In FY 2009, this project established protocols for collecting multi-cultural research data and transitioned validated multi-cultural indicators of hostile intent. In FY 2010, the project will insert multi-cultural indicators into the Intent Training and Simulation project and demonstrate a mobile, collaborative collection and reporting tool. In FY 2011, the project plans to develop the final report and transition the optimized indicators and weights to DHS operational screening commands.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Infrastructure and Geophysical
Program Performance Justification**
(Dollars in Thousands)

PPA: Infrastructure and Geophysical

	Perm. Pos	FTE	Amount
2009 Actual	-	-	65,448
2010 Enacted	-	-	74,958
2011 Adjustments-to-Base	-	-	270
2011 Current Services	-	-	75,228
2011 Program Change	-	-	(39,106)
2011 Total President's Budget	-	-	36,122
Total Change 2010 to 2011	-	-	(38,836)

The Science and Technology (S&T) Directorate requests \$36.122 million for the Infrastructure and Geophysical Division; of this amount, \$0.903 million supports the Small Business Innovation Research (SBIR) program. The \$38.836 million decrease in FY 2011 reflects a program reduction of \$8.297 million and a nonrecur of \$30.539 million for the Southeast Regional Research Initiative (SERRI) and Community Based Critical Infrastructure Protection Institute. The program decrease reduces S&T's ability to address capability gaps identified by the Federal Emergency Management Agency (FEMA) and other customers representing first responders. The decrease also affects Advanced Materials Design, which is currently working to develop materials with enhanced blast-resistant properties to protect buildings and other critical infrastructure and key resources (CIKR). The S&T Directorate will continue to conduct basic research and develop effective and efficient technologies to support Infrastructure Protection and Incident Management.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Infrastructure and Geophysical Division's (IGD) mission is to improve the Nation's preparedness for and response to natural and man-made threats through superior situational awareness, enhanced emergency response capabilities, and critical infrastructure protection. The Division develops technical solutions and reach-back capabilities to improve Federal, State, local, tribal, territorial, and private sector preparedness for and response to all-hazards events that affect both the U.S. population and critical infrastructure. IGD also develops modeling, simulation, and analysis (MSA) capabilities for communities, regions, and the

Nation, so that they can protect critical infrastructure and key resources. These MSA capabilities examine interdependencies between sectors; determine how various scenarios will affect each sector; provide decision support tools to guide decision makers in identifying gaps and vulnerabilities; and develop predictive tools and methods to aid in preparing for and responding to various catastrophes. The primary Federal customers for IGD are the National Protection and Programs Directorate (NPPD), which includes the Office of Infrastructure Protection (IP), and the Federal Emergency Management Agency (FEMA), which represent end-users such as first responders, critical infrastructure owners and operators, and Federal, State, and local emergency managers.

Successful transition of the technologies managed by this Division will improve Department of Homeland Security (DHS) components' performance and support the Department's Strategic goals.

IGD carries out its activities through three thrust areas: Critical Infrastructure Protection, Preparedness and Response, and Geophysical.

Critical Infrastructure Protection (CIP) Thrust Area – Conducts research and development (R&D) activities on the 18 Critical Infrastructure/Key Resource (CIKR) Sectors identified in the *National Infrastructure Protection Plan* (NIPP). This meets IP's requirements, as well as those set forth by Homeland Security Presidential Directive 7 (HSPD-7), *Critical Infrastructure Identification, Prioritization, and Protection*. The NIPP provides the overarching approach for integrating the Nation's many CIKR protection initiatives into a single national effort. The CIKR sectors identified by HSPD-7 and the NIPP are: Agriculture and Food; Banking and Finance; Communications; Chemical; Commercial Facilities; Critical Manufacturing; Dams; the Defense Industrial Base; Emergency Services; Energy; Government Facilities; Information Technology; National Monuments and Icons; Nuclear Reactors, Materials, and Waste; Postal and Shipping; Public Health and Healthcare; Transportation Systems; and Drinking Water and Water Treatment Systems.

Advanced Surveillance and Detection Systems Program – FY 2010: \$5.138 million; FY 2011 estimate: \$5.103 million. Conducts R&D on the surveillance technology for 18 CIKR sectors identified in the NIPP and HSPD-7. The program addresses IP's requirements by automating and increasing the fidelity of tasks currently performed by operators, allowing for detection of subtle changes against a background environment, and incorporating advanced sensors, such as optical, infrared, ultraviolet, and acoustic. The program provides advanced, automated, affordable technologies for monitoring, surveillance, and detection that improve the ability of infrastructure owners and operators to monitor their infrastructure assets efficiently and effectively. The program may also integrate affordable, effective chemical and biological detection equipment into critical infrastructure as appropriate.

Advanced Surveillance Systems Project – Develops advanced surveillance technologies for critical infrastructure to detect intrusion, casing, and other physical disruption. The project will focus on reducing work force requirements by replacing operator-dependent

monitoring of large numbers of cameras with systems that incorporate advanced algorithms to provide high-fidelity anomaly and change detection. The project will design systems to interpret information from multiple surveillance modes (such as closed-circuit television cameras, infrared cameras, intrusion detection alarms, acoustic sensors) and provide actionable information to infrastructure operators. In FY 2009, the project analyzed surveillance architectures for two CIKR sectors – Dams and National Monuments and Icons – to assess currently deployed technologies, constraints presented by different operational environments, and opportunities to integrate existing technologies, and to identify areas where future research and development could benefit CIKR owners and operators. In FY 2010, the project will further develop system components for practical use at a chosen infrastructure site and demonstrate advanced surveillance technology. In FY 2011, the project plans to continue to conduct research on key sensors and algorithms to support advanced surveillance.

CIP Advanced Requirements Development and Studies – Engages critical infrastructure Sectors and Sector Specific Agencies (SSAs) in IP, regional consortiums, and owner/operators to assess the current state-of-the-art and establish requirements to develop advanced technologies within this program. This project teams customers with experts to develop those requirements and enables them to identify any existing innovative capabilities that will meet the customers' needs. These investments, at the early stages of technology acquisition, improve chances of project success and increase project efficiency. In 2010, this project will initiate the application of surveillance data-aggregation tools and other leading-edge technologies; this will quickly integrate surveillance systems with change and anomaly-detection, information-management systems to improve multi-jurisdictional coordination. Funding ends in FY 2010.

Underwater Surveillance – Dams and Tunnels Project – Provides advanced, automated, affordable underwater monitoring and surveillance technologies to detect underwater threats against dams and tunnels. Since these structures are particularly vulnerable to a water-borne attack, detecting suspicious activity is critical to asset protection. These technologies must be capable of operating in harsh environments for extended periods, and be both seamlessly and transparently integrated into existing infrastructure security operations. In FY 2009, the project identified, prioritized, and selected potential solutions for underwater surveillance, based on cost, performance, and integration. In FY 2010, the project will adapt identified technologies to specific requirements for underwater infrastructure. In FY 2011, the project plans to complete a final report on bubble jetting with final recommendations for underwater surveillance standoff.

Underwater Surveillance Project – Conducts basic research to support the Underwater Surveillance - Dams and Tunnels project. It will study bubble jetting resulting from underwater explosions and its impact on vertical structures (such as dam spillway gates and navigation locks), and then determine appropriate standoff distances for submerged targets, thus defining which areas require surveillance. The lack of fundamental knowledge of underwater blast effects currently limits researchers' ability to define parameters for effective underwater surveillance. This research will have the added benefit of informing effective design of blast mitigation measures for underwater targets.

In FY 2009, the project evaluated numerical codes that simulate underwater blasts and conducted scaled testing of underwater blasts. In FY 2010, the project will conduct large-scale physical testing to describe bubble jetting and inform numerical codes. In FY 2011, the project plans to continue developing an understanding of forces and systematic approaches for rapidly repairing gates/dams/locks fighting against high headwater flows.

Community Based Critical Infrastructure Protection Institute Program – FY 2010: \$9.894 million; FY 2011 estimate: \$0.000 million. Supports university and private industry partnerships to develop community-based homeland security technologies and mature them so that they can become commercially viable. Projects in this program are diverse and include capabilities for continuous monitoring of beef cattle; monitoring and securing milk from farm to processor; advances in less expensive biometrics for iris and handprint imaging; and development of affordable nano-materials for blast mitigation.

Modeling, Simulation, and Analysis Program – FY 2010: \$3.293 million; FY 2011 estimate: \$3.200 million. Develops modeling, simulation, and analysis capabilities to improve decision makers' ability to evaluate threats to CIKR and changes to risks, including interdependencies. This capability will help public service and private industry policy and decision makers, owners/operators, planners, and responders understand the consequences of policy and investment options before they enact solutions, and while they provide support during crises. The program will enable:

- Rapid examination of interdependencies;
- Trade-offs between risk reduction benefits and protective action costs;
- Incorporation of threat information;
- Vulnerability assessments; and
- Understanding of disruption consequences (including cascading effects).

Complex Event Modeling, Simulation, and Analysis Project (CEMSA) – Examines the interdependencies, cascading effects, and the dynamics of multi-event and multi-vector attacks. This effort will provide significant improvements in timelines, quality, and usability of information to provide decision makers real-time information to make informed decisions during an event. The project leverages the capabilities developed for Critical Infrastructure Protection Decision Support System (CIPDSS) and sector-specific MSA. In FY 2009, the program continued to develop CEMSA based on the architecture design started in FY 2008, updated databases, and focused on the systems-level design and interfaces of the technology. In FY 2010, the project will conduct proof-of-concept and feasibility test of the critical infrastructure protection analytical capability. In FY 2011, the project plans to continue this effort, working towards demonstrating the capability to analyze interdependencies and cascading effects.

The National Critical Infrastructure Protection R&D Plan Program – FY 2010: \$0.706 million; FY 2011 estimate: \$0.635 million. The S&T Directorate prepares an annual update to the *National Critical Infrastructure Protection Research and Development Plan* (NCIP R&D Plan), as required by HSPD-7. This plan supports the implementation of the *National Infrastructure Protection Plan* (NIPP), and by corollary, the supporting Sector Specific Plans (SSPs), the Sector Annual Reports, and the National Annual Report

(NAR) in collaboration with IP. The NIPP, the SSPs, the NAR, and the NCIP R&D Plan integrate near-term (i.e. NIPP), mid-term (i.e., SSPs), and long-term (i.e. NCIP R&D) research objectives to form a coordinated approach to technology development to meet sector infrastructure protection goals and work toward a national vision of a secure homeland. In FY 2010 and FY 2011, the program will continue to update the plan based on advances in technology. All these activities will be closely coordinated with the NPPD, the SSAs (as designated by HSPD-7), private industry through the NIPP Coordinating Council System, and all other agencies involved in funding R&D relevant to CIP, including international technical collaboration through the agreements established by the S&T Directorate.

Protective Technologies Program – FY 2010: \$11.741 million; FY 2011 estimate: \$7.914 million. Conducts research on sector-specific and region-specific needs identified by IP or requested from CIKR SSAs, as designated by HSPD-7 and the NIPP. The primary customer for these technologies is IP, although end-users may include the SSAs, State and local governments, and, in some cases, the private sector. The program is developing revolutionary capabilities to protect the Nation's most vital critical infrastructure against blast loads and blast effects, such as shrapnel, flying debris fragments, and fire. The program will enable infrastructure owners and operators to implement effective, affordable, and reliable materials, design procedures, and innovative construction methods to reduce the risk to critical infrastructure assets. The following projects support this program.

Blast/Projectile – Advanced Materials Design Project – Conducts basic research in conjunction with existing Federal investments in nanotechnology and other material-science efforts to develop extremely strong, lightweight, resilient materials. These advanced materials will enable more effective and affordable hardening and increase the resiliency of assets deemed most vital to the safety, economy, and security of the Nation, for both existing infrastructure and new construction. The project will also develop design procedures for using these materials, as well as innovative construction methods. In FY 2009, this project identified and surveyed existing materials to consider the appropriate scale of materials and the appropriate types of numerical analysis codes needed to model these materials at the molecular level. In FY 2010, the project will report on the advanced materials in critical infrastructure protection. Additionally, the project plans to accelerate efforts to identify novel materials for a wide variety of blast protection applications. The project will also continue numerical modeling of material properties and begin development of materials to meet requirements for blast resistance. In FY 2011, the project plans to continue to conduct numerical modeling of material properties.

Blast/Projectile – Protective Measures and Design Tools Project – Provides enhanced and additional protective measures along with design guidance for protecting the Nation's most critical infrastructure assets. The project builds on the basic research conducted through FY 2008. Protective measures could include mechanisms to reduce blast effects, rapid mitigation and restoration technologies, and other defensive measures. In addition, the project plans to numerically analyze designs against blast and projectile

threats and to conduct physical demonstrations to assess their effectiveness. This work will mature and expand existing protective measures by making them less expensive, easier to apply, and more effective, and will develop entirely new materials and design concepts for additional classes of infrastructure. In FY 2009, the project evaluated and matured protective measures for tunnels and began development of protective measures for additional classes of vital critical infrastructure such as bridges, dams, and other classes of CIKR identified by IP. Additionally in FY 2009, the project demonstrated and conducted field experiments of existing and new prototype protection measures for tunnels and bridges. In FY 2010, the project will continue to develop and conduct demonstrations of protective measures and create design guidance for blast protection of high-value assets. In FY 2011, the project plans to analyze and demonstrate additional protective measures for high-value assets.

Blast/Projectile – Unified Blast Analysis Tool Project – Develops computational models to assess vulnerability to blast and projectiles and evaluates designs of protective measures for key infrastructure assets. The project will establish a suite of tools that provides accurate, efficient analysis, and models of diverse classes of infrastructure including tunnels, bridges, dams, and complex urban environments. These tools will enable infrastructure owners and operators to efficiently analyze vulnerabilities and inform implementation of affordable, reliable protective measures against blast and projectile threats. In FY 2009, the project began developing improved computational models for blast effects on tunnels, bridges, dams, and urban environments, and conducted experiments to validate the numerical predictions. In FY 2010, the project will continue developing the computational models initiated in FY 2009 and demonstrate a first-generation, fast-running blast analysis tool. In FY 2011, the project plans to demonstrate the second-generation blast/projectile analysis tool for infrastructure protection and transition it to IP.

Response and Recovery Technologies Program – FY 2010: \$5.854 million; FY 2011 estimate: \$3.701 million. Provides automated response and rapid recovery technologies for the Nation's most vital infrastructure assets and their long-lead time components. Activities will focus on infrastructure types with previously unidentified effective, affordable protective measures. The technologies developed in this program will provide all-hazards infrastructure resilience against multiple natural and manufactured threats. Many infrastructure assets need these capabilities to prevent and limit structural failure, and maximize life safety; these measures also add to a layered defense system, further reducing risk. The following projects support this program.

Rapid Mitigation and Recovery Project – Basic Research – Develops rapid mitigation and recovery technologies intended to limit damage and consequences for CIKR and to enable the resumption of normal operations quickly after facing a threat. The basic research portion of this project concentrates on longer-term needs and investigates failure mechanisms, damage limitations, and solutions for rapid restoration of service for critical infrastructure such as bridges, tunnels, and dams. The project's current focus is dams built with both concrete and embankment sections. Better analysis of interactions at soil/water/concrete junctions is critical for understanding potential failure modes and determining whether current embankment construction methods provide adequate

resiliency for high-consequence dams. In FY 2009, the project conducted numerical modeling to explore whether the current zoned regions of certain embankments are capable of preventing catastrophic internal erosion through cracks potentially induced by an IED attack or natural hazards. In FY 2010, the project will conduct additional numerical modeling and scaled physical experiments. In FY 2011, the project plans to continue systematic approaches for rapidly repairing gates/dams/locks fighting against high headwater flows.

Rapid Mitigation and Recovery Project – Transition – Develops rapid mitigation and recovery technologies intended to limit damage and consequences for CIKR and to enable the resumption of normal operations quickly after facing a threat. The transition portion focuses on IP’s high-priority need for technologies to reduce the effect of natural and manmade disruptions quickly preventing cascading effects specifically related to the release of Toxic Inhalation Hazard (TIH) materials from rail tank cars and stationary storage tanks. Specifically, the project will identify, develop, and assess threat-mitigation technologies and/or procedures that will reduce or eliminate the release of TIH products from intentionally assaulted rail tank cars and stationary storage tanks. The project will investigate the damage caused by 0.50 caliber armor-piercing rounds and small IEDs. In FY 2009, the project focused on rail tank cars carrying chlorine. In FY 2010, the project will address stationary storage tanks, additional TIH chemicals, and additional threat scenarios. In FY 2011, the project plans to develop and demonstrate technologies that provide protection, detection, and/or mitigation for rail transport of stationary storage of toxic materials.

Recovery Transformer Project – Collaborates with IP and DOE to specify, design, build, and demonstrate a new type of electrical power transformer for use during recovery from emergency grid blackouts. The recovery transformer will be easy to transport and install, and have low maintenance requirements and a long service life. This capability will eliminate the two-year lag in transformer replacement and will increase the resiliency of the power grid. In FY 2009, the project focused on the systems engineering and requirements analysis and completed the draft design of a prototype transformer. In FY 2010, the project will complete the final design for the prototype recovery transformer and begin manufacturing. In FY 2011, the project plans to demonstrate the recovery transformer in laboratory environment.

Geophysical Thrust Area – FY 2010: \$20.645 million; FY 2011 estimate: \$0.000 million. Develops technologies and systems to address the geophysical phenomena that affect the Nation, i.e., hurricanes, flooding, earthquakes. The thrust area includes the Southeast Regional Research Initiative (SERRI) program, which assists State, local, and tribal leaders within the Southeast Region in developing tools and methods required to anticipate and forestall terrorist events and to enhance disaster response. SERRI project areas for FY 2010 will address identified DHS/FEMA requirements and capability gaps. Funding ends in FY 2010.

Preparedness and Response (P&R) Thrust Area – Develops and deploys capabilities that improve the Nation’s ability to prepare for, respond to, and recover from all-hazards emergencies. P&R applies science and technology to the safety and security of our

emergency responders and homeland security professionals so they can perform their jobs – saving lives, minimizing damage, and restoring critical services. All programs will comply with the National Incident Management System (NIMS), the National Response Framework (NRF), – previously known as the National Response Plan – and all HSPDs that enable government, private sector, and nongovernmental organizations to work together during domestic incidents of all sizes.

First Responder Technologies Program – FY 2010: \$5.916 million; FY 2011 estimate: \$5.049 million. Develops advanced life-saving technologies to track, locate, monitor, and protect first responders, emergency managers, and incident commanders as they respond to all-hazard incidents. The S&T Directorate will test and evaluate the mission-critical technologies developed by this program before they become part of any acquisition programs. The following projects support this program.

Geospatial Location Accountability and Navigation System for Emergency Responders (GLANSER) Project – Develops an advanced first responder locating system that includes integrated sensor components and software for visualizing locations and tracks for incident commanders. The technology uses building diagrams, floor maps, and office/apartment location, and securely connects to emergency operations centers (EOCs). This system will enable incident commanders and decisions makers to visually track responders to enhance overall situational awareness. The project plans to develop a system that will improve accuracy and signal penetration through massive structures (i.e., underground, over ground): conduct testing in major urban areas; and demonstrate key 3D-locator prototype sub-components to track first responders within an accuracy of less than three meters. In FY 2009, the project built upon the proof-of-concept system tests and awarded two contracts to solve the remaining technology requirements (signal penetration through difficult structures, improved accuracy to one meter above and below ground), mature the system, and transition it into an operational product. In FY 2010, the project will develop the system prototype and deliver an initial set of locators for field-testing at several locations across the Nation. In FY 2011, the project plans to demonstrate a 3D locator sensor with an accuracy of one meter and develop a detailed visualization component.

Physiological Health Assessment Sensor for Emergency Responders (PHASER) Project – Develops an integrated sensor package that will monitor a responder's vital signs such as cardiac rhythm, heart rate, blood pressure, body temperature, and oxygen saturation, which could indicate Pre-Ventricular Contractions (PVCs) or cardiac arrhythmias. First responders need a highly reliable metric and notification system for on-scene identification of firefighters who are about to experience a heart attack or other life-threatening condition. This project plans to fuse these measurements to establish the physical health of the responder and warn both the wearer and command staff of life-threatening physiological conditions. In FY 2009, the project established system requirements through interaction with FEMA's U.S. Fire Administration (USFA) and other end-users across the Nation and issued a BAA to solicit proposals for the development of a PHASER system. The project also demonstrated a concept prototype to validate system requirements, architecture, and concept of operations (CONOPS). In

FY 2010, the project will develop two models (engineering and brass board) to conduct system tests at several test facilities to verify design and performance. In FY 2011, the project plans to adjust its focus and aggressively conduct further basic research to develop a better understanding of the science that would underlie a successful physiological monitor.

Geospatial Analysis Program – FY 2010: \$0.000 million; FY 2011 estimate: \$0.384 million. Develops the tools to predict seismic activity using data acquired from satellites, as well as unmanned and manned aerial sensor platforms. For example, a new technique called radar interferometry (InSAR) has the potential to produce detailed maps of the warping of the Earth's surface during the earthquake cycle. The data obtained has a spatial resolution of a few tens of meters and at a precision of a few millimeters.

Seismic Activity Detection Data Collection and Analysis Project – Develops the data sources to support design and development of models that provide earlier prediction of seismic activity than is currently available from ground-based seismic monitoring systems. In 2011, the project plans to collect and evaluate requests for information for a Geospatial Analysis program to explore the use of overhead sensor data to provide early warning of seismic activity.

Seismic Alert and Warning Project – Integrates the modeling predictive capabilities with emergency management alert and warning systems, planning capabilities, and training and exercise programs. In 2011, the project plans to lay the groundwork to develop seismic warning models that integrate overhead sensor data into emergency management planning tools to provide better predictions of earthquake consequences.

Incident Management Enterprise Program – FY 2010: \$5.924 million; FY 2011 estimate: \$6.233 million. Develops advanced, scalable, interoperable, and non-proprietary incident information-management, decision-making, and training tools for emergency responders and incident commanders to use in a variety of contexts, including everyday episodes and events of national significance that increasingly demand highly coordinated responses. Managing incidents comprehensively and transparently across the government and with various agencies is paramount to first responders' ability to prepare, protect, and respond to all-hazard incidents. The program includes developing critical logistics and resource tracking systems for restoring services, replenishing critical infrastructure, and helping disaster victims in a timely fashion. The logistics systems will provide total asset visibility to incident responders and commanders and will help manage the entire logistics supply chain – from inventory management to distribution and verification of supply disbursements. The following projects support this program.

Advanced Incident Management Enterprise System (AIMES) Project – Develops the next-generation incident-management enterprise system. It builds upon the UICDS architecture and TELL framework by providing an integrated, interoperable, and unified common operating picture with total visibility into incident information; resources; environment; logistics supply chain; response and recovery plans; methods; tactics; and policies. AIMES will integrate all elements of the incident management enterprise in

order to provide a secure, scalable, interoperable, and unified situational awareness to the responder community. In FY 2009, the project sponsored a series of workshops with FEMA and end-users in the emergency response communities to establish overall system requirements for AIMES. The project also completed an execution plan and developed a system concept prototype to establish a high-level architecture for AIMES demonstrating its functionality, as well as validating and prioritizing requirements. In FY 2010, the project will design, develop, and test an AIMES prototype enterprise framework. In FY 2011, the project plans to integrate logistics functions and modeling tools into AIMES.

Incident Logistics and Resource Tracking System Project – Provides a comprehensive and transparent disaster logistics enterprise across all disaster response, including public and private partners. Past incidents, such as Hurricane Katrina, highlighted the need for an integrated logistics capability to provide relief supplies to victims in a timely manner. This capability will provide decision makers overall situational awareness for timely procurement and disbursement of public and private material inventories, locations of resources, and supplies to respond to an emergency. The tracking system will allow FEMA to manage critical resources more effectively and will enhance real-time coordination and situational awareness. This capability will be scalable and interoperable with Federal, State, and local systems (legacy and future) to enable efficient use of the supply chain. In FY 2009, the project developed a prioritized list of FEMA logistics system requirements, established a program execution plan, and developed a functional logistics system prototype. In FY 2010, the project will develop the logistics system and begin integration into FEMA's Total Asset Visibility (TAV) capability. In FY 2011, the project plans to complete user testing of the first prototype system.

Overhead Imagery Data Project – Develops advanced GIScience to support the application of remote sensing, image processing, geographic information systems, digital cartograph, and spatial modeling for disaster management and hazards research. In 2011, the project will collect and evaluate requests for information to integrate overhead imagery data from a variety of collection platforms and sensors into incident management geospatial systems to improve and accelerate disaster impact analysis on facilities, dwellings, and critical infrastructure.

P&R Advanced Requirements Development and Studies Project – Engages emergency response communities at the Federal, State, and local levels to assess the state-of-the-art and establish requirements for the development of advanced technologies within the Incident Management Enterprise Program. This project teams customers with experts to develop those requirements. In addition, experts work with customers to identify any existing innovative capabilities that will meet the customers' needs. These investments at the early stages of technology acquisition improve chances of project success and increase project efficiency. In FY 2009, the project pioneered the application of an interactive virtual environment to integrate disaster information management systems. The project also demonstrated the technology to parts of FEMA and the All Hazards Consortium to inform the CONOPS. In 2010, the project will pilot the use of very high-resolution geospatial data in conjunction with a number of physics-based hazards models to provide emergency managers and incident commanders realistic 3-D virtual

environments that support consequence assessments, training, planning, and after-action reviews. Funding ends in FY 2010.

Training, Exercise & Lessons Learned (TELL) Project – Develops a federated simulation-based training and exercise capability that uses advanced computer models and will allow responders at all levels to affordably train and exercise for large and complex events in a virtual/constructive/live environment. TELL addresses the overarching need of successful implementation of the NIMS and the ability to conduct quick, repeatable, economical, and effective means of training incident commanders so they can better prepare to handle complex incidents. In FY 2009, the project conducted several joint training exercises, using the TELL prototype, across the United States with various first responder communities. The prototype incorporated lessons learned, enhancing the functionality of the system prior to deployment. In FY 2009, the project deployed the TELL architecture at the Seattle and Anaheim regional technology integration (RTI) cities. The project also identified sub-components to migrate to the Simulations Based Incident Planning and Response project. In FY 2010, the project will transition a federated simulation-based training, exercise capability to FEMA, and integrate technology concepts into IMMS/SUMMIT. Funding ends in FY 2010.

Unified Incident Command and Decision Support (UICDS) Project – Develops the UICDS framework based on the NIMS/Incident Command System (ICS) and NRF. It also develops compliant tools to manage and share information that will enhance incident command systems and multi-agency coordination with common situational awareness and decision support during all types of incidents. UICDS will allow multiple responding organizations (using their own equipment) to jointly manage personnel, direct equipment, and seamlessly communicate, gather, store, redistribute, and secure any mission-critical information needed by incident commanders and emergency responders during an emergency situation. In FY 2009, the project completed an advanced concept technology demonstration of the UICDS architecture, published the UICDS standards-based architecture, and integrated this into the DHS Grant Guidance process through the Department's Office of Grants and Training. Using this standards-based architecture will enable incident decision-makers to manage a unified response and share situational awareness with organizations providing support and coordination. In FY 2010, the project will merge into the Advanced Incident Management Enterprise System. Funding ends in FY 2010.

Wild Fire Detection and Prediction Project – Develops the tools to detect, locate, and then predict the magnitude of wild fires to help prevent wildland-urban interface (WUI) fire disasters. In 2011, the project plans to define concept and requirements for improved techniques for the early detection of wild fires in remote locations and the prediction of magnitude and direction of wild fire, if left alone.

Integrated Modeling, Mapping, and Simulation Program – FY 2010: \$2.093 million; FY 2011 estimate: \$3.000 million. Develops and integrates advanced modeling and simulation technologies to support the incident management teams of first responders, commanders, and decision makers to better understand, prepare, and plan for emergency

operations to enhance the quality of response and recovery operations. Specifically, this program plans to conduct R&D in the following three technology areas: advanced models of critical infrastructure; standard integration process and methodology to enable plug and play of legacy and new models; and support for a real-time modeling framework. This program will integrate these technologies in an advanced simulation infrastructure so that first responders can conduct simulation-based planning exercises to economically verify and validate their response plans.

Standard Unified Modeling Mapping Integrated Toolkit (SUMMIT) Project – Provides FEMA analysts, decision makers, policy makers, emergency managers, and infrastructure operators an integrated modeling and simulation capability. This capability effectively, economically, and rapidly verifies and validates response tactics, plans and procedures, and conducts “what-if” incident analyses prior to (preparedness, analysis, training), during and after an incident (operational, lessons learned) scenarios. The project will develop accurate and reliable estimates of hazards from a wide range of natural and terrorist events; analyze and use route mapping to effectively manage transportation assets during mass evacuations or the post-event flow of emergency supplies; and conduct analyses to provide better understanding of possible impacts from natural disasters and terrorist events. This project will leverage results of the TELL project and will follow three tracks: model development, integration framework, and support for conducting planning exercises. The project will use a spiral-development process to insert technology as it matures and to refine requirements and concepts before committing to significant development efforts. In FY 2009, the project conducted workshops with stakeholders from FEMA and the modeling and simulation communities across DHS and other government agencies, universities, and the private sector to identify, capture, and prioritize the simulation model requirements and capabilities. In FY 2009, the program also conducted disaster-planning training scenarios to prepare FEMA decision and policy makers to validate their plans, procedures, tactics, and doctrine. In FY 2010, the project will develop framework specifications for new models. In FY 2011, the project plans to integrate and test modeling technologies for the simulation based-incident planning and response system.

Regional Technology Integration (RTI) Program – FY 2010: \$1.880 million; FY 2011 estimate: \$0.000 million. Facilitates the transition of innovative technologies and organizational concepts to national, regional, State, and local jurisdictions. Cincinnati and Ohio will continue to serve as pilot locations, providing an opportunity for fine-tuning new hardware and processes under real-life conditions and validate technology maturity for transition to other jurisdictions, both large and small. In FY 2010, the program will use lessons learned in Cincinnati to prepare to transition technologies into other urban areas across the country to provide an immediate enhancement in the levels of preparedness and response. The program will complete development of the Resource Typing System and deploy it in Cincinnati, transition a Resource Typing Standard package to the National Preparedness Division within FEMA, and deploy a Virtual Exercise Capability. Funding for this program ends in FY 2010.

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Innovation
Program Performance Justification
(Dollars in Thousands)

PPA: Innovation

	Perm. Pos	FTE	Amount
2009 Actual	-	-	31,527
2010 Enacted	-	-	44,000
2011 Adjustments-to-Base	-	-	216
2011 Current Services	-	-	44,216
2011 Program Change	-	-	(216)
2011 Total President's Budget	-	-	44,000
Total Change 2010 to 2011	-	-	-

The Science and Technology (S&T) Directorate requests \$44.000 million for Innovation activities. Innovation will conduct major demonstrations, and the decrease scales back two new projects in explosives and passive screening detection. Unlike transition research programs that pursue incremental improvement, Innovation projects are high-risk in nature, but if successful, they dramatically increase DHS capabilities in addressing homeland security threats.

CURRENT SERVICES PROGRAM DESCRIPTION

The Office of the Director of Innovation oversees the S&T Directorate's Homeland Security Advanced Research Projects Agency (HSARPA). Established by the *Homeland Security Act of 2002*, HSARPA funds Research and Development (R&D) of homeland security technologies to

“...support basic and applied homeland security research to promote revolutionary changes in technologies that would promote homeland security; advance the development, testing and evaluation, and deployment of critical homeland security technologies; and accelerate the prototyping and deployment of technologies that would address homeland security vulnerabilities.”

The Director of Innovation/HSARPA works closely with the Under Secretary for Science and Technology, the S&T Directorate's divisions, DHS components, industry, academia, and other government agencies to determine topic areas for projects. The Director's many sources of guidance and recommendations include:

- Congressional direction;
- DHS Goals and Priorities as described by the Secretary of Homeland Security;
- Office of Management and Budget (OMB) and Office of Science and Technology Policy (OSTP) Research and Development Budget Priority Guidance;
- Goals set by the Under Secretary for Science and Technology;
- DHS components' input regarding their operational capability gaps; and
- The S&T Directorate's Integrated Product Team (IPT) process.

Innovation focuses on high-risk/high-reward, homeland security R&D that could lead to technology breakthroughs and products that significantly enhance DHS operations. Its efforts are complementary to the S&T Directorate's other programs and projects, pushing scientific limits to address gaps in areas where current technologies and R&D are inadequate or non-existent.

Innovation requires flexibility to adapt its projects that may end abruptly. When projects fail or stop at critical decision points, Innovation may initiate new projects during the execution year or increase funding for existing projects that show promise. Innovation always has projects in reserve that take into consideration the impact of emerging technologies and new opportunities to leverage other Federal programs and activities. Innovation performs program reviews, Under Secretary-level reviews, and other evaluations to determine whether projects should begin, end, transition to another division, or transition products to a customer.

Biometric Detector Project – FY 2010: \$2.000 million; FY 2011 estimate: \$1.500 million. Develops rapid, non-contact, three-dimensional fingerprint scanner technologies that will allow DHS to collect high-quality fingerprints at screening checkpoints with minimum impact on throughput. Currently, the fingerprinting process is slow, and converting contact fingerprints into digitally stored records is time consuming and can require several attempts. Biometric Detector will develop less intrusive technology that produces much higher success rates at capturing fingerprints the first time, with greater detail, consequently increasing speed and accuracy in records matching and identification.

In FY 2009, the project demonstrated prototypes for a single fingerprint scanner and down-selected two for further development. In FY 2010, the project will demonstrate two multi-finger scanners; evaluate fingerprint spoofing; and assess the ability of human fingerprint examiners and computer algorithms to match the new three-dimensional fingerprint data to two-dimensional fingerprint data in existing databases. In FY 2011, the project has two alternatives based on the contactless, multi-finger demonstration results and customers' input. The first alternative is to develop a non-contact scanner for the entire hand, and demonstrate the biometric detector prototypes in the field. The second alternative is to refine the multi-finger prototype into a system ready for transition to DHS customers.

Cell-All Ubiquitous Chem Detect Project – FY 2010: \$2.500 million; FY 2011 estimate: \$3.000 million. Examines proof-of-concept technologies for integrating miniaturized chemical agent detectors into personal devices, such as cellular telephones. Together, individual miniaturized sensing devices can create a widely distributed network for detection, classification, and notification of a chemical release, potentially detecting chemical components of some biological agents. Individual device owners on the network will control the detection and transmission of the data, sensor timing, and global positioning system location information. The goals of this project include significant improvement to chemical and biological detectors' integration, size, cost, power, maintenance, durability, and response characteristics.

In FY 2009, the project developed three first-generation chemical sensing laboratory prototypes. One technology leverages the National Aeronautics and Space Administration's (NASA) nanotechnology expertise to create novel, gas-sensor architectures. NASA's base technology supports environmental sensing in manned space flight and the International Space Station. The second prototype uses porous silicon artificial-detection devices integrated into a common cell phone component. A third effort established a performance baseline for current commercial environmental sensing technologies. Each prototype collected environmental data to establish sensor functionality. In FY 2010, the project will compare and demonstrate prototypes for a multi-phone environment in the laboratory and in the field. If the demonstration results justify further development, the project will then focus on miniaturizing these emerging sensor designs and develop an overall concept of operations (CONOPS) for the new capability. This phase of the program will lay the groundwork for more widely available and adaptable environmental sensing technology for future sensor designs. In FY 2011, the project plans to test the prototypes on an actual telecommunication service provider's network to examine network effects and implement a pilot CONOPS.

Future Attribute Screening Technologies Mobile Module (FASTM2) Project – FY 2010: \$10.000 million; FY 2011 estimate: \$7.000 million. Develops a prototype screening facility containing a suite of real-time, non-invasive sensor technologies to detect behavior indicative of malintent (the intent or desire to cause harm) rapidly, reliably, and remotely. The system will measure both physiological and behavioral signals to make probabilistic assessments of malintent based on sensor outputs and advanced fusion algorithms. Federal, State, and local authorities may use the fully developed FAST system in primary and secondary screening environments to increase the accuracy and validity of people screening at special events, airports, and other secure areas. FAST will measure indicators using culturally independent and non-invasive sensors. FAST will use an ongoing, independent peer review to ensure objectivity and thoroughness in addressing all aspects of the program.

In FY 2009, the project validated and updated the malintent theory. The project also updated the sensors and module environment and incorporated initial elements of data fusion and machine learning to improve screening accuracy through multi-modal sensor architectures (e.g., heart beat, respiration, pore count, etc.). Additionally, the project evaluated the capability to adjust the screening processes automatically to adapt to a

change in threat levels and other changes in the environment (e.g., general tension among passengers when airlines experience major delays). In 2009, the project used human subjects in an approved protocol to demonstrate real-time intent detection at a simulated speaking event.

In FY 2010, the project will identify, integrate, and demonstrate continued advances in physiological and behavioral screening and new sensor technology. The project will optimize performance (e.g., decrease face-to-face time required between a guard and a passenger), upgrade software so it is adaptable to different customers' environments, and demonstrate the effectiveness of the mobile module in laboratory and operational environments (e.g., border crossing, transportation portal). In FY 2011, the project plans to refine the system further to ensure cultural neutrality and evaluate transition options.

Hurricane & Storm Surge Mitigation Project – FY 2010: \$0.000 million; FY 2011 estimate: \$0.000 million. Cancelled to fund higher priority work on Wide Area Surveillance. The S&T Directorate determined that a demonstration would not be feasible in the next two to five years. The project's goal was to develop methods to better understand and accurately predict the behavior of hurricanes to reduce the intensity and/or duration of a hurricane or storm. The goal was not to stop hurricanes, which are a crucial part of nature's cycle, but to mitigate damage to life and property. The project attempted to understand the dynamics of storms as they grow from small, tropical depressions into full hurricanes and identify ways to manipulate variables to reduce the intensity and/or duration of a hurricane or storm before it reaches a point of runaway growth. Possible approaches included aerosol seeding, carbon black aerosol, and upper-ocean cooling. State and local officials would have been able to determine more accurately and quickly which areas to evacuate.

In FY 2009, the project began modeling hurricane life cycles. The project also funded equipment used on National Oceanic Atmospheric Administration (NOAA) aircraft for collecting data in parts of the hurricane that are not yet well understood, such as the eye wall and the transitional layer (400-500 feet above the surface of the water), and that have previously presented challenges in data collection.

Levee Strengthening & Damage Mitigation Project – FY 2010: \$5.000 million; FY 2011 estimate: \$0.500 million. Develops techniques to rapidly seal a breached levee. In September 2008, the project successfully demonstrated the Portable Lightweight Ubiquitous Gasket (PLUG) at a United States Department of Agriculture (USDA) facility in Stillwater, Oklahoma. The PLUG, at quarter scale, greatly impeded the water with a flow rate of nearly 120 cubic feet per second. This demonstration also included a 1) Long Shallow Breach PLUG specifically designed for levees similar to the ones that failed in New Orleans during Hurricane Katrina and 2) Rapid Spillway/Earthen Dam Protection technology that protects earthen sections by minimizing erosion during high water flows. The project's subsequent activities build on these successes.

In FY 2009, the project began developing a CONOPS and a full-scale PLUG. The project also refined the Long Shallow Breach PLUG and Earthen Dam Protection

technologies and designed a PLUG to seal off large sections of flooded areas to allow permanent repairs without having to build a temporary dam to hold back water. In FY 2010, the project will complete a full-scale PLUG and establish a site that can demonstrate its capabilities. This site, expected to allow a water flow rate of up to 1500 cubic feet per second and breaches of up to 40 feet, will support future testing of subsequent PLUG sizes and designs and train operators to deploy them, particularly in severe conditions. The site will also support continued research and technology development to address levees. In FY 2011, the project plans to evaluate transition options for the PLUG after a thorough readiness review.

Tunnel Detect Project – FY 2010: \$0.000 million; FY 2011 estimate: \$0.000 million. Develops detection technologies to locate clandestine underground tunnels used for cross-border illegal activities such as smuggling. Current tunnel detection technologies are almost non-existent, and the few available require experts to operate, significant time to process data, and do not work in all geographical environments. Recognizing there is no single solution, the S&T Directorate is using a multi-modal approach to tunnel detection, relying on several different indicators to detect tunnels.

In FY 2009, the project conducted a demonstration of an Airborne Electromagnetic Gradiometer with Customs and Border Protection (CBP) and Immigration and Customs Enforcement (ICE). The project also conducted a full-scale demonstration of the advanced Ground Penetrating Radar (GPR), a second approach for tunnel detection. This project ends in FY 2009. In FY 2010, the Multi-modal Tunnel Detection project may use GPR as one of the sensors in an integrated tunnel detection system.

Multi-modal Tunnel Detect Project – FY 2010: \$3.500 million; FY 2011 estimate: \$3.000 million. Builds on the original tunnel detection project to develop an integrated, orthogonal approach to detect and characterize cross-border tunnels. No single technology can effectively detect tunnels. Multi-modal Tunnel Detect will combine various sensor modalities (i.e. magnetic, seismic, acoustic, resistive, radio frequency, and other complementary sensor modalities) to develop new border security system technologies for reliable detection of clandestine tunnels for a variety of border environments. This project, a new start in FY 2010, will 1) improve the identification and characterization of geophysical conditions found in areas of greatest interest along the border; 2) uncover technological dependencies with respect to location; and 3) develop prototypes to detect clandestine tunnels.

In FY 2010, the project will model the geological and geophysical characteristics of border areas of greatest interest. The project will survey potential tunnel detection solutions; participate in a joint project with the Department of Defense (DOD) to evaluate the initial three approaches (i.e., passive seismic/acoustic, active seismic, and electromagnetic). The project will also modify the GPR Prototype as a sensor in multi-modal technology and evaluate in-ground commercial fiber optic infrastructure as a potential acoustic sensor. The project will also research using various methods to indirectly indicate the presence of a tunnel via tracking illicit transport methods. In FY

2011, the project plans to develop a suite of integrated sensors and demonstrate prototypes based on its FY 2010 findings.

The S&T Directorate will continue to work with Customs and Border Protection (CBP) and Immigration and Customs Enforcement (ICE). It will continue to rely on the geological expertise of the following: the United States Geological Survey, U.S. Army Corp of Engineers – Engineering Research and Development Center, National Geospatial Agency, Defense Threat Reduction Agency, Defense Advanced Research Projects Agency, Defense Intelligence Agency – Underground Facilities Analysis Center, Sandia National Laboratory, and Los Alamos National Laboratory.

Rapid Liquid Component Detector (MagViz) Project – FY 2010: \$4.000 million; FY 2011 estimate: \$4.000 million. Uses ultra-low field Magnetic Resonance Imaging (MRI) technology to screen baggage for liquid explosives. The goal of MagViz is to improve security and enable the Transportation Security Administration (TSA) to eliminate the 3-1-1 rule. Current airport screening procedures require passengers to put liquids or gels (e.g., certain toiletries and medicines) in containers that are 3.4 ounces or smaller, and pack the containers into one quart-sized, clear plastic, zip-top bag. These “3-1-1 bags” undergo an X-ray inspection and possibly secondary screening using other methods such as visual inspection or trace detection. However, current checkpoint X-ray systems cannot reliably differentiate between threat and benign liquids. MagViz intends to detect liquids in baggage without contact at the same rate as current X-ray machines with minimal impact on passenger throughput.

In FY 2009, the project built a database of liquids through magnetic characterization; developed the theory of ultra-low field MRI to better understand the factors that affect MagViz’s performance; assessed the system’s ability to perform and overcome “clutter” in an operational environment; and demonstrated the capability of the research prototype to inspect to a depth of 10 cm. *R&D Magazine* selected MagViz as a winner of the “47th Annual 2009 R&D 100 Award” recognizing MagViz as one of the most innovative ideas of the year. In FY 2010, the project will continue building the magnetic characterization database of liquids; evaluate the capability of MagViz to detect dangerous semi-solids (e.g., heavy gels, creams) and solids; and demonstrate MagViz’s capability to seamlessly screen segregated liquids (without the 3-1-1 bag constraint) at a depth of 22 cm in a laboratory. The project will also develop and test a Bottled Liquid Scanner (BLS) that uses the MagViz technology. In FY 2011, the project plans to evaluate transition options with TSA, commercialize ultra-low field MRI technology, and extend MagViz’s capabilities to detect liquids inside baggage.

Resilient Electric Grid (REG) Project – FY 2010: \$4.500 million; FY 2011 estimate: \$4.000 million. Demonstrates High-Temperature Superconducting (HTS) technologies for reliable distribution and protection of electrical power. REG will protect critical, electric-power dependent infrastructure (like the Manhattan Financial District) from the cascading effects of a power surge on electrical grids. The existing electric grid is highly susceptible to brown outs and black outs, and current methods for preventing power outages and restoring power often require extraordinary effort and are costly and slow.

Existing technologies and planned mitigations also require a lot of space, which is problematic in dense urban areas. This project will demonstrate key components of a future “micro grid” that will instantaneously reduce power surges and allow for multiple alternative pathways of power delivery, providing resilience against natural disasters and deliberate attacks. Across the country, a resilient electric grid will produce billions of dollars in savings each year in the course of normal operations through gains in efficiencies.

In FY 2009, the project successfully demonstrated the key fault-current limiting capability of a 25-meter HTS cable at Oak Ridge National Laboratory. In FY 2010, the project will conduct additional testing on a 25-meter cable to address heat (alternating current) losses; improve the insulation properties to protect the cable against lightning strikes; and define system requirements for the refrigeration system. The project will also demonstrate a stand-alone fault current limiter (FCL), which is an alternative to the relatively high-risk, inherently fault-current-limiting (IFCL) HTS cable.

The REG project had planned to install the IFCL-HTS cable in the Manhattan, NY grid in FY 2010 and continue testing the cable into FY 2011. However, Consolidated Edison has delayed construction of the targeted substation due to the economic downturn. This delay has allowed Innovation to fund higher priority work in FY 2010 on existing projects, including Levee Strengthening and Damage Mitigation, MagViz, and Multi-modal Tunnel Detect.

The REG project is currently evaluating alternative in-grid test sites to continue its work in FY 2011. The project is also considering extending its research to leverage the Department of Energy’s (DOE) investment in smart grids. This aspect of REG would research security and self-healing aspects and components of the smart grid. Additional research in areas such as microgrids, fault sensing, and advanced materials for solid-state devices can provide added resiliency and security for the grid. In FY 2011, through coordination with DOE, the project plans to develop and demonstrate key security-related components of the smart grid in FY 2011.

Resilient Tunnel Project – FY 2010: \$2.000 million; FY 2011 estimate: \$2.000 million. Develops technologies to address critical vulnerabilities in U.S. transportation tunnels. The project is designing an inflatable tunnel plug to protect mass transit tunnels from fires, smoke, and flooding. Past assessments revealed that terrorists using improvised explosive devices (IEDs) could exploit certain weaknesses to cause catastrophic tunnel failure. The project expands upon the analyses to identify alternative technical solutions to mitigate these vulnerabilities. Washington Metropolitan Area Transit Authority and the Port Authority of New York and New Jersey’s operating requirements drive technical and operational requirements for the plug and subsystem designs.

In FY 2009, the project conducted numerical modeling to optimize plug structure and performance; applied stronger materials to construct new small-scale plugs; and subjected these plugs to pressurized testing in the laboratory to simulate tunnel flooding. Also in FY 2009, the project began design and tests of component subsystems (e.g., inflation

mechanism, packaging, control, and sensing) for a complete Resilient Tunnel system. In FY 2010, the project will conduct a full-scale demonstration of a more advanced, second-generation tunnel plug. The project will re-evaluate the plug design, optimize plug geometry, and generate a final design to develop a plug that can withstand higher pressure. In FY 2011, the project plans to develop and test a small-scale high-pressure plug in the laboratory leading to full-scale development and demonstration in FY 2012.

Safe Container (SAFECON)/Time Recorded Ubiquitous Sensor Technology (TRUST) Project – FY 2010: \$5.000 million; FY 2011 estimate: \$8.000 million. Develops high reliability, high-throughput detection technologies to scan containers entering the country for weapons of mass destruction, explosives, contraband, and human cargo. The project attempts to immediately detect and isolate suspected threat containers while minimizing impact on commerce. SAFECON is a crane-mounted sensor system that detects dangerous cargo in shipping containers during on- and off-loading. SAFECON also looks for sensors and specialized container materials designed to make screening more effective. TRUST is an alternative approach to container screening that takes advantage of the long transit time most shipping containers undergo from their port of origin to the United States. TRUST will sample for chemical, biological, radiological, nuclear, and high yield explosive (CBRNE) threats and human cargo inside the container, without opening the container. SAFECON and TRUST's parallel development will allow each to take advantage of findings from the other.

SAFECON – In FY 2009, the project demonstrated chemical and explosives sensor performance in a laboratory. In FY 2010, the project will construct a test bed at the Transportation Security Laboratory (TSL) to test vendors' proposed technology solutions. This test bed will provide a realistic environment, allowing system tests against CBRNE threats. In addition, the project will conduct a final demonstration of the Remote Vapor Inspection System (RVIS) at the test bed and develop sample collectors for subsequent technologies. In FY 2011, the project plans to demonstrate the sample collectors' capabilities to determine if the project must develop new sensors or can modify existing ones.

In FY 2010, the project will develop a prototype of the TRUST system. In FY 2011, the project plans to test the prototype at sea and evaluate results. Also in FY 2011, the project plans to continue research and development on sensors and sample collectors for TRUST.

Very Low Cost Bio Agent Detect Project – FY 2010: \$2.000 million; FY 2011 estimate: \$4.500 million. Decreases cost and improves performance of near real-time pathogen detection and characterization by eliminating the "consumables" (e.g., buffer, reagents, etc.). The project will conduct comparative experiments between competing approaches; and conduct field pilots within the homeland security community to validate cost and efficiency models.

Currently, all biological detection methods require fluids, and much of the expense comes from the direct costs and care of reagents required in the process. This project, a new

start in FY 2010, will pursue “dry methods” that do not use water or that can take moisture from the air. Further advantages could result from decreasing the size and power consumption of such detectors to support ubiquitous detection with low operation and maintenance costs. In FY 2010, the project will conduct feasibility studies of different approaches in the laboratory. In FY 2011, the project plans to test various methods in the laboratory and down-select approaches for prototype development.

Wide Area Surveillance Project – FY 2010: \$3.500 million; FY 2011 estimate: \$3.500 million. Investigates novel sensors and systems for use in densely populated infrastructure settings and urban landscapes (e.g., airports, train stations, city streets and squares) to provide continuous surveillance of the Nation’s highest priority infrastructure. The effort will adapt and further develop military-grade optical sensors with far greater image resolution than currently available commercially. This project will integrate sensors into a system that must accommodate large data quantities, camera-to-camera handoff, and advanced image recognition. It will provide high-resolution real-time and forensic surveillance of threats posed by individuals, objects, or vehicles.

In FY 2009, the project evaluated the first-generation prototype in a laboratory. The project will demonstrate this prototype at Logan International Airport in Boston, MA in FY 2010. Also in FY 2009, the project began development of a novel optical imager that leverages military aerial surveillance technology to advance the system hardware. The new imager will more than double the previous resolution and may ultimately improve system cost effectiveness due to its use of a large number of inexpensive imagers. In FY 2010, the project will demonstrate this more advanced, second-generation system in the laboratory. The project will also improve tracking of people and vehicles throughout a complex scene by integrating advances in both system hardware and algorithms. In FY 2011, the project plans to demonstrate the integrated system at Logan International Airport.

In addition, cancellation of the Hurricane and Storm Surge Mitigation project has accelerated work in this area. In FY 2010, the project will incorporate infrared features into the system. In FY 2011, the project plans to demonstrate a prototype of the infrared, persistent surveillance system in a laboratory.

New Starts - The projects in this section T & are a sample of over thirty projects that the S cycle-of-New starts may also begin out .Directorate has evaluated as potential new starts .sas existing projects stop at critical decision point

Innovation provides only high-level details for new starts because it addresses known problems with emerging solutions. Specific information is not available until private e to Broadand others propose solutions in respons ,laboratories ,universities ,entities .Agency Announcements

Operationally Deployable Explosives Mitigation Project– FY 2011 estimate: \$1.500 million. Develops new approaches and technologies to mitigate the shrapnel damage The .or suicide bombers/ve andfrom an explosi (and ball bearings ,tacks ,nails ,.g.e)

novel concept is to mitigate the effects of explosives by forcing the shrapnel into the ground to minimize damage to surrounding people and infrastructure

Passive Methods for Precision Behavioral Screening Project– FY 2011 estimate: \$1.500 million. Builds on the FAST program to transform the screening process from active to passive detection so that screening process does not require direct interaction technologies that willThis project will develop techn .between the operator and the subject undetectable ,intrusive-and throughput using non ,automation ,enable increased standoff s intent to'technologies that screen for behavioral and psychological cues of a person n will enable thePassive detectio .commit a harmful act at safe standoff ranges interpretation of physiological and behavioral cues or signatures that the body naturally and does not ;accurate validation of associated documentation/support rapid ;produces ,radio frequency energy ,sscan ,agents asking questions) induced stress-require operator .(.etc ,scans

Tunnel Activity Monitoring Project (Currently Unfunded) – Integrates sensors and covert communication technologies to detect human activity in existing public infrastructure tunnels such as sewer systems. Development of “through-the-wall” sensors and communications systems that use low power but are robust enough to effectively work in a difficult, underground environment with concrete, wire mesh, re-bar, and other features is a significant challenge. The project will also assess technologies to extract and interpret sensor information from the tunnels. Tunnel Activity Monitoring is another approach to securing the borders and complements the Multi-modal Tunnel Detection project, which focuses on detecting the presence of a tunnel.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Laboratory Facilities
Program Performance Justification**
(Dollars in Thousands)

PPA: Laboratory Facilities

	Perm. Pos	FTE	Amount
2009 Actual	121	119	146,083
2010 Enacted	130	130	150,188
2011 Adjustments-to-Base	-	-	(39,334)
2011 Current Services	130	130	110,854
2011 Program Change	-	-	11,146
2011 Total President's Budget	130	130	122,000
Total Change 2010 to 2011	-	-	(28,188)

The Science and Technology (S&T) Directorate requests \$122.000 million for this activity in FY 2011. The program change of \$11.146 million and overall decrease of \$28.188 million reflect increases in infrastructure upgrades at the Transportation Security Laboratory (TSL) and laboratory operations. These changes also reflect the transfer of test and evaluation activities supporting the Transportation Security Agency (TSA) to the Explosives PPA and decreases for Pacific Northwest National Laboratory (PNNL) Capability Replacement Laboratory and the National Bio and Agro-defense Facility (NBAF).

CURRENT SERVICES PROGRAM DESCRIPTION

The Office of National Laboratories (ONL) manages the Laboratory Facilities programs. ONL provides the Nation with a coordinated, enduring core of productive science, technology and engineering laboratories, organizations and institutions, which can provide the knowledge and technology required to secure our homeland.

The *Homeland Security Act of 2002* assigns ONL “the coordination and utilization of the Department of Energy (DOE) national laboratories and other sites under Section 309 in a manner to create a networked laboratory system for the purpose of supporting the missions of the Homeland Security Department”. In addition to oversight of the S&T Directorate’s laboratory operations, ONL coordinates homeland security-related activities and laboratory-directed research conducted within the DOE’s national laboratories.

ONL's internal customers are the S&T Directorate's executing divisions and the Test and Evaluation and Standards division. The primary external Federal customers are the United States Department of Agriculture (USDA), Transportation Security Administration (TSA), and the Federal Bureau of Investigation (FBI). ONL executes three thrust areas: Laboratory Operations, Facilities Construction, and Salaries and Benefits.

Facilities Construction Thrust Area – Oversees the planning, budgeting, and management of laboratory infrastructure construction and upgrade projects. Construction projects provide and maintain research and development (R&D) capabilities to support the missions of the S&T Directorate, the Department, and other government agencies that have interrelated homeland security missions such as USDA, Department of Health and Human Services (HHS), and Department of Defense (DOD). The ONL construction investments include the construction of future laboratories, where a current capability does not exist, and upgrades to extend the life and capabilities of present laboratory facilities.

Infrastructure Upgrades Project – FY 2010: \$5.000 million; FY 2011 estimate: \$20.000 million. Ensures that DHS S&T laboratories do not reach a point where dilapidated infrastructure or the lack of sufficient infrastructure prohibits conducting needed research and development. Capital upgrades are not routine operations and maintenance or expected upkeep but include remodeling, rebuilding, and outfitting space to allow scientists to pursue new capabilities based on customer requirements; and major overhauls of systems (electrical, water/sewage system) to ensure operability, safety, and security. This effort prevents an unmanageable and unaffordable situation where multiple key facilities require upgrades simultaneously.

Infrastructure upgrades will continue into FY 2011 for TSL, where many of the facilities are insufficient to support its changing mission. Infrastructure upgrades address space issues and allow TSL to extend its capabilities beyond aviation to mass transportation. In FY 2010, ONL will construct explosive storage bunkers so TSL can continue to support increasing system development testing requirements. The bunkers will eliminate the need to rent storage space off-site and position TSL for anticipated growth in detection systems validation.

In addition to explosives storage space, capital investment plans at TSL include the following: constructing a new independent testing and evaluation (IT&E) laboratory; renovating and expanding the developmental, test, and evaluation (DT&E) laboratory space; and providing additional office and non-explosive storage space. These upgrades support TSL's current needs and the laboratory's efforts to expand expertise in mass transportation. Currently, the laboratory operates second and third shifts and must rotate equipment among various laboratory cells to conduct testing. Any disruptions in these activities adversely affect testing schedules and technology development for DHS customers. In FY 2011, ONL plans to complete design for TSL upgrades, begin renovating space to increase DT&E space, and begin constructing general-purpose laboratory and administrative space to support the IT&E and DT&E missions.

National Bio and Agro-Defense Facility (NBAF) Construction Project – FY 2010: \$32.000 million; FY 2011 estimate: \$0.000 million. Provides an integrated animal, foreign animal, and zoonotic disease research, development, and testing facility to support the complementary missions of DHS and USDA. NBAF will replace Plum Island Animal Disease Center (PIADC) and provide additional capabilities in state-of-the-art research, development, testing, and evaluation infrastructure, including biosafety level (BSL)-4 capabilities, to conduct research on high-consequence zoonotic (i.e., transmitted from animals to humans) diseases that could be a threat to public health. Increased capabilities allow NBAF to address a broader and more complete spectrum of threats. Research and development at NBAF will address multiple threats/vulnerabilities related to bio- and agro-attacks and improve our understanding of potential agro-terrorism such as employing foreign animal and zoonotic disease pathogens against U.S. targets.

NBAF Facility Space Justification – NBAF will satisfy the requirements identified in Homeland Security Presidential Directives (HSPD) -9 and -10 by providing an integrated facility for studying foreign animal diseases and zoonotic diseases. The existing animal holding, laboratory, training, and support spaces at PIADC are severely limited and present challenges for scientists and building operators. Major limitations exist in the ability to conduct large-animal research trials necessary for assessing and countering emerging threats and developing necessary vaccines. PIADC operations currently cannot conduct certain research activities because the facility does not meet current standards and lacks sufficient space.

NBAF will have approximately 504,000 gross square feet. The overall space is broken out as follows:

Space	GSF
Office/Admin.	35,000
BSL-2*	30,000
BSL-3**	372,000
BSL-4	55,000
Vaccine Prod.	12,000
NBAF	504,000

*BSL-2 includes laboratory and support areas.

**BSL-3 includes laboratory, agriculture threat containment, and training and support areas.

Foot and Mouth Disease (FMD) research requires BSL-3 laboratory space while zoonotic disease research requires BSL-4 laboratory space. Upon completion, NBAF will include BSL-4, large animal and laboratory space for DHS and USDA research that PIADC lacks.

In FY 2009, the project completed the Environmental Impact Statements (EIS) that evaluated the six remaining candidate sites, including Plum Island, to comply with the National Environmental Policy Act. After an extensive three-year site selection process, the S&T Directorate issued a Record of Decision (ROD) selecting the Manhattan, Kansas site for NBAF. Also in FY 2009, ONL began a detailed design of the facility. In FY 2010, the S&T Directorate's appropriation will fund design and site-specific risk assessment studies. In addition, the cost-share funds from the State of Kansas will support site preparation including earthwork, roadways, parking, fencing, and utility distribution.

For FY 2011, the S&T Directorate will request a reprogramming of prior year funds. In FY 2011, the Directorate plans to build the central utility plant (CUP) with the reprogrammed funds in conjunction with matching funds from Kansas.

The FY 2010 Appropriations language (H.R. 2892, Section 535) directs that should the DHS Secretary determine that Plum Island will not be the future site of NBAF, the Secretary will have the General Services Administration (GSA) Administrator sell Plum Island's real and related personal property along with transportation assets supporting PIADC operations through public sale. Proceeds from the sale will be available in an offsetting account of the DHS S&T Directorate's Research, Development, Acquisition, and Operations (RDA&O) to offset site acquisition, NBAF construction, and related costs including due diligence requirements necessary to remediate Plum Island and reimbursement for expenses incurred by GSA. GSA is currently working with DHS to put Plum Island on the market and projects that proceeds from the sale of Plum Island will be available in FY 2012. As part of the sale, DHS plans to include a leaseback agreement so that PIADC can continue operations during NBAF construction and until research functions are transferred to the new NBAF facility.

Pacific Northwest National Laboratory (PNNL), Area 300 Project – FY 2010: \$12.000 million; FY 2011 estimate: \$0.000 million. FY 2010 funding fulfills the S&T Directorate's total commitment to the Capability Replacement Laboratory of \$55.934 million, per the MOA between the S&T Directorate and DOE. The DOE Office of Science manages this project. ONL provides project management oversight and coordination for the construction of this DOE-led project. PNNL currently provides DHS with research and development capabilities in several areas, such as radiological detection and analysis, dosimetry for standards, and information analytics. This research supports the S&T Directorate, National Protection and Programs Directorate (NPPD), Domestic Nuclear Detection Office (DNDO) and Custom and Border Protection (CBP). In FY 2007, ONL supported the joint program's facility design. Construction began in FY 2008. ONL expects PNNL 300 construction completion in FY 2011.

Laboratory Operations Thrust Area – Manages the operations and maintenance of the DHS laboratories and infrastructure. ONL provides the planning, budgeting, and coordination for facilities, infrastructure, operations, and personnel to provide effective support to the S&T Directorate's programs. The DHS laboratories include Chemical Security Analysis Center (CSAC), National Urban Science and Technology Laboratory

formerly Environmental Measurements Laboratory (EML), National Biodefense Analysis and Countermeasures Center (NBACC), PIADC, and TSL.

Chemical Security Analysis Center (CSAC) Project – FY 2010: \$0.510 million; FY 2011 estimate: \$0.520 million. Develops and informs risk assessments related to national chemical defense. CSAC is located at the DOD Edgewood Chemical Biological Center (ECBC) in Aberdeen, MD. CSAC directly supports the S&T Directorate's chemical countermeasures activities in the Chemical and Biological Division and operates in cooperation with the FBI and DOD.

The DOD Sample Receipt Facility (SRF) at ECBC houses CSAC, providing the capability to integrate knowledge across the full chemical threat spectrum. In FY 2009, CSAC commenced full operations. In FY 2009, FY 2010, and FY 2011, operations costs for this facility include rent, security, utilities, and information technology infrastructure.

National Urban Security Technology Laboratory (NUSTL) formerly Environmental Measurements Laboratory (EML) Project – FY 2010: \$1.250 million; FY 2011 estimate: \$2.000 million. Provides testing and evaluation expertise to the S&T Directorate and other DHS components such as DNDO. NUSTL also is the DHS liaison for the deployment of experimental technologies in the New York City metropolitan area. NUSTL is a government-owned, government-operated laboratory located in the Borough of Manhattan in New York City.

In FY 2009, ONL conducted the remaining environmental cleanup to return excess space to GSA and move NUSTL to smaller facilities. The move will reduce rent and operational costs. The laboratory plans to transition into the new offices by the end of FY 2010. GSA requirements for final cleanup include, at a minimum, the final disposal of contaminated materials and removal of fume hoods, large exhaust ducting, furnaces, and other equipment that are legacy from DOE activities. The FY 2009, FY 2010, and FY 2011 operations costs include rent, security, and utilities.

Plum Island Animal Disease Center (PIADC) Project – FY 2010: \$35.880 million; FY 2011 estimate: \$36.675 million. Researches contagious animal diseases (e.g., foot-and-mouth) identified in other countries. PIADC's mission is to develop strategies and vaccines to protect the Nation's animal industries and exports from foreign animal diseases accidentally or deliberately introduced into the United States. DHS and USDA jointly perform the R&D work at PIADC. Both organizations have a research presence, including laboratory employees, but DHS is responsible for the operations and maintenance of the facility. The combined work of both agencies supports the S&T Directorate's agro-terrorism countermeasures programs. Research at the facility occurs in BSL-2, BSL-3, and BSL-3Ag laboratory spaces.

PIADC is located on Plum Island, off the eastern end of Long Island, New York. The Center is a self-sustaining operation, with its own power plant, fuel storage, fire protection, waste disposal, and security systems. The S&T Directorate also provides the only ferry transport to and from the island and is responsible for operating and

maintaining the ferries, docks, and harbor. The S&T Directorate provides the day-to-day operational support, including the operations work force. Major operations costs include security, utilities, and fuel in FY 2009, FY 2010, and FY 2011.

National Biodefense Analysis and Countermeasures Center (NBACC) Operations Project – FY 2010: \$30.002 million; FY 2011 estimate: \$30.302 million. Provides the capability to characterize current and future biological threats, assess their impacts, and inform the development of countermeasures and vaccines. NBACC also conducts bioforensic analysis of evidence from biocrimes and terrorism to support law enforcement's efforts to attribute crimes to the perpetrators. The unique missions of threat characterization and bioforensics enhance the Nation's overall biodefense capabilities. NBACC will closely collaborate with the FBI and other law enforcement agencies.

NBACC is located at Fort Detrick, MD and is part of the National Interagency Biodefense Campus that includes HHS, DOD, and USDA. Construction began in FY 2006, and office and administrative spaces will be ready for occupancy in FY 2010. The S&T Directorate began operating NBACC as a Federally Funded Research and Development Center (FFRDC) in FY 2007. The FFRDC plans, manages, and executes the NBACC research programs and operates the facility. In FY 2009, FY 2010, and FY 2011, operations costs include NBACC management through the FFRDC, security, equipment/furnishings, utilities and site services, fees, and insurance.

Transportation Security Laboratory (TSL) Project – FY 2010: \$15.545 million; FY 2011 estimate: \$13.034 million. Develops civil transportation security technologies, such as explosives and weapons detection systems. TSL is a science and engineering laboratory that develops promising technologies to the point of operational test and evaluation. TSL supports the S&T Directorate's explosives countermeasures programs and TSA.

TSL is located at the Federal Aviation Agency (FAA) William J. Hughes Technical Center in Atlantic City, N.J. The real property and facilities belong to FAA. The FY 2009, FY 2010, and FY 2011, major operations costs include rent, buildings maintenance, utilities, security, and information technology.

Salaries and Benefits Thrust Area – FY 2010: \$18.001 million; FY 2011 estimate: \$19.469 million. Consists of salaries and benefits for non-Headquarters, Federal employees located at the Directorate's laboratories. These employees operate and execute programs at the DHS laboratories.

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Radiological and Nuclear
Program Performance Justification
(Dollars in Thousands)

PPA: Radiological and Nuclear

	Perm. Pos	FTE	Amount
2009 Actual	-	-	-
2010 Enacted	-	-	-
2011 Adjustments-to-Base	-	-	109,000
2011 Current Services	-	-	109,000
2011 Total President's Budget	-	-	109,000
Total Change 2010 to 2011	-	-	109,000

The Science and Technology (S&T) Directorate requests \$109.000 million for the Transformational Research and Development Radiological and Nuclear Division; of this amount, \$2.725 million supports the Small Business Innovation Research (SBIR) program.

The Radiological and Nuclear (rad/nuc) Division identifies, explores, develops, and demonstrates scientific and technological approaches that address gaps in nuclear detection and response and recovery, such as: dramatically improving the performance of nuclear detection components and systems; significantly reducing the operational burden of the rad/nuc detection mission; or responding to and recovering from rad/nuc attacks. Dramatic technological advances include improvements in system or component performance; reduction in acquisition and maintenance cost; and improvement in reliability, reducing operational burden of users in the field. S&T will use the Capstone Integrated Product Team (IPT) process to identify high-priority customer capability gaps.

The Radiological and Nuclear research is being transferred from DNDO to the S&T Directorate to take advantage of economies of scale and the multi-disciplinary research activities within the S&T Directorate. The establishment of DNDO originally collocated the rad/nuc R&D, policy, detection architecture and acquisition activities of DHS addressing the rad/nuc threat to ensure a cohesive alignment of mission and goals. With the transfer, S&T's IPT process offers a mechanism to ensure that the rad/nuc R&D continues to align with the DNDO mission and goals. Bringing all of the fundamental research in DHS together in one component allows for economies of scale that range from the administrative to the scientific research aspects of the program. The benefits of

collaborative research across the S&T Directorate are immediately apparent when considering the basic physics behind rad/nuc detection. There are many similarities in the technologies used to identify chemical, explosive, and rad/nuc threat materials among other commonalities. Bringing these research programs together creates a more cross-disciplinary environment for the basic research and transition components of all the programs. It also creates a synergy between all sensor-developing activities, which eventually will all need to operate in the same environment if not the same device. The alignment of the customer mission, coupled with the efficiencies achieved by transferring the R&D to the S&T Directorate and the new opportunities afforded through multi-disciplinary research activities provide an opportunity to create a more effective rad/nuc R&D program within the S&T Directorate.

CURRENT SERVICES PROGRAM DESCRIPTION

The Radiological and Nuclear (rad/nuc) Division identifies, explores, develops, and demonstrates scientific and technological approaches that address gaps in nuclear detection, response, and recovery, such as: dramatically improving the performance of nuclear detection components and systems; significantly reducing the operational burden of the rad/nuc detection mission; or responding to and recovering from large-scale rad/nuc attacks. Dramatic technological advances include improvements in system or component performance; reduction in acquisition and maintenance cost; and improvement in reliability, reducing operational burden of users in the field. The Capstone Integrated Product Team (IPT) process identifies high-priority customer capability gaps in close cooperation with the Domestic Nuclear Detection Office (DNDO).

The S&T Directorate addresses Homeland Security Presidential Directive (HSPD): HSPD-14, *Domestic Nuclear Detection*, which provides a comprehensive framework for our Nation's nuclear defense and charges DHS to continue to advance nuclear and radiological detection through an R&D program in rad/nuc detection, response, and recovery technologies. This effort includes four major program areas: Advanced Technology Demonstrations, Response and Recovery (R&R), Exploratory Research (ER), and the Academic Research Initiative.

Nuclear Detection Advanced Technology Demonstration (ATD) Program – FY 2011 estimate: \$17.700 million. This program area accelerates development, characterization, and demonstration of leading-edge technologies that address critical gaps nuclear detection. Results of the characterization form the basis for a subsequent cost benefit analysis (CBA) that objectively determines whether the technology should transition to system development and eventual production and deployment. ATDs encompass four distinct phases: preliminary design review (PDR), critical design review (CDR), characterization readiness review (CRR), characterization assessment, and CBA. In FY 2010, the S&T Directorate, in conjunction with DNDO, will perform an extensive program review to determine whether to continue the following ATDs, based on program progress and potential.

Shielded Nuclear Alarm Resolution (SNAR) ATD Project – Develops and characterizes advanced technologies to resolve alarms and definitively verify the presence of special nuclear material (SNM) in shielded and/or cluttered environments. The project has two principal applications: 1) Dramatic performance enhancement to commercially or near commercially available x-ray radiographic non-intrusive inspection (NII) screening systems by integrating solutions directly into hardware and software to substantially reduce the number of manual inspections while increasing probability of SNM detection; and 2) Targeted and choke point screening in multiple venues, including vehicle border crossings, checkpoints, rail, air cargo, and general aviation, with rapidly re-locatable inspection systems.

Intelligent Radiation Sensing System (IRSS) ATD Project – Creates data fusion software to maximize performance of co-deployed detection hardware connected by a wireless network. IRSS will leverage advances in small, efficient directional detectors, advanced distributed detection algorithms developed under various ER programs, and phenomenology studies characterizing the requirements for in-transit detection. USCG boarding parties and security teams at special events could use the networked system, which may include many disparate types of detectors. This system could improve sensitivity, expand surveillance area, locate threats faster, and detect and identify radiation sources better compared to single detectors or multiple autonomous (non-networked) detectors.

Response and Recovery Program – FY 2011 estimate: \$10.000 million. The Response and Recovery program provides advanced planning, develops CONOPS, and funds exercises and training for responding to and recovering from rad/nuc attacks. In FY 2011, the S&T Directorate plans to initiate work in this new area. Rad/nuc attacks have the potential to devastate and/or contaminate large portions of a city, covering multiple city blocks and the facilities therein. This program will provide more rapid and cost-effective post-attack cleanup and restoration by developing a systems approach for the restoration of citywide areas. Restoration demonstrations, which bring together Federal, State, and local partners to develop, test, and then share the CONOPS for key scenarios, are at the heart of this approach. The S&T Directorate will partner with FEMA, EPA, OIP, the Department of Defense (DOD), the Department of Energy (DOE), the Occupational Safety and Health Administration (OSHA), and the State and local public health and response communities to build on existing expertise to further formulate this area.

Nuclear Detection Exploratory Research Program – FY 2011 estimate: \$60.075 million. The ER program area explores innovative, high-risk, early-stage, ideas that can make transformational contributions to reduce the risk of nuclear terrorism. Specifically, ER develops technology and techniques that: 1) address capability gaps in radiological and nuclear detection; 2) provide substantial performance improvement or cost reduction of rad/nuc detection capabilities; and 3) techniques to improve nuclear forensics. Successful technology may transition to support a subsequent ATD or spur commercial development. ER also provides performance modeling, improved algorithm development, and other support capabilities for DND. In FY 2010, the S&T

Directorate, in conjunction with DNDO, will perform an extensive program review for all projects within the Exploratory Research (ER) program.

Materials Research and Other Supporting Technologies Projects – Advances radiation detection through focused research in sensor materials, front-end electronics, signal processing, modeling, and supporting technologies. Advances in one or more of these areas can provide new and improved capabilities to search and screen for nuclear and radiological materials of concern, improved identification of these materials, and reduced or simplified operational burden for end-users. Elements of this project are noted below:

Advanced Scintillator Development Project – Explores advanced gamma-sensitive scintillator materials that most deployed radiation detection systems use (including large portal monitors and mobile and hand-held detectors). This project researches materials to 1) improve energy resolution and hence improve capabilities to discriminate threat from benign radiation sources; 2) increase available volume and other scintillator parameters to improve detector element sensitivity; and 3) decrease costs through improved fabrication techniques and lower-cost raw materials. In FY 2011, the project plans to scale-up low-rate production efforts for large-size, high-performance scintillators and complete high-throughput screening of thousands of candidate materials for new scintillators, with the most promising identified for further development as next generation scintillators.

SrI Near Term Project - Leverages break-through scintillator material development and solid-state replacements for photomultiplier tubes (PMT). The project will build upon advances in new detection materials discovered under previous Exploratory Research advanced scintillator projects. Strontium iodide (SrI) has demonstrated excellent energy resolution and low cost, excellent growth characteristics with demonstrated excellent performance for both gamma and neutron detection. The PMT replacements would be much more compact, lower power, lower cost, and more rugged, enabling high-performance devices in a compact form factor. New devices utilizing these improvements will be developed as lower cost, greater efficiency small gamma detection systems.

Advanced Semiconductor Development Project – Investigates room-temperature operating materials to sense and characterize radiological threat materials. Current state-of-the-art high-performance semiconductors require cryogenic cooling, which significantly limits deployment of detector systems using these materials. This project researches: 1) novel semiconductor materials or 2) economical production methods (less than \$1000/cm³) for high-performance semiconductor materials. In FY 2011, this project plans to transition several new high-performance semiconductors into detector system prototypes; develop low-rate production infrastructure for at least one high-performance semiconductor; and complete an information-based search for new candidate materials for semiconductors.

Photomultiplier Tube (PMT) Replacements/Photon Conversion Project – Investigates solid-state and other semiconductor-based technology for converting scintillator light to

electrical signals to replace PMTs (which are large, expensive, fragile, high-power devices susceptible to electromagnetic interference and other environmental effects). In FY 2011, the project plans to develop three or more alternative technologies to PMTs.

Passive Detection Systems Project – Develops next-generation neutron and gamma ray detection systems. Commonly deployed detection systems use large polyvinyl toluene (PVT) panels in radiation portal monitors and sodium iodide scintillators, high-purity germanium, semiconductor detectors for hand-held radionuclide identification systems, and helium-3 gas proportional counters for thermal neutron detection in various applications. Research in this program encompasses new materials, advanced electronics, novel detection configurations, and specialized algorithms to provide a range of advanced capabilities including: 1) longer range standoff detection of threat materials, 2) improved differentiation of threat materials from environmental background and benign sources of radioactivity, and 3) improved detection sensitivity.

Long Range Stand Off Detection Near Term Project – This project will develop a long-range stand-off detection capability for airborne and maritime applications. Specifically, the project will target sensor systems to be carried aboard rotary- or fixed-wing aerial platforms, as well as shipboard systems with the goal of threat localization and identification. The project will focus on a sensor system to be used in stand-off maritime inspections conducted by aerial platforms, but could also be used for land-based targeted search applications and urban mapping. This project will leverage prior work on modeling of sources inside water crafts and target-linked gamma-ray imaging projects to provide combined video and radiation information. It is also expected that the project will include detailed investigations of dynamic background corrections associated with both maritime and airborne measurements.

Gamma-Ray Imaging Project – Uses gamma-ray imaging, a concept borrowed from nuclear medicine and astrophysics applications, to increase standoff range, directionality, and localization of threat objects, while reducing the effects of natural background radiation. In FY 2011, the project plans to fully develop and test a hybrid Compton imaging - coded aperture passive detection system using semiconductor materials, which will enable more effective source detection and localization. Additionally, the project plans to conduct a proof-of-concept (PoC) of a 2-dimensional video tracking capability paired with a Compton imager.

Helium-3 Replacement Technologies and Fast Neutron Detection Project – Explores near-term and longer-term alternatives to helium-3 detectors currently used in various radiation portal monitor (RPM) applications as well as hand-held and personal radiation detection instruments. Helium-3 is a vital isotope in instrumentation for neutron detection. It has a high absorption cross section for thermal neutron beams and is used as a converter gas in neutron detectors. Helium-3 is difficult to acquire due to limited reserves and the inability to produce or acquire additional stocks. This project investigates a range of materials and sensor systems. In FY 2011, the project plans to transition several technical alternatives to helium-3 to full testing and/or product

acquisition. The project also plans to demonstrate stilbene crystals for neutron detection, enabling low-cost production of these detectors.

CLYC Detector Near Term Project - Leverages break-through scintillator material development and solid-state replacements for photomultiplier tubes (PMT). The project will build upon advances in new detection materials discovered under the Materials Research Project. Cesium lithium yttrium chloride (CLYC) has demonstrated excellent energy resolution and low cost with demonstrated excellent performance for both gamma and neutron detection. The PMT replacements would be much more compact, lower power, lower cost, and more rugged, enabling high-performance devices in a compact form factor. This project will combine these breakthroughs for new detectors with both gamma and neutron detection capability as replacements for traditional small detection systems that relied on Helium – 3.

Active Detection Project – Improves detection technologies for SNMs, which produce a relatively small passive signature that can be easily shielded and make stand-off, passive detection difficult. Active detection uses ionizing radiation either to produce a unique signature from SNM or to increase the inherent signature of the materials (or both) to improve detection. Active Interrogation (AI) methods employ photons, neutrons, or other particles to penetrate shielding containers, vehicles, or objects. This program researches enabling component technologies and algorithms needed to improve the performance and reduce the cost and size of AI systems. Elements of this project are noted below:

Novel Active Detection Source Project – Researches a range of generator/accelerator technologies for Active Detection. AI detection schemes require highly compact, efficient, and flexible sources of beam-like ionizing radiation. Efforts in this project span basic research in nuclear reactions supporting particle or electromagnetic energy generation, to advanced prototype designs that can transition to ATDs or directly to system development. In FY 2011, the project plans PoCs for three types of AI sources.

Active Detection Detectors, Systems, and Concepts Project – Creates effective AI systems by pairing active detection sources with appropriate detectors, supporting electronics, signal processing and signal analysis algorithms. Neutron and gamma-ray detectors uniquely require compatibility with high count-rates, fast recovery times and good-to-high energy resolution. Advanced enabling detector technologies also require ultra-fast electronics and algorithms to process generated detector signals. In FY 2011, the project plans to conduct a series of PoCs including 1) a mobile and re-locatable AI system for aircraft, 2) a high-rate neutron detector for AI systems, 3) a portable AI system, and 4) an AI detector system for cargo with advanced algorithms to enable material/isotope identification. Also in FY 2011, the project plans to research and identify all potential signatures and user-community requirements for detecting threat materials (e.g., other contraband, including explosives) that might be hidden on general aviation aircraft.

Algorithms, Modeling, and Software Development Project – Researches signal processing and signal analyses that improve detection and characterization of signals from threat

objectives, and compensation, correction, or reduction of background noise to improve detector performance. Normally occurring background radiation affects detector sensitivity and limits current radiation detection technologies' performance. Further, temporal and spatially varying environmental background and nuisance sources (e.g., benign materials containing naturally occurring radioactive materials and patients experiencing nuclear medicine procedures) often lead to unacceptable false alarm rates. This program uses machine language and correlated data to improve the sensitivity/specificity of nuclear detection and models detector performance. In FY 2011, the program plans to make substantial improvements in the modeling and simulation code to improve usability and accuracy for various passive and active detection scenarios.

Forensics Data Collection and Analyses Project – Develops analytical techniques for determining the origin and transit route of nuclear materials. Nuclear forensics analyzes pre-detonation materials and supports analysis of post-detonation materials. These analyses inform and support attribution and response decision-making. Laboratory analysis determines physical, chemical, radiological, or morphological properties of sample material or debris. Analytical results help determine specific processing the material underwent, geographic origins, transport pathways, and intended use of the materials. In FY 2011, the program plans to research and develop Stimulated Electron Emission (SEE) to perform nuclear forensics on containers and other common surfaces exposed to radiation more rapidly and accurately.

Academic Research Initiative (ARI) Program – FY 2011 estimate: \$18.500 million. This program has two primary focus areas: 1) Engages the academic community in rad/nuc research goals and builds a community dedicated to solving long-term, high-risk research issues; and 2) develops the next-generation of researchers with expertise in nuclear and radiological detection technologies. Since FY 2007, DNDO partnered with the National Science Foundation (NSF) to execute ARI. NSF administers the proposal solicitation, evaluation, and grant award process as well as the first year of grant funding. The DHS Grants Office administers the subsequent years in conjunction with the S&T Directorate. ARI also funds academic disciplines traditionally not associated with radiological/nuclear detection, such as social sciences, to submit ideas and proposals.

Fundamental Research in New Radiation Detector Materials Project – Focus on long-term research aimed at developing greatly improved radiation detector materials that are highly sensitive, selective, and stable. Research to significantly improve the yield and performance of sensor materials beyond those presently available is needed with particular emphasis on the growth, processing, and characterization of new detection materials. This includes development and improvement of scintillator materials (e.g., faster response, higher light output, better linearity, and improvements in growth and fabrication) as well as semiconductor materials (e.g., reducing impurities, optimizing charge transport, allowing room temperature operation, and innovatively improving contacts and charge collection) with the goals of excellent efficiency and energy resolution at room temperature. In FY 2009 several new nanomaterials were investigated and the first synthesis of enhanced nanophosphor materials was completed. A new scintillating garnet was also discovered that utilized yttrium, gallium, gadolinium, and

aluminum. In FY 2010, a detailed examination of cadmium magnesium telluride (CdMgTe) as a choice for room temperature gamma-ray detector with a focus on understanding the Te inclusions and mitigating their effects will be accomplished. In FY 2011 the characterization of new candidate semiconductor materials including PbOAl, BiI, SnGeS, PbGeS is planned. It is also planned to benchmark models providing a fundamental understanding of scintillator non-proportionality. In FY 2011 the characterization of new scintillator materials incorporating quantum dot technology is anticipated.

Fundamental Research in Novel Nuclear Detection System Concepts and Architectures Project – Sponsored research in this area are intended to explore radically new approaches to threat detection, eventually leading to sensor or detection systems that are highly sensitive to nuclear and radiological signatures and selective in the ability to distinguish and locate these materials from naturally occurring background. Research into new detection system concepts, architectures, or networks that can support detection of nuclear and radiological threats being transported via general aviation (non-commercial aircraft), small maritime craft (under 300 tons), and/or across the expansive land borders between official Points of Entry are of particular interest. In FY 2009, the first design of a photonics-based radiation sensor was completed. In FY 2010 ARI efforts will complete characterization and fabrication of a photonics-based nuclear radiation sensor and demonstrate a Si-drift detector as a Compton imager. In FY 2011, S&T plans research in the extension of multilayer screening algorithms from port security applications to aviation-based applications.

Fundamental Research in Alternative Neutron Detection (He3 Alternative) Technologies Project – Focus is on developing greatly improved neutron detectors, detector systems, and/or materials that provide substantial improvements over existing Helium-3 technologies. Research to significantly improve the yield and performance of neutron sensitive materials, other than Helium-3, beyond those presently available is needed with particular emphasis on the growth, processing, and material characterization. This includes development and improvement of neutron sensitive scintillator materials as well as semiconductor materials with the goals of excellent efficiency and neutron energy discrimination. Additionally, neutron detection systems that improve the directionality, localization, and/or imaging capabilities are also needed. In FY 2009, new neutron sensitive materials were synthesized and characterization of high efficiency boron arsenide crystals for neutron detection was completed. In FY 2010, the first growth and structural characterization of boron phosphide crystals for high efficiency neutron detectors as well as the complete characterization and testing of a novel solid-state self powered neutron detector will be achieved. In FY 2011, S&T plans to evaluate an innovative direction-sensitive neutron detector based on multilayer drift chamber technology.

Fundamental Research in Active Detection Technologies, Signatures, and Sources Project – Improves the automated material discrimination and/or anomaly detection capability of NII systems used for air, land, and sea cargo; vehicle scanning; and human portable scanning applications. Existing NII systems use radiography, computed

tomography, spectral analysis including nuclear resonance fluorescence (NRF), and neutron-based assays. Fundamental research in these areas address full-systems or system components including: 1) novel low-power, low-weight/cube, high-yield D-D neutron production; 2) high-efficiency, fast-recovery, low-cost spectral detectors; 3) high-efficiency, threshold neutron detectors; and/or 4) automated image analysis algorithms for single and dual energy radiography systems. In FY 2011, the program plans to establish a university-based user facility with a new accelerator, enabling novel nuclear-reaction studies. The program also plans to evaluate a new methodology for direct photon generation using Doppler-compensated inelastic electron scattering. Finally, the program plans to develop and evaluate new signal processing tools for active interrogation systems using nuclear resonance fluorescence.

Fundamental Research in Expert Systems, Networks, Algorithms, and Data Processing for Nuclear Detection Project – Investigates innovative data processing and analysis techniques that will lead to significant performance improvements, including 1) accuracy of spectral analysis of gamma-ray sensor systems, 2) sensitivity and precision of detection systems, 3) sensor fusion (both radiation and other sensors), 4) detector implementation and networking. The research includes significant simulation and modeling to provide a fundamental basis to support these new approaches. In FY 2011, the program plans to complete a university-based, machine-learning facility integrating new radiation detection technologies. Additionally, the program plans to develop New Compton imaging algorithms to improve radiation detector sensitivity and benchmark models and algorithms for use in novel electron-tracking detector systems.

Fundamental Research in Nuclear Forensics Technologies Project – Advances analytical techniques used to determine the origin and transit route of pre-detonation nuclear materials. Research emphasis includes 1) identifying ways to improve techniques and methodologies (i.e., speed, accuracy, and precision in both existing and novel methods) for the physical, chemical, radiological, or morphological analysis of nuclear or radioactive materials, including determining specific processing the material underwent, geographic origins, transport pathways, and intended use; 2) improving the separation or analysis of non-nuclear material associated with nuclear materials; and/or 3) improving the use of signatures to identify source materials in the nuclear fuel cycle. In FY 2011, researchers plan to complete a study of complexation using absorption spectroscopy, and x-ray absorption spectroscopy (XAS). Additionally, the program plans to translate macro-scale electrochemistry to microelectrodes and characterize trivalent actinide electrochemical behavior.

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Test and Evaluation Standards
Program Performance Justification
(Dollars in Thousands)

PPA: Test and Evaluation/Standards

	Perm. Pos	FTE	Amount
2009 Actual	-	-	27,332
2010 Enacted	-	-	29,000
2011 Adjustments-to-Base	-	-	170
2011 Current Services	-	-	29,170
2011 Program Change	-	-	(5,996)
2011 Total President's Budget	-	-	23,174
Total Change 2010 to 2011	-	-	(5,826)

The FY 2011 request for Test and Evaluation Standards is \$23.174 million; of this amount, \$0.579 million supports the Small Business Innovation Research (SBIR) program. The FY 2011 request reflects a reduction of \$5.826 million due to the funding of higher priority items within the department.

CURRENT SERVICES PROGRAM DESCRIPTION

The Test & Evaluation/Standards division (TSD) supports the overall mission of DHS, by providing T&E direction, oversight, assistance, and standards coordination to support all of DHS, and the larger Federal, State and local First Responder community. TSD also works closely with the divisions of S&T to coordinate standards development in parallel with technology - ensuring that performance standards for DHS funded equipment are available, and that there are test methods and test plans to accompany DHS acquisitions.

Through review boards and working groups, TSD leads standards development, test protocol establishment, test plan review, and test result review. The Division also works with Director of Operational Test and Evaluation (DOT&E) approved operational test plans and assesses the adequacy of operational testing for acquisition programs throughout the entire department. Beyond DHS, TSD leads several Federal efforts to coordinate standards development, test method development, and the establishment of a range of test and evaluation options for Federal, State, local and private sector users.

Standards Thrust Area – The Office of Standards funds and coordinates standards development for equipment used and purchased by DHS. Working with scientists, the

Standards Thrust Area identifies standards needs and funds initial standards development through a variety of performers – most notably research scientists at the nation's measurement lab, the National Institute of Standards and Technology (NIST). Once the measurement science is solid, the office works with numerous standards development organizations to finalize homeland security standards in a consensus environment - a forum which includes users, manufacturers and the government.

DHS does not have authority to impose regulatory standards and must therefore promote the development of voluntary consensus standards. The Standards thrust area gathers requirements and facilitates the adoption of standards through formal standards working groups, interagency task forces, conferences, and workshops with private-sector standards organizations, such as the National Fire Protection Association (NFPA) and American Society for Testing and Materials (ASTM) International. The Standards thrust area does not seek to generate new standards, but solicits and endorses existing national-level standards.

Borders/Maritime Standards Program – FY 2010: \$0.820 million; FY 2011 estimate: \$0.900 million. Develops standards for cargo security and Radio Frequency Identification Device (RFID) technologies that are used to tag and track containers. In FY 2009, the program provided measurement data, performance metrics, and test metrics towards standards for RFID chip integrity and interference of RFID devices in partnership with Transportation Security Laboratory (TSL), Department of State, Department of Commerce, National Security Agency, and Central Intelligence Agency. In FY 2010, the program will deploy a pilot RFID counterfeit detection system. In FY 2011, the program plans to develop performance requirements for RFID counterfeit detection systems.

Chemical/Biological Standards Program – FY 2010: \$3.116 million; FY 2011 estimate: \$2.500 million. Develops standards related to chemical and biological threat detection. This includes development of a comprehensive suite of performance standards for detection equipment, guidance on how to respond to chemical/biological incidents, and development of surrogate materials for testing. In FY 2009, the program finalized standard test materials for anthrax and ricin; worked with the Office of Science and Technology Policy (OSTP) to release interim guidance for chemical and biological decontamination; and developed guidance for First Responders to assess whether chemical and biological detection technologies met manufacturer claims. In FY 2010, the program will develop draft training protocols for decontamination guidelines and initiate the chemical warfare agents/toxic industrial chemicals detection standards program, including standard test methods for instrument performance. In FY 2011, the program plans to finalize training protocols for decontamination guidance and develop draft standards for chemical standoff detection technologies.

Command, Control, and Interoperability Standards Program – FY 2010: \$0.945 million; FY 2011 estimate: \$0.400 million. Develops standards to optimize emergency management using the National Response Framework and the National Incident Management System. In FY 2009, the program adopted and updated existing incident management standards and completed a gap analysis for new requirements. In FY 2010,

the program will initiate a study of human-machine interface standards to improve the ease-of-use of First Responder equipment for emergency operation centers, First Responders, and other homeland security end users, including those involved in baggage screening. In FY 2011, the program plans to support development of a suite of Incident Management (IM) standards, which includes training on initial response to possible WMD attacks.

Explosives Standards Program – FY 2010: \$3.866 million; FY 2011 estimate: \$3.295 million. Develops standards related to explosives detection and blast mitigation, which include standards for detectors and protective equipment, body-scanning systems, and cargo. In FY 2009, the program drafted standards for trace explosives detection; developed draft standards for next generation high-energy computed tomography scanning systems; and developed a methodology and test kit for quality control and assurance of field-deployed equipment to determine their effectiveness in detecting explosives. The program also initiated standards development for standoff explosives detectors and improvised explosive device (IED) countermeasures technology. This included radio frequency countermeasures used in jamming technologies and terahertz technologies that can penetrate a wide variety of materials for body scanning. In FY 2010, the program will complete the development of trace explosives standard test materials for RDX and C4 explosives, and finalize/adopt standard test methods for X-ray inspection systems and body scanners. In FY 2011, the program plans to revise the X-ray body-screening system standard using results from instrument testing and evaluations.

Human Factors Standards Program – FY 2010: \$1.950 million; FY 2011 estimate: \$1.550 million. Develops standards for biometric technologies and government personnel credentials. In FY 2009, the program provided draft standards for image quality for face, fingerprint, and iris biometrics and provided on-line test data sets that manufacturers use to test and develop next-generation software. The program also developed the National Voluntary Laboratory Accreditation Program (NVLAP). This laboratory accreditation program provides the requirements laboratories must meet before they are qualified to test DHS biometrics equipment. In FY 2010, the program will implement biometric data standards to improve the interagency interoperability of collected biometric information throughout federal government. The program will also develop rules that require biometrics equipment to be tested in an accredited biometrics laboratory prior to DHS procurement. In FY 2011, the ongoing usability biometrics standards program plans to continue development of protocols for the testing of multimodal biometrics.

Infrastructure and Geophysical Standards Program – FY 2010: \$5.539 million; FY 2011 estimate: \$3.875 million. Develops standards for First Responder personal protective equipment to enable State and local agencies to purchase equipment that has been rigorously tested against standards and certified to meet National Fire Protection Association (NFPA) and National Institute for Occupational Safety and Health (NIOSH) standards. In FY 2009, the program supported the drafting of all-hazards protective clothing standards with attention to dermal hazards posed by toxic industrial chemicals and toxic industrial materials. In addition, the program implemented standards

development for hybrid CBRN respiratory protection equipment, such as combined self-contained breathing apparatus and air purifying respirator systems. In FY 2010, the program will review existing respiratory protection guidelines, and in collaboration with other Federal partners, propose modifications to existing standards. In FY 2011, the program plans to finalize revisions of the protective clothing standard and initiate the development of performance testing guidelines.

Platforms Program – FY 2010: \$1.570 million; FY 2011 estimate: \$1.500 million. Identifies, through ASTM International, Institute of Electrical and Electronic Engineers (IEEE) and NFPA, standards development needs in Urban Search and Rescue (USAR) robots, sensor networks, alert systems, and hazardous material (HAZMAT) equipment. The program emphasizes two areas: 1) mobile platforms, which includes robots, Unmanned Aerial Vehicles (UAVs) and other mobile detection applications; and 2) sensors and alert networks, which includes stationary sensor systems and the networks to support them. In FY 2009, the program supported the development of standard test methods for advanced sensors and mobility used in USAR robots. The program also began technology maturity assessments to identify new candidate sensor technologies and conducted a gap analysis of sensors distributed over a web application. In FY 2010, the program will calibrate and characterize a test facility that can conduct standard test methods for USAR robots, as well as, produce user guides that assist in decision-making about appropriate robots for given situations. The program will also develop collaborative demonstrations with SBI net and Coast Guard using interoperable sensor technology. In FY 2011, the program plans to conduct workshops with responders and manufacturers of USAR robots and incident response robots to prioritize test methods. The program also plans to develop guidance for users to procure interoperable sensor networks and systems.

Standards Development Program – FY 2010: \$2.215 million; FY 2011 estimate: \$2.100 million. Standards development requires consensus and significant resources across and outside DHS. This requires a unique commitment to partnerships and ongoing infrastructure (databases, working groups) and specific projects (biothreat identification protocols). For some private-sector standards development organizations, TSD must pay to maintain its membership and ensure voting rights in decision-making processes. TSD maintains relationships with standards-development organizations such as American National Standards Institute (ANSI), ASTM International, Institute of Electrical and Electronics Engineers (IEEE), and NFPA. These partners also include the Federal Emergency Management Agency's (FEMA) Incident Management System Integration Division, TSL, Association of Analytical Communities (AOAC) International, Homeland Security Studies and Analysis Institute (HSSAI), and the Interagency Board for Equipment Standardization and Interoperability (IAB).

TSD is also actively involved in the Voluntary Private Sector Accreditation and Certification Preparedness Program (PS-Prep). Congress identified four DHS components in Section 524 of Title IX of Public Law 110-53, "Implementing the Recommendations of the 9/11 Commission Act of 2007," and directed the Secretary to establish a program for accreditation and certification of private-sector preparedness.

The S&T Directorate leads the team on identification of standards to adopt for use in this program. In FY 2009, the program selected the ANSI-ASQ National Accreditation Board (ANAB) to develop and oversee the certification process, manage the accreditation, and accredit qualified third parties to carry out the certification in accordance with the accepted procedures of the program. In FY 2010 and FY 2011, the PS-Prep program will develop and refine criteria and processes to continuously evaluate and maintain preparedness standards for the private sector.

Test and Evaluation Thrust Area – The Office of T&E establishes policies and procedures and coordinates T&E resources to verify attainment of technical performance specifications and evaluate operational effectiveness/suitability prior to system deployment. T&E is working to ensure DHS integrates a uniform and centrally managed Departmental test and evaluation process into the systems engineering and acquisition lifecycle. The infrastructure area will assess, integrate, and coordinate DHS and non-DHS test assets to ensure adequate test capabilities are available to support acquisition programs.

First Responder Technologies Program – FY 2010: \$5.000 million; FY 2011 estimate: \$4.350 million. Maintains an operational T&E program for First Responder Technologies. In FY 2009, the Division collaborated with FEMA to assume management and funding responsibility for the System Assessment and Validation for Emergency Responders (SAVER) program that tests and assesses commercially available equipment that falls within the categories listed on the DHS Authorized Equipment List and provides the results along with other relevant equipment information to the First Responder community. In FY 2010 and FY 2011, the Division will continue to collaborate with FEMA to identify and prioritize specific product categories for assessment through the SAVER program. The SAVER program will continue to produce Assessment Reports that focus on answering responders' questions on how specific products perform. In addition, in FY 2010 and FY 2011, the SAVER Program will continue to produce Market Survey reports. These reports identify for the responder community what equipment is available in a specific product category and details the technical characteristics of that equipment.

Infrastructure Program – FY 2010: \$0.477 million; FY 2011 estimate: \$0.475 million. Assesses, integrates, and coordinates the Federal and non-Federal physical assets at colleges, universities, local governments, private research institutes, and companies. In FY 2009, the program completed the infrastructure review of DHS capabilities and developed a T&E capability matrix. In FY 2010, the program will refine the initial DHS T&E capability data and expand the T&E infrastructure review beyond DHS to other Federal capabilities. The goal is to establish a capability that will help programs to choose existing capabilities that meet their testing requirements rather than build duplicative infrastructure. In FY 2011, the program plans to identify DHS T&E infrastructure needs and work with the DHS components to resolve them. The program will continue to update the T&E infrastructure matrix.

T&E Plans and Policy Program – FY 2010: \$0.500 million; FY 2011 estimate: \$0.450 million. Develops T&E policies and procedures that define T&E activities required of all DHS components throughout the system acquisition process. In FY 2009, the program finalized the interim T&E Directive that supplements the Department's adopted acquisition policy. The program also worked with the DHS Acquisition Workforce Division to establish the T&E certification requirements for T&E professionals within the department. In FY 2010, the program will update the T&E Directive, develop a T&E training course to support T&E certification for DHS personnel, initiate a study of the alternatives for an Operational Test Agent (OTA) for DHS, and initiate work on a T&E Guidebook for Program Managers across DHS. In FY 2011, the program plans to maintain and revise the T&E Directive, Guidebook, and training courses to reflect the current acquisition framework.

Test Area/Capabilities Program – FY 2010: \$2.276 million; FY 2011 estimate: \$1.200 million. Works directly with over 60 DHS acquisition programs to assist in the development and execution of a robust T&E program that will lead to the evaluation of the program's effectiveness and suitability. In FY 2009, the program expanded its oversight function to all DHS Level 1 and non-delegated programs. The program provided T&E input to acquisition documents and supported the Acquisition Review Boards. DHS T&E also reviewed and/or approved over a dozen Test and Evaluation Master Plans for programs such as National Security Cutter, Fast Response Cutter, Secure Border Initiative Network, H-60 Medium range helicopter, BioWatch Gen-3, National Cyber Security, Passenger Screening Program, and Electronic Baggage Screening Program. In FY 2010, the program will continue its oversight function, as well as, expand to include new Level 1 and non-delegated programs, develop M&S T&E policy, and establish a DHS model verification, validation, and accreditation process. In FY 2011, the program plans to provide T&E oversight of all existing and emerging Level 1 and non-delegated acquisition programs and maintain Modeling and Simulation T&E Policy.

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Transition
Program Performance Justification
(Dollars in Thousands)

PPA: Transition

	Perm. Pos	FTE	Amount
2009 Actual	-	-	18,347
2010 Enacted	-	-	46,134
2011 Adjustments-to-Base	-	-	271
2011 Current Services	-	-	46,405
2011 Program Change	-	-	(4,271)
2011 Total President's Budget	-	-	42,134
Total Change 2010 to 2011	-	-	(4,000)

The Science and Technology (S&T) Directorate requests \$42.134 million for Transition; of this amount, \$1.053 million supports the Small Business Innovation Research (SBIR) program. The decrease of \$4.000 million reflects reductions to the First Responder Technologies program and the TechSHARE program.

CURRENT SERVICES PROGRAM DESCRIPTION

The Transition Office delivers near-term products and technology enhancements by working with the Department's components to expedite the technology transition process. The office provides personnel, processes, and resources to support the transition and transfer of S&T Directorate technologies to customers. Activities involve integrating technology development efforts across the S&T Directorate to develop the most cost effective and timely solutions and processes to meet customer requirements. The Transition Office carries out these core responsibilities through the following three thrust areas: Homeland Security Studies and Analysis Institute, SAFETY Act, and Transition.

Homeland Security Studies and Analysis Institute (HSSAI) Thrust Area – FY 2010: \$5.000 million; FY 2011 estimate: \$5.000 million. The S&T Directorate awarded a Federally Funded Research and Development Center (FFRDC) contract for HSSAI in March 2009. The purpose of HSSAI is to provide special technical expertise to Department components to analyze and conduct trade-off studies of mission-level goals and strategies, analyze operations and operational requirements, and evaluate performance metrics constrained by cost and schedule. HSSAI generally considers all

missions within the context of threat, consequence, and vulnerability risk reduction under the constraints of cost and schedule. The research agenda covers the spectrum of homeland security issues and activities, including threat trends and adversarial perspectives, information sharing and communications interoperability, border and transportation security, law enforcement, infrastructure protection, preparedness, emergency response, and training. In FY 2009 and FY 2010, the HSSAI continued to provide recommendations for policy and operational changes, as well as technology insertion concepts throughout the Federal, State, local, tribal, public and private sector organizations that make up the homeland security enterprise.

The studies and analyses include, but are not limited to:

- Develop top-level mission risk and risk reduction (threat, vulnerability, consequence) resource allocation models, component tradeoff simulations, and tools and metrics to evaluate mission tradeoffs and mission integration strategies;
- Develop system and system-of-system concepts through analysis of alternatives to address the most strategic and critical needs of the homeland security enterprise;
- Develop top-level program requirements and system performance and effectiveness metrics based on mission goals;
- Develop and promote standardization of effective and efficient operational modeling, simulation, test, and evaluation best practices for homeland security programs to provide independent and objective assessments based on mission and program goals;
- Design and provide support for homeland security-related exercises, games, and simulations, including the examination of past incidents, tabletop and operational exercises, and nominal operations to determine lessons learned and the implications for homeland security planning;
- Conduct operational analysis, particularly at field activities, for extended (months to one-to-two years) periods, to provide objective assessments, systems evaluations, and other technical and analytic support; and
- Use economic (lifecycle) and policy analyses to assess the distributed costs and benefits of alternative approaches to enhancing security including leveraging of homeland security, particularly research and development (R&D), assets across the Nation and with international partners.

In FY 2011, the program plans to conduct operations analyses to develop measurable and meaningful operational performance metrics as guided by DHS senior leadership.

SAFETY Act Thrust Area – FY 2010: \$8.680 million; FY 2011 estimate: \$8.680 million. The Office of SAFETY Act Implementation (OSAI) evaluates and qualifies technologies for liability protection in accordance with the *Support Anti-Terrorism by Fostering Effective Technologies (SAFETY) Act of 2002* and the supporting regulations of the Final Rule (6 CFR Part 25) implemented on July 10, 2006. As part of the *Homeland Security Act of 2002* (Public Law 107-296), the SAFETY Act provides risk management and liability protections for sellers of Qualified Anti-Terrorism Technologies. The

purpose of the SAFETY Act is to ensure that the threat of liability does not deter potential manufacturers or sellers of effective anti-terrorism technologies from developing, deploying, and commercializing these technologies. There are three key areas of focus for OSAI: operations, outreach, and coordination.

Operations – OSAI processes applications under the criteria stipulated by the provisions of the SAFETY Act expediently. As part of this process, OSAI evaluates the efficacy of candidate technologies based on criteria set forth in the Final Rule, considers the applicant’s current insurance situation, and advises DHS whether to issue SAFETY Act protections to the company.

In FY 2009, OSAI received a record high number of applications. To improve service to the applicants and keep up with increasing volume, OSAI worked to modernize its IT system, enabling the Office to handle an increased number of applications as the program continues to mature. In FY 2010 and FY 2011, OSAI will continue evaluating and streamlining business processes to ensure that at least 85 percent of applications are processed within the congressionally mandated 120 days.

Outreach – OSAI promotes homeland security technologies by raising public awareness of the benefits of liability protections available under the SAFETY Act, thereby expanding the creation, proliferation, and use of anti-terrorism technologies.

In FY 2009 and FY 2010, the program will continue its outreach efforts towards priority homeland-security technologies and under-represented technology areas to further industry participation. OSAI will continue to hold periodic SAFETY Act workshops inside and outside of the Washington, DC Metropolitan Area to reach more potential stakeholders and applicants. In FY 2011, OSAI will continue to reach out to those applicants that are eligible for renewal of their SAFETY Act awards to promote deployment of these effective anti-terrorism technologies.

Coordination – OSAI coordinates the SAFETY Act application review process across DHS and with other Federal agencies to support these partners in their missions and to minimize the burden on applicants for SAFETY Act protection. This crucial advanced coordination regularly occurs whenever the SAFETY Act can play an important role in pending Federal procurements.

In FY 2009, the SAFETY Act program expanded coordination with other Federal agencies to help create Federal best practices, standards, and guidelines and to work with public and private consortiums/associations to identify promising technologies for prompt consideration under the SAFETY Act, as well as sector-specific areas identified by the *National Infrastructure Protection Plan* (NIPP). In FY 2010, OSAI will work with universities and national laboratories that research, develop, and pilot new innovative homeland security technologies to educate and inform them about the SAFETY Act. In FY 2011, OSAI plans to work with the S&T Directorate’s international partners to identify promising technologies for consideration under the SAFETY Act.

Transition Thrust Area – Provides personnel, processes, and resources to support the transition and transfer of S&T Directorate technologies to customers. Integrates technology development efforts across the S&T Directorate to develop the most cost-effective and timely solutions to meet customer requirements. This work includes coordinating technology efforts with international agencies and other government agencies and providing an appropriate venue for first-responder input to the S&T Directorate's transition process.

First Responder Technologies – FY 2010: \$12.000 million; FY 2011 estimate: \$10.450 million. Develops and designs technologies to address capability gaps identified by Federal, State, local, and tribal First Responders in the First Responder Capstone Integrated Product Team (IPT). Using the prioritized capability gaps from the IPT, the S&T Directorate's six divisions propose technology solutions. The First Responder IPT then prioritizes these technology solutions to determine which to fund. This program also tests technologies, assesses them for usability, and commercializes them so the technologies are available across all First Responder communities. In FY 2009, the S&T Directorate stood up the First Responder IPT and integrated it into the current product transition program. In FY 2010, Federal, State, local, and tribal First Responders will identify science and technology requirements and prioritize technology solutions proposed by the S&T Directorate divisions. The S&T Directorate, in continued partnership with the Naval Post Graduate School, will field-test First Responder prototype technologies. In FY 2011, the program plans to continue to field-test First Responder prototype technologies. It will also continue to coordinate the activities of and provide leadership to the S&T Directorate First Responder IPT.

International and Interagency Programs– FY 2010: \$3.642 million; FY 2011 estimate: \$3.642 million. Leverages the capabilities of external organizations, within the U.S. and abroad, to address high-priority homeland security needs. The International and Interagency Programs facilitate the S&T Directorate's cooperative Research, Development, Test, and Evaluation (RDT&E) activities across Federal, State, local, territorial, and tribal governments, the international community, and the private sector. These activities include:

- Guiding the S&T Directorate's coordination of Federal government and private-sector efforts to identify and develop countermeasures against current and emerging threats;
- Leading a world-wide staff of science and technology liaison officers who help execute S&T Directorate programs of national and international scope and impact; and
- Facilitating both national and international technology awareness to avoid technological surprise and ensure the Department's technological superiority.

In FY 2010 and FY 2011, the International and Interagency programs will continue to leverage external organizations. The Interagency program will continue to expand S&T outreach to homeland security, emergency management, and related agencies at the State, local, territorial, and tribal, levels to strengthen partnerships and information. It will

continue to expand collaborative relationships and outreach with other entities, such as the Department of Defense (DOD), the Department of Energy (DOE), the National Guard, the Joint Staff, and appropriate Combatant Commanders to leverage RDT&E efforts and capabilities saving government funds by avoiding duplication of effort and investments. The Interagency program will conduct new and follow-up Regional Homeland Security Interagency Symposia to further strengthen DHS regional collaborative efforts and to collect State, local, territorial, and tribal input on technology gaps; to strengthen partnerships; to improve information sharing; and to communicate achievements. It will establish and coordinate the S&T First Responder IPT, which will provide a fair and equitable process for collecting and addressing technology gaps from the First Responder community Nation-wide. In addition, the Interagency program will leverage contacts made with homeland security, emergency management officials at the State, local, territorial, and tribal level to conduct on-site visits to significant disaster events to assess technology needs, serving as the primary link for the Directorate.

At the request of S&T Directorate's technical divisions, the International program will modify the grant solicitation program to provide for larger individual awards and fewer total awards in FY 2010. Larger awards (for a maximum of \$750,000 each and lasting no more than three years) have greater potential to leverage international capabilities in support of the divisions' missions to provide near- and longer-term capabilities to their DHS customers. The International program estimates funding between two to four international research projects in FY 2010 based on a technical review by a panel of subject-matter experts from inside the Federal government. Other planned International program activities in FY 2010 include numerous international workshops, conferences, and activities that will build capacity for international cooperation in the technical areas of S&T Directorate Divisions. International programs will facilitate participation in an International Conference on Science and Technology in Sweden in FY 2010. The program will also establish S&T Directorate agreements with at least two new international partners.

In FY 2011, the International program plans to maintain the scientist and engineer exchange program with two key partners. The program also plans to hold an International Conference on Science and Technology in the Pacific Asia Region. In support of the grant solicitation program, the program plans to fund international research projects in the same manner outlined for FY 2010. The grant solicitation will fund two to four international research projects (maximum of \$750,000 each and lasting no more than three years) based on a technical review by a panel of subject matter experts inside the Federal government.

Program Transition – FY 2010: \$5.659 million; FY 2011 estimate: \$5.684 million. Aligns and coordinates the S&T Directorate's transition effort with Department components' requirements using Capstone IPTs. Product transition focuses on delivering near-term technology to meet customer-identified science and technology requirements, as well as informing the Basic Research and Innovation Offices of priority customer technology needs. The Capstone IPTs consist of thirteen functional homeland security areas: Border Security; Cargo Security; Chemical/Biological Defense; Cyber Security;

Counter-Improvised Explosive Devices (IED); Transportation Security; Incident Management; Infrastructure Protection; Information Sharing/Management; Interoperability; Maritime Security; People Screening, and the newest Capstone IPT, the First Responder IPT.

In FY 2009, the Transition Office identified appropriate support and analysis of customer gaps through the IPT process. In FY 2010, it will refine support and analysis of customer gaps through the IPT process and monitor efforts for cost, schedule, and capability to ensure the technology effectively transitions into acquisition. In FY 2011, the Office plans to refine the IPT process further, ensuring efficiency, effectiveness, increased leadership insight, customer involvement, and integration with component and Department planning activities to ensure technology gaps are incorporated in the IPT process at the earliest appropriate stage once identified.

The Commercialization Office manages the development and execution of programs and processes that identify, evaluate, and commercialize technologies that meet the operational requirements of DHS stakeholders – including operating components, the First Responder community, and critical infrastructure/key resources owners and operators. The Commercialization Office also develops and manages the S&T Directorate's outreach effort with the private sector to provide useful information on how to do business with the S&T Directorate. It establishes and fosters mutually beneficial public-private partnerships that lead to fielding technologies, products, and services to enhance the capabilities of Department stakeholders. The Office recently established two innovative public-private partnership programs, SECURE™ and FutureTECH™ programs, which enable collaboration of public and private entities to develop products, technologies, and services rapidly for DHS stakeholders. The Commercialization Office also developed and began implementing a comprehensive commercialization process for all of DHS. The program worked with the private sector to create a detailed repository of private-sector firms with the technologies, capabilities, and products that address identified capability gaps to assist in conducting analyses of alternatives. In FY 2010, the program expects a minimum of ten new SECURE™ Operational Requirements Documents (ORDs) generated by DHS stakeholders and 20 ORDs in FY 2011. In FY 2012, the program plans to generate and vet an additional 25 ORDs. For the FutureTECH™ Program, the Commercialization Office expects to continue the pilot phase of the program for FY 2010, with proper scale-up of current efforts and creation of additional critical research/innovation focus areas for eight new future needs in FY 2010 and ten more in FY 2011.

The Technology Transfer Program manages the Office of Research and Technology Application (ORTA), to conduct technology transfer in accordance with 15 USC 3710. The Technology Transfer Program also represents DHS in DOD's 1401 Technology Transfer Working Group, which identifies and transfers DOD technology, items, and equipment that can be used by Federal, State, and tribal First Responders. In FY 2009, the Technology Transfer Program commenced its annual Technology Transfer and Intellectual Property Training for all engineers and scientists. In FY 2009, ORTA established an Invention Evaluation Board (IEB) to assess the patentability of DHS'

inventions. The Technology Transfer Program will also establish a network to assist with creating partnerships for Cooperative Research and Development Agreements (CRADAs) and licenses, continue training engineers and scientists, and have all DHS laboratories fully participating in the Federal Laboratory Consortium (FLC). In FY 2011, the Technology Transfer Program plans to continue to pursue partnerships via R&D agreements and the licensing of intellectual property.

Transition Pilot Program – FY 2010: \$1.000 million; FY 2011 estimate: \$0.000 million. Identifies, researches, develops, and transitions advanced technologies and manufacturing processes in the homeland security industrial base. The Homeland Security Research, Development, and Manufacturing Pilot (HomeTech) will significantly improve the affordability and mission capability of DHS products and systems by engaging in manufacturing initiatives that address the entire system life cycle and enable the timely transition of laboratory technology to industry and the marketplace.

Technologies to Secure the Homeland and Advance Responder Effectiveness (Tech SHARE) Program – FY 2010: \$9.000 million; FY 2011 estimate: \$7.625 million. Consists of two projects: Tech Clearinghouse and TechSolutions.

Tech Clearinghouse Project – Provides a certified and accredited web-based central resource system of technical information to serve as a one-stop-shop for the dissemination of homeland security science and technology information to Federal, State, local, and tribal agencies; the system and associated efforts encourage and support innovative solutions to enhance homeland security. Along with other outreach efforts (e.g., publication of a First Responder Technologies (R-Tech) monthly newsletter, participation at key First Responder conferences and events), the website also fulfills Section 313 of the *Homeland Security Act of 2002*. The Tech Clearinghouse provides: 1) government organizations with information to support procurement and grant guidance decisions; and 2) technology developers with requirements and operational information that can assist them in developing tools that are more useful. Tech Clearinghouse continually identifies and integrates new sources of relevant information for First Responders into its website development.

In FY 2009, the project incorporated new functions and capabilities into the portal to meet users' requirements and make periodic system upgrades to keep information relevant; it achieved over one million hits per month on the web portal. In FY 2009, the project also started development of a trusted and secure Communities of Practice website for First Responders. The first version of the website will go live in the second quarter of FY 2010, pending Office of Management and Budget (OMB) and certification and accreditation (C&A) approval. In FY 2010, the project will integrate content from other existing government agency databases that have relevant S&T Directorate information for First Responders. In FY 2011, the program plans to identify and integrate new sources of information into Tech Clearinghouse. Tech Clearinghouse efforts in FY 2011 include technical assistance to First Responders to solve matters related to technical deficiencies, policy, guidance, and/or governance issues.

TechSolutions Project – Rapidly addresses the technology gaps identified by Federal, State, local, and tribal First Responders. The TechSolutions project fields prototypical solutions in 12 to 15 months; establishes a cost that is commensurate with the proposal (normally one million dollars or less per project), and develops a solution that meets 80 percent or more of the identified requirement. First Responders are able to submit gaps to the program through the website, www.TechSolutions.dhs.gov. TechSolutions validates capability gaps and First Responder priorities by working with a panel of First Responder subject matter experts to include the Inter-Agency Board (which comprises over 1,000 leaders from fire, police, Emergency Medical Services (EMS) throughout the United States).

In FY 2009, the project initiated prototype development of a multimodal assessment system capable of collecting sensor data and analyzing it against carefully tested medical algorithms, and for a vehicle-mounted chemical sensor capable of identifying 13 toxic industrial chemicals and reporting the results to a command post via a wireless network. TechSolutions also continued its development of an innovative self-contained breathing apparatus (SCBA) that reduces the ensemble's profile and weight and provides first responders with improved agility; a multi-band, multi-mode portable radio capable of operating on all first responder radio bands and frequencies; an improved multi-threat personal protection ensemble for law enforcement that leverages DoD investments in personal protection technology and systems to improve user survivability and operational performance; and a hand-held non-lethal optical law enforcement device that neutralizes and assures compliance of unruly and uncooperative individuals.

In FY 2010 and 2011, the program will continue to collect capability gaps received through the TechSolutions website and the First Responder Capstone IPT as a means for determining prototype and demonstration opportunities. TechSolutions plans to demonstrate up to six prototypes per year.

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
University Programs
Program Performance Justification
(Dollars in Thousands)

PPA: University Programs

	Perm. Pos	FTE	Amount
2009 Actual	-	-	38,821
2010 Enacted	-	-	49,350
2011 Adjustments-to-Base	-	-	304
2011 Current Services	-	-	49,654
2011 Program Change	-	-	(9,654)
2011 Total President's Budget	-	-	40,000
Total Change 2010 to 2011	-	-	(9,350)

The Science and Technology (S&T) Directorate requests \$40.000 million for University Programs; of this amount, \$1.000 million supports the Small Business Innovation Research (SBIR) program. The \$9.350 million decrease in FY 2011 reduces funding for the Centers of Excellence (COEs), Minority Serving Institutions (MSIs), and Education Programs.

CURRENT SERVICES PROGRAM DESCRIPTION

The University Programs Division supports research and education at U.S. colleges and universities to address high-priority homeland security issues and to enhance homeland security capabilities over the long term. The program brings together scientific minds from many academic disciplines and institutions. These scientists and engineers are developing new technologies and approaches to solve complex and challenging homeland security problems. The program focuses on building homeland security expertise in the academic community, creating strategic partnerships among universities and public agencies, and developing a new scientific workforce of homeland security experts. The primary customers for University Programs are the Department of Homeland Security (DHS) S&T Directorate's divisions, the DHS components, and Federal, State, and local government agencies.

Investments in university basic research and support for students in relevant fields are critical to preserving the U.S.'s strategic and economic security as well as supporting the Secretary's goals of:

- Protecting the Nation from dangerous people;
- Protecting the Nation from dangerous goods;
- Protecting Critical Infrastructure; and
- Building a nimble and responsive emergency response system and a culture of preparedness.

The University Programs Division carries out its activities through three thrust areas: 1) the DHS University Centers of Excellence (COEs), 2) the DHS S&T Directorate's Educational Programs, and 3) the Minority Serving Institutions programs.

Centers of Excellence Thrust Area – FY 2010: \$38.395 million; FY 2011 estimate: \$30.417 million. The current 12 COEs engage approximately 200 colleges and universities to conduct multidisciplinary research in priority DHS mission areas. The COEs align to the S&T Directorate's divisions and their customers. COEs improve understanding of the causes, elements, and consequences of a range of threats from terrorists and natural disasters. They also support countermeasure, mitigation, prevention, and resilience approaches based on both technologies and human behavior. The FY 2011 budget will require adjustments to the current COE structure using COE performance to identify which COEs not to fund.

The COEs work with and through the S&T Directorate's divisions and complement other DHS research and development programs including those of Federal laboratories and federally funded research and development centers (FFRDCs). They take advantage of other relevant Federal agency-sponsored research and provide outcomes useful to Federal, State, and local government, private sector, and international partners. The selection process for the COEs is highly competitive, peer-reviewed, and merit-based.

Primarily funded through research grants and cooperative agreements, the COEs are building expertise and reach-back capabilities in multi-disciplinary topical areas important to homeland security. Presently, these areas are:

- Advanced Data Analysis and Visualization
- Biological Threats and Countermeasures
- Border Security
- Chemical Threats and Countermeasures
- Communications and Interoperability
- Community, Individual and Economic Resilience
- Emergency Preparedness and Response
- Explosives Detection, Mitigation, and Response
- Food and Agriculture Security
- Human Factors Aspects of Technology
- Immigration Studies
- Infrastructure Protection
- Maritime and Port Security
- Natural Disasters and Related Geophysical Studies
- Risk and Decision Sciences
- Social, Behavioral, and Economic Sciences

- Transportation Security

In FY 2009, competitions were completed for the Center of Excellence for Foreign Animal and Zoonotic Diseases at Texas A&M and the National Center for Food Protection and Defense at the University of Minnesota. In FY 2010, the program will award new or continuing grants for the Centers of Excellence for food protection and defense, and agricultural security to run through FY 2015. Also in FY 2010, the program will re-compete and establish a new Center of Excellence for operations research, risk assessment, and economic analysis to run through FY 2016. In FY 2011, this COE plans to extend or replace the existing Center for Risk and Economic Analysis of Terrorism Events (CREATE) at the University of Southern California.

The current Centers of Excellence include:

- Center for Advancing Microbial Risk Assessment (CAMRA), based at Michigan State University, established jointly with the U.S. Environmental Protection Agency (www.camra.msu.edu);
- Center of Excellence for Border Security and Immigration, collocated at the University of Arizona at Tucson and the University of Texas at El Paso;
- Center of Excellence for Command, Control, and Interoperability, co-led by Rutgers and Purdue Universities, which focuses on advanced mathematical analysis and visualization studies;
- Center of Excellence for Explosives Detection, Mitigation, and Response, collocated at Northeastern University and the University of Rhode Island;
- Center of Excellence for Food Protection and Defense (NCFPD), based at the University of Minnesota (www.ncfpd.umn.edu);
- Center of Excellence for Maritime Island and Extreme/Remote Environmental Security, collocated at the University of Hawaii and Stevens Institute of Technology;
- Center of Excellence for National Center for Foreign Animal and Zoonotic Disease Defense (FAZD), based at Texas A&M University (www.fazd.tamu.edu);
- National Consortium for the Study of Terrorism and Responses to Terrorism (START), based at the University of Maryland (www.start.umd.edu);
- Center of Excellence for Natural Disasters, Coastal Infrastructure, and Emergency Management, collocated at the University of North Carolina at Chapel Hill and Jackson State University;
- Center of Excellence for the Study of Preparedness and Catastrophic Event Response (PACER), based at Johns Hopkins University (www.pacercenter.org); and
- National Transportation Security Center of Excellence, collocated at the University of Connecticut, Texas Southern University, Tougaloo College, Long Island University, University of Arkansas, Rutgers University, and San Jose State University.

The following section contains specific activities conducted through each of these COEs.

Center for Advancing Microbial Risk Assessment (CAMRA) – Aligns with the S&T Directorate’s Chemical and Biological Division. The S&T Directorate established CAMRA jointly with the U.S. Environmental Protection Agency to fill critical gaps in microbial risk assessments – answering the question, “How clean is safe?” Following the anthrax contamination events, the Federal government recognized the need to develop safe standards for cleanup of biological agents of concern (BACs). CAMRA researchers are developing a scientific basis for standards for BACs in different media – air, water, and on surfaces. In FY 2009 through FY 2010, CAMRA will conduct infectious disease modeling for various agents to assess microbial risks and develop control strategies, and models of the fate and transport of pathogens in the air, drinking water, and on solid surfaces. The period of performance for the CAMRA grant ends September 30, 2011.

Center of Excellence for Border Security and Immigration – Aligns with the S&T Directorate’s Borders and Maritime Security Division. The COE provides fundamental research in support of DHS’ goals of strengthening border security, immigration enforcement, and immigration services. DHS customers and end-users include Customs and Border Protection (CBP), Immigration and Customs Enforcement (ICE), U.S. Citizenship and Immigration Services (CIS), U.S. Coast Guard (USCG), as well as State and local agencies. The COE will conduct scientific and engineering investigations that offer the prospect of high-payoff breakthroughs in detecting people and goods moving across our borders (legally or illegally), as part of a fully integrated, system-of-systems approach. The S&T Directorate expects this COE to provide insight and facilitate breakthroughs that could improve areas including screening and situational awareness along U.S. northern and southern borders. In FY 2009, the COE conducted research in detection (human, vehicles, and decision support), networks (interoperability, reliability, and C2), fusion (tools and approaches), immigration economics and policies, risk assessment (mitigation and alignment), immigrant populations (methods, metrics, and estimates), and governance (law enforcement and international cooperation). In FY 2010, the COE will, based on insights from research successes, develop corresponding educational curriculum materials in topical areas of greatest promise for long-term research and enduring need. In FY 2011, the COE plans to continue developing a curriculum for current, and future, homeland security practitioners’ professional development. The COE will also continue to serve as a systems integrator between border security technologies, border management, and immigration policies to deliver innovative, practical solutions.

Center of Excellence for Command, Control, and Interoperability (CCI) – Launched in March 2009, the CCI COE supports the Command, Control, and Interoperability Division, including research and development in knowledge management, threat assessment, reconnaissance and surveillance, cyber security, as well as communications interoperability and compatibility. This COE focuses on developing new methods, algorithms, and technologies that enable security agencies to efficiently manage and analyze the vast amount of data generated. In FY 2009, the COE provided a set of advanced analytical capabilities using the Global Terrorism Database, produced and hosted by START. In FY 2010, the COE will develop extensive homeland security related science, technology, engineering and mathematics (HS-STEM) curricula and

research programs to train students in advanced CCI-related research and analytical methods; and also develop a strategy for integration of CCI research and analysis with empirical data from other COEs and DHS Components. In FY 2011, the COE plans to expand its network of universities and partner with the international community, identifying complimentary and collaborative roles for each, and expanding its portfolio of multidisciplinary research projects. In addition, the COE will continue developing HS-STEM curricula focusing on interdisciplinary research programs and aligning its ongoing research programs with current CCI Division initiatives.

Center of Excellence for Explosives Detection, Mitigation, and Response – This COE conducts research to enhance the Nation’s ability to prepare for, prevent, mitigate, respond to, and recover from terrorist attacks involving explosives. The COE also develops relevant educational curricula for undergraduates, graduate students, and career professionals, as well as programs to enlighten secondary school teachers about the scientific foundations for homeland security. It also brings teachers and students into laboratories to participate in actual research and enhances their interest in and commitment to homeland security-related professions.

In collaboration with the S&T Directorate’s Explosives Division, this COE provides basic research to advance the technical tools and information that S&T Directorate’s customers will need in the future. DHS customers and end-users include the Chief Medical Officer (CMO), Office of Infrastructure Protection (OIP), Policy Directorate, Transportation and Security Administration (TSA), Immigration and Customs Enforcement (ICE), Office for Bombing Prevention (OBP), and State Homeland Security Agencies.

This COE conducts basic and transformation research in explosive-related areas such as:

- Properties (e.g., chemical, physical, and material) and formulation of explosive materials (including precursors and homemade compounds), as well as materials and/or technologies to mitigate explosives effects (e.g., blast-resistant materials);
- Detection of explosives and explosive devices, including methods to screen people, containers, and other potential conveyances of explosive materials;
- Unconventional approaches (e.g., alternative signatures) to identify indications of threats from explosives or bombers, to include algorithm development for improved detection and/or imaging capabilities and relevant human factors issues;
- New explosive detection tools by focusing on the fundamental sciences to enable more sensitive, selective, and adaptable sensors.
- Material science to improve understanding of the blast response of critical structures. The research outcome is to anticipate and predict failure and to assess the potential for mitigation of failure; and
- Other effective and efficient countermeasures, particularly ones for use in densely populated urban settings and transportation venues.

In FY 2009, the COE conducted workshops to help guide future research directions on novel countermeasure concepts, human factors issues, and improved imaging algorithms. In FY 2010, the COE will develop a multi-factor approach to detection that will improve technology and the ability to prevent casualties and damage to property. Also in FY 2010, the COE will obtain first-generation, scientific properties from available technical tools to characterize and test homemade explosives (HME) and precursor compounds. In FY 2011, the COE plans to identify the fundamental science and enabling technology research barriers to provide protection from explosives-related threats. The COE plans to identify the next-generation detection and mitigation systems. The COE also plans to research the response of materials to anticipate and predict failure and improve failure mitigation.

The National Center for Food Protection & Disease (NCFPD) – Aligns with the Chemical and Biological Division. Its mission is to defend the safety of the post-harvest food system by establishing best practices, developing new tools, and attracting new researchers to manage and respond to food contamination events. NCFPD works in system-wide food security, including:

- Supply-chain management;
- Food processing protection;
- Detection and diagnostics;
- Public health;
- Disposal and decontamination; and
- Economic impact assessment and risk communication.

This work helps the Department mitigate and counter threats to U.S. agriculture and food. In FY 2009, NCFPD extended their analysis of imported food vulnerabilities to the U.S. to consider risks to the global food supply, and exploring potential solutions working with DHS, the U.S. Food and Drug Administration (FDA), and the United States Department of Agriculture (USDA); extended a food transportation model; and further improved the model of food events and multi-State event communication systems. In FY 2010, NCFPD will develop a comprehensive information system for biological threats and countermeasures; extend the food event-modeling framework; work on detection in various food matrices; and broaden research on import vulnerabilities. In FY 2011, NCFPD plans to continue developing the required expertise, infrastructure, and training needed to provide DHS and food sector agencies/owners with comprehensive, internal capabilities in food defense. NCFPD will focus on two general types of efforts: 1) food-related topics (such as specific agent-food interactions) and 2) basic or early-stage research, which, if successful, can move to Divisional support/other stakeholders for further support or development.

The National Center for Foreign Animal and Zoonotic Disease Defense (FAZD) – Aligns with the S&T Directorate's Chemical and Biological Division. FAZD's mission is to protect against the introduction of high-consequence foreign animal and zoonotic diseases in the United States, with an emphasis on prevention, surveillance, intervention, and recovery. These diseases could have staggering economic impacts and threaten human health. FAZD is developing a scientific basis for detecting and preventing exotic

and zoonotic diseases, which assists in the Department's development of countermeasures and effective control strategies. In FY 2009, FAZD worked on the development of vaccines, antiviral agents, and means to increase resistance against threat diseases: Foot and Mouth Disease (FMD), Rift Valley Fever (RVF), Brucellosis, and Avian Influenza (AI). In FY 2010, the COE will 1) complete testing and deliver rapid multi-agent field tests for exotic animal diseases; 2) develop prototype host pathogen genetic markers for field use; create the ability to enhance genetic resistance to classes of exotic disease host-pathogen environmental relationships and molecular genetics; and 3) develop second generation scenario and consequence models and use these to provide analyses for third-generation bio-threat risk assessment. In FY 2011, FAZD plans to 1) develop a suite of distributed epidemiologic, economic, and environmental models and tools that address animal and zoonotic diseases and 2) develop broad based methods for investigation, detection, and protection from select and engineered agents and vaccine candidates for FMD, RVF, and AI.

Center for Maritime Island and Port Security (formerly Center of Excellence for Maritime, Island & Extreme/Remote Environmental Security) – Aligns with the Borders and Maritime Security Division. This COE conducts fundamental research to improve interdiction capabilities, enhance capacity to respond to catastrophic events, particularly for U.S. islands and extreme environments, and develop a more secure and efficient marine transportation system. DHS customers and end-users include the National Protection and Programs Directorate (NPPD), CMO, OIP, Federal Emergency Management Agency (FEMA), USCG, and State Homeland Security Agencies. The COE conducts integrated policy, legal, scientific, and engineering studies in detecting and monitoring people and goods moving through the U.S. maritime domain. It also conducts research to improve the Nation's ability to plan for and respond to natural and terrorist threats in the maritime realm. Finally, it supports long-term mitigation and recovery strategies for catastrophic events, particularly those that affect U.S. islands, territories, and remote areas. DHS also expects this COE to develop meaningful courses of study for students, both graduate and undergraduate, and career professionals involved with these issues. In FY 2009, the COE projects addressed diverse areas including wide-area surveillance techniques and harbor security. In FY 2010, the COE will continue to assess the impact of global policies and procedures, such as vulnerabilities within the global supply chain. In FY 2011, the COE plans to continue research guided by a spiral development approach to solving the complex issues facing the global marine transportation system (MTS) and our coastal communities.

The National Consortium for the Study of Terrorism and Responses to Terrorism (START) – Aligns with the S&T Directorate's Human Factors Division. START provides strategies for intervention against terrorists and terrorist groups, while strengthening the resilience of U.S. citizens to terrorist attacks. The START consortium uses advanced behavioral and social science theories, methods, and data to better understand the origins, dynamics, and impacts of terrorism. Applying this knowledge will provide guidance on how to disrupt terrorist networks, reduce the incidence of terrorism, and enhance the resilience of American society in the face of terrorist threats and natural disasters. Program activities include providing the world's largest open-

source database of terrorist incidents, a Global Terrorism Database (GTD), which enhances our understanding of the occurrences and impacts of terrorism. START will link the GTD to a number of databases that will include data on terrorism using weapons of mass destruction, volatility around the world, and illegal acts committed by extremists in the United States.

In FY 2009, START piloted, revised, and refined a Community Assessment of Resilience Tool, conducting focus groups and interviews among diverse audiences regarding the impact of public communications about terrorist threats. In FY 2010, START will continue its work on: 1) radicalization and terrorist group formation, extending its research to more countries and groups; 2) terrorist group persistence and dynamics, focusing on improving understanding of how terrorist groups operate, the effectiveness of counterterrorism strategies, and conducting an empirical analysis of Improvised Explosive Device (IED) attacks; 3) societal responses to terrorist threats and attacks; 4) Muslim community integration: journey into America; 5) the role for State governments in community resilience; 6) potential populations at risk from U.S. chemical facilities releases; and 7) cross-cutting data collection and analysis, including expansion of the Global Terrorism Database, development of a quantitative index of the public health impacts of terrorism, building community resilience through public involvement, analysis of organizational factors in the successful application of “community engagement”, and identification of principles for bioterrorism preparedness. In FY 2011, START plans to develop and foster new strategic partnerships, as well as allow current researchers to: 1) engage in research on emerging topics that relate to their current research; 2) update the Global Terrorism Database up to the first quarter of 2011; 3) prepare a summary report of the terrorism trends for policy makers; 4) draft/complete articles using GTD for publication. The period of performance for the START grant ends May 30, 2011.

Center of Excellence for Natural Disasters, Coastal Infrastructure, and Emergency Management – Aligns with the S&T Directorate’s Infrastructure and Geophysical Division. This COE conducts research leading to improvements in the Nation’s preparedness and ability to respond to, mitigate against, and recover from natural hazards and disasters. In addition, the COE develops and implements curricula that promote solutions to the challenges of natural disasters in the Nation’s coastal zone. The COE will also use this curriculum to educate and train the next generation of scholars and practitioners to address natural hazards. DHS anticipates that this COE’s discoveries will save lives, reduce property damage, and enhance the social and economic resilience of communities’ vulnerable natural hazards. This COE conducts basic and transformational research in coastal-hazards modeling, engineering to enhance the resilience of infrastructure and the natural environment, disaster response and social resilience, as well as planning for resilience. In FY 2009, the COE developed and tested improved computer models of atmosphere-water-land interactions during hurricanes that generate predictions of storm-surge size and location. The COE also completed an evaluation of State hazard-mitigation plans and developed policy recommendations to help improve hazard-mitigation plan and execution quality. In FY 2010, the COE will launch new graduate and undergraduate curricula in multiple programs including Engineering, Public Safety Management, Applied Science, and Environmental Health. In FY 2011, the COE

plans to develop a decision support tool that infrastructure managers and emergency management officials can use to minimize disruptions across multiple Critical Civil Infrastructure components due to natural hazards.

The Center for Risk & Economic Analysis of Terrorism Events (CREATE) – Cuts across all six S&T Directorate divisions' missions, and coordinates activities with the S&T Directorate's Operations Analysis Office, the Risk Sciences Branch, and the Homeland Security Systems Engineering and Development Institute (SEDI™). CREATE evaluates the risks, costs and consequences of terrorism, and identifies economically efficient investments in countermeasures to improve security and resilience. Research in these areas can contribute significantly to the Department's ability to identify and select cost-effective options for enhancing national security and minimizing human and economic casualties in the face of a range of hazards, as well as improve DHS' ability to predict terrorist threats. In FY 2009, CREATE integrated risk and economic models into an overall risk-management model that provides support for decisions to invest in countermeasures and allocate homeland security resources. Also in FY 2009, CREATE extended the terrorism risk-assessment framework to incorporate novel experimental approaches and new sources of data. In FY 2010, the COE will extend decision analysis to include dynamic interactions between attackers and defenders; develop specific projects in collaboration with each of the S&T Directorate divisions and the corresponding DHS operational units; develop capabilities for including intelligence data and analysis into decision support tools; extend applications of game theory to homeland security to include dynamic, multi-stage and stochastic games; and develop experimental games to test alternative theories and models of defender-attacker interactions. Also in FY 2010, CREATE will add partners with extensive capabilities in financial risk and economics as well as counter-terrorism operators. The synergies with CREATE's existing capabilities, as well as those of the START COE will create a powerful alliance to predict and counter terrorist attacks. The period of performance for the CREATE grant ends May 30, 2010.

The National Center for the Study of Preparedness and Catastrophic Event Response (PACER) – Aligns with the S&T Directorate's Infrastructure and Geophysical Division and Chemical and Biological Division. PACER focuses on optimizing our Nation's preparedness in the event of a high-consequence natural or man-made disaster and develops guidelines to alleviate the effects of such an event. In upcoming years, PACER will focus more closely on medical and public health issues related to preparedness and response with an emphasis on surge capacity. PACER is investigating issues relevant to the theory and practice of emergency preparedness and response, including critical decision-making, regional integration, and resilience of medical response networks, surge capacity, health systems integration, detection and biosurveillance, and public health preparedness. DHS customers and end-users include Office of Health Affairs (OHA), the FEMA, OIP and hospitals, health departments, and emergency responders. In FY 2009, PACER identified decision-making approaches and decision support technologies that would improve catastrophic event response. In FY 2010, PACER will develop Model Memoranda of Understanding (MOUs) for shared resources and services between health care facilities applicable to all acute care hospitals in the United States. In FY 2011, the

COE plans to estimate actual surge capacity in acute care medical facilities throughout the U.S. for sudden-impact catastrophic events.

The National Transportation Security Center of Excellence (NTSCOE) – Cuts across all six S&T Directorate Divisions and DHS component organizations, but is particularly responsive to the needs of TSA, OIP, FEMA, certain U.S. Coast Guard activities at ports, and these agencies' partners. This COE is initiating collaboration with the Transportation Security Laboratory and the Maritime COE. It addresses the technology and research needs associated with securing the Nation's surface transportation infrastructure and protecting the people who use it. In FY 2009, the COE developed preliminary research, education, and training programs to teach students and transportation professionals in advanced science, technology, management, policy, and behavioral techniques related to transportation security. In FY 2010, the COE will extend and further implement the results of the research, education, and training projects to support the evolving needs of DHS and its partners and will develop a NTSCOE Strategic Plan to ensure the COE's long-term alignment to address surface transportation security challenges from an all-hazards approach. In FY 2011, the COE plans to integrate its research, education, and training programs and begin transitioning collaborative COE efforts to support customers in the S&T Directorate, other DHS components, and elsewhere within the Federal government, using the NTSCOE Strategic Plan as a guide for future efforts. The COE's work will address the full range of hazards to the Nation's surface transportation infrastructure, including terrorist attack, natural disaster, pandemic disease, and vulnerabilities unique to the transportation of hazardous petrochemicals.

Education Thrust Area – FY 2010: \$5.948 million; FY 2011 estimate: \$5.217 million. This program invests in high-performing science and engineering students or professionals in the United States to develop the next generation of homeland security science and technology leaders. This thrust funds students, scholars, and faculty drawn from postsecondary, graduate, and professional levels of science and engineering disciplines. Activities in this thrust area include DHS Scholarships and Fellowships, HS-STEM Career Development Grants, American Association for the Advancement of Science (AAAS) Fellowships, and partnerships with the National Defense University to provide advanced science and technology education to DHS Federal employees.

Scholarships and Fellowships – University Programs has two distinct programs that provide scholarships for undergraduates and fellowships for graduate students pursuing HS-STEM degrees: the DHS Scholars and Fellows program and the Career Development Grants program. These two competitive programs provide educational support, internship, and employment opportunities to qualified individuals to enhance the scientific leadership in areas important to DHS. DHS requires supported students to serve one 10-week summer internship and one year in an approved HS-STEM venue. Student and scholar researchers perform work at more than 28 DHS-affiliated venues including the S&T Directorate, national laboratories, and DHS components such as USCG and the Office of Intelligence and Analysis (I&A).

The DHS Scholars and Fellows program competitively awards scholarships and fellowships to individual science, mathematics, and engineering undergraduate and graduate students.

The DHS S&T Directorate's Career Development grants program provides competitive awards to support undergraduate and graduate students attending institutions, including the COEs, which have made a commitment to develop HS-STEM curricula and fields of study.

Minority Serving Institutions (MSIs) Thrust Area – FY 2010: \$3.773 million; FY 2011 estimate: \$3.366 million. This program improves the capabilities of MSIs to conduct research, education, and training in areas critical to homeland security and to develop a new generation of scientists capable of advancing homeland security goals. In FY 2009, the program expanded its focus to HS-STEM workforce development at DHS, State and local agencies, national laboratories and COEs. In FY 2010, the program will refine successful programs, develop more internships, and identify more career opportunities in areas of importance to DHS. In FY 2011, this project plans to fund scholarships, fellowships, and internships that will help develop a new generation of homeland security experts.

Department of Homeland Security
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Homeland Security Institute
Program Performance Justification
(Dollars in Thousands)

PPA: Homeland Security Institute

	Perm. Pos	FTE	Amount
2009 Actual	-	-	4,925
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Total President's Budget	-	-	-
Total Change 2010 to 2011	-	-	-

The Science and Technology (S&T) Directorate shifted funding for this activity into the Transition PPA in FY 2010.

IV. Program Justification Changes

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 1: Borders and Maritime
PPA: Research and Technology
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-4,483.0

Funding Profile

	FY 2009 Actual			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	44,419
Program Decrease							-	-	(4,483)
Total Request	-	-	31,986	-	-	44,181	-	-	39,936

Description of Item

The decrease in FY 2011 will eliminate funding for R&D in the Borders and Maritime Security Division (BMD) due to the funding of higher priority efforts within the Department. The division has successfully delivered important interim capabilities to its customers in recent years, and continues to make significant progress toward scientific, phased delivery of complete solutions for securing U.S. borders, including ports-of-entry and vast stretches of remote terrain and waterways – with the ultimate goal of stopping threats before they enter the United States.

Justification

BMD's R&D develops and transitions tools and technologies that have a significant impact on the security of our nation's borders and waterways, without impeding the flow of commerce and travelers. BMD's research directly reduces the threat of terrorist entry into the United States and counters illegal immigration, organized crime, and illegal activities by improving the security and integrity of the nation's maritime and terrestrial borders.

The proposed reductions will reduce funding for the Border Watch Thrust Area. Border Watch develops a network of advanced sensor and communication technologies that provide law enforcement officers critical information about illegal activities along the U.S. border. Cargo Security reduces the risk of terrorists manipulating cargo conveying across various transit modes in the international supply chain.

The FY 2011 program decrease will eliminate the following project and effort:

- Maritime Security Technology Pilot Project
- Low-Flying Targets Emerging Threat Effort

Detailed information on terminated project and effort:

Maritime Security Technology Pilot Project – Provides a maritime environment for the development, testing, and evaluation of new sensors and surveillance technologies. This project is a risk reduction tool that manages a controlled, operational testbed in settings representative of DHS operational environments. The elimination of this project impairs the S&T Directorate's ability to show how future technology could support Department of Homeland Security operations and how concept of operations (CONOPS) may change based on new technology.

Low-Flying Targets Emerging Threat Effort – Assesses emerging threat of low-flying aircraft smuggling contraband across the U.S. border, a growing concern expressed by CBP. Aligned with the Sensors/Data Fusion and Decision-Aids Project, the effort addresses a fundamental basic research need to evaluate existing capabilities and identify a path forward for addressing the detection, identification, and tracking of these targets.

The reduction in funds affects the Division’s ability to address the following capability gaps identified by DHS operating components:

- Development, testing, and evaluation of technologies that facilitate real-time detection, tracking, identification, and classification of land, marine, and air targets and assets along the terrestrial and maritime borders.
- Surveillance (detect, track, classify, identify) of all threats along the terrestrial and maritime borders to detect illegal border crossings.
- Surveillance and monitoring of uncooperative aircraft

The Borders and Maritime Security Division will continue to work closely with its operational customers to identify and generate the technologies that can secure air, land, and maritime borders, including U.S. ports-of-entry and inland waterways.

<u>Terminated Project and Effort</u>	<u>Affected Customers</u>
Maritime Security Technology Pilot Project	Customs and Border Protection (CBP)
Low-Flying Targets Emerging Threat Effort	Immigration and Customs Enforcement (ICE), CBP

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 2: Chemical and Biological
PPA: Research and Technology
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-7,188.0

Funding Profile

	FY 2009 Actual			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	208,051
Program Decrease							-	-	(7,188)
Total Request	-	-	167,109	-	-	206,800	-	-	200,863

Description of Item

The decrease in the budget request for FY 2011 will reduce funding for existing research and development (R&D) efforts through the Chemical and Biological Division due to the funding of higher priority items within DHS.

Justification

The FY 2011 program decrease impacts the following projects:

The projects below fall within the Surveillance and Detection program, which develops next-generation detectors for biological threat agents, including fully autonomous detection capabilities for the next generation, BioWatch systems.

- *National Bio-Surveillance Integration System (NBIS)* - Reduces S&T Directorate support of NBIS due to the funding of higher priority initiatives. The S&T Directorate supports the Office of Health Affairs' operation of NBIS by providing subject matter expertise and developing modeling tools. NBIS provides decision makers early identification of biological events of national significance, such as disease outbreaks, the potential use of biological agents, and emerging biohazards. The S&T Directorate will no longer provide this support.
- *Next-Gen Bio Detection* – Delays the development of technologies and systems to detect enhanced, emerging, and advanced biological threats due to the funding of higher priority initiatives. This decrease delays the development of a system to accurately detect the presence of a traditional bioterror agent, provide characterization of that pathogen for its virulence,

determine if the agent has been enhanced to defeat medical countermeasures, provide rough quantification of the amount of that agent, and preserve samples for further analysis.

This project below falls within the Analysis program, which develops a robust and enduring analytical capability to support chemical countermeasures development.

- *Economic Supply Chain Analysis* - The funding of higher priority items necessitates the termination of this effort to understand the economic vulnerability of chemical sector to natural/man-made disasters. This will reduce the capability to analyze the chemical sector and other infrastructure component interactions in support of chemical asset prioritization, consequence assessment, and policy development. The S&T Directorate will not be able to provide analysis and reports on organic and inorganic pharmaceuticals and agricultural supply chains and reports on completion of capability, documenting findings, and resiliency of supply chains. The program will not complete annual peer and industry reviews to assess project capabilities.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 3: Command, Control, and Interoperability
 PPA: Research and Technology
 Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-7,414.0

Funding Profile

	FY 2009 Actual			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	82,246
Program Decrease							-	-	(7,414)
Total Request	-	-	73,830	-	-	81,764	-	-	74,832

Justification

A reprioritization of FY 2011 funding towards higher priority initiatives will eliminate or delay the following projects in CCI:

- Cyber Insider Threats;
- Integrated Data Processing and Analysis;
- Sensor Web;
- Traditional Forensics (formerly Laboratory Forensics); and
- Special Programs, Comparative Studies

Cyber Insider Threats – Conducts research that protects the Government, private sector and critical infrastructure, where agencies/departments/corporations/institutions maintain valuable and highly sensitive proprietary information, and where banking institutions manage the flow of and access to electronic funds. Illegal access to these systems by malicious insiders can cause grave national security and monetary damage.

Integrated Data Processing and Analysis – Limits the scope of regional information sharing and collaboration pilots that the project plans to conduct with law enforcement agencies in the Mid-Atlantic and Pacific Northwest regions. Delays planned pilot follow-on activities from FY 2011 until FY 2012.

Sensor Web – Eliminates activities to develop and demonstrate intelligent sensor webs for use in law enforcement applications and emergency response situations. Delays follow-on demonstrations and commercialization efforts planned for FY 2011 until FY 2012.

Traditional Forensics (formerly Laboratory Forensics) – Eliminates efforts to improve current forensic methods or develop new ones that the legal system accepts to examine evidence. This project provides technology solutions for data visualization challenges, identity-questioned document examination, forensic audio/visual analysis, forensic chemistry, and efforts that seek to reduce forensic examination error rates.

CCI Special Programs, Comparative Studies – Eliminates research and analytic studies (e.g., historical, competitive strategies, net assessment, etc.) to examine the past and future evolution of the terrorist versus security force competition over time.

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 4: Human Factors
PPA: Research and Technology
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-2,746.0

Funding Profile

	FY 2009 Actual			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	16,181
Program Decrease							-	-	(2,746)
Total Request	-	-	11,324	-	-	16,087	-	-	13,435

Description of Item

The decrease in FY 2011 reflects reductions in Human Factors' efforts in the Community Preparedness and Resilience Program, Motivation and Intent Program, and the Suspicious Behavior Program due to the funding of higher priority initiatives within the department.

Justification

The reduction in FY 2011 impacts the following Human Factors efforts as detailed below.

Ends the Resilient Social Networks Project:

A reallocation of resources results in the elimination of research efforts that use social network analysis to strengthen the connections between public and private sector entities and to improve collaboration, planning, response, and recovery activities in the face of a natural or terrorist disaster.

Reduces Quantitative Psychosocial Impacts Index project

The funding reduction reduces efforts to develop a quantitative index to assess the psychological, social, and economic impacts of catastrophic events that will factor into risk assessments, measure community recovery, and prioritize preparedness, response, and recovery activities. The reduction in FY 2011 will delay research to identify economic and mental health indicators related to social disruption.

Reduces Violent Intent Modeling and Simulation project

The Violent Intent Modeling and Simulation (Basic Research) project develops tools to assist analysts in determining whether radical groups are likely to engage in political violence. This reduction will delay by 10 months the delivery of an analytic framework

and modeling system based upon empirically validated social and behavioral science theories. This will also delay the ability of analysts to assemble and test competing scenarios, a capability which would increase their confidence in estimates of potential group violence. This research will assist Intelligence and Analysis (I&A) and State and local law enforcement.

Reduces Validation of Screening Passengers by Observation Techniques (SPOT) project

The funding reduction delays the Validation of Screening Passengers by Observation Techniques (SPOT) project's transition of indicators used to identify and interdict threats before they enter the United States, at mass transit portals, critical infrastructures, and special events.

Reduces Insider Threat project

A multi-year effort to develop an integrated, layered approach to insider threats specific to the DHS problem set would be delayed due to the reprioritization of funds towards higher priority initiatives in FY 2011. FY 2010 focuses upon a development and assessment of a specific aspect of public safety concern (information technology sabotage) that will form a test case for expanding the model to other aspects unique to DHS personnel and accompanying physical security measures. A decrease in FY 2011 will necessitate the delay of operational testing of the empirical framework. Further, expansion of the model would be limited.

The funding reduction in FY 2011 will negatively impact the Human Factors/Behavioral Sciences Division. The funding reduction will eliminate research and analysis to identify and strengthen social networks across public and private sector entities in local communities to improve collaboration, planning, response, and recovery. The decrease in FY 2011 will also delay research to identify economic and mental health indicators related to social disruption; development and testing of competing violent intent scenarios; transition of optimized behavioral indicators and weights to DHS operational screening commands, including the TSA SPOT program; and delay testing of an insider threat empirical framework.

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 5: Infrastructure and Geophysical
PPA: Research and Technology
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-39,106.0

Funding Profile

	FY 2009 Actual			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	75,228
Program Decrease							-	-	(39,106)
Total Request	-	-	65,448	-	-	74,958	-	-	36,122

Description of Item

The decrease in the request for FY 2011 due to a reprioritization of funding within the department will impact existing research and development (R&D) efforts that the Infrastructure and Geophysical Division (IGD) is conducting.

The Infrastructure and Geophysical Division conducts R&D on the 18 Critical Infrastructure/Key Resource (CIKR) sectors identified in the National Infrastructure Protection Plan (NIPP). This meets the requirements set forth in the Homeland Security Presidential Directive (HSPD)-7, Critical Infrastructure Identification, Prioritization, and Protection

The proposed reduction will reduce funding for the following projects in the Preparedness and Response Thrust Area.

The following projects support the Incident Management Enterprise Program, which develops advanced, scalable, interoperable, and non-proprietary incident information-management, decision-making, and training tools for emergency responders and incident commanders to use during everyday episodes for events of national significance that increasingly demand more highly coordinated responses.

- *Incident Logistics and Resource Tracking System Project* – Provides a comprehensive and transparent disaster logistics tracking system across the entire area of responsibility of all disaster response, for both public and private partners. The project is planning to develop and test the first functional incident logistics system. However, the reduction in FY 2011 will delay transition of the tool to FEMA.

- *Overhead Imagery Data Project* – Develops advanced Geographic Information Science to support the application of remote sensing, image processing, geographic information systems, digital cartography, and spatial modeling for disaster management and hazards research. The project is planning to collect and evaluate requests for information to integrate overhead imagery data from a variety of collection platforms and sensors into incident management geospatial systems to improve and accelerate disaster impact analysis on facilities, dwellings, and critical infrastructure. The project is working towards deployment of a geospatial management system that would integrate overhead imagery data from a variety of collection platforms and sensors into existing Federal, State, tribal, and local systems. This effort would improve and accelerate disaster impact analysis on facilities, dwellings, and critical infrastructure. However, the reduction in FY 2011 will delay this work, postponing the transition of technology to customers.
- *Wild Fire Detection and Prediction Project* – Develops tools to detect, locate, and then predict the magnitude of wild fires to help prevent wildland-urban interface (WUI) fire disasters. This project is planning to prototype, deploy, and integrate improved techniques for early detection of wild fires in remote locations and predict magnitude and direction of wild fires into existing wild fire incident management systems, per customer requirements. The project is working towards exploration and potentially development of improved techniques for rapid-fire suppression in both wild fire and urban fire settings. However, the reduction in FY 2011 will delay this work, postponing the transition of technology to customers.
- *P&R Advanced Requirements Development and Studies* – Engages emergency response communities at the Federal, State, and local levels to assess the state-of-the-art and establish requirements for the development of advanced technologies within the Incident Management Enterprise Program. The project had planned to perform technology surveys on state-of-the-art in preparedness and response technologies to identify capability gaps and establish requirements for the customer. However, the proposed reduction eliminates this effort due to the funding of higher priority initiatives within FY 2011.

The proposed funding reduction will also significantly reduce the Geospatial Analysis Program, which is planning to develop the tools to predict seismic activity using data acquired from satellites, unmanned and manned aerial sensor platforms in response to customer requirements. For example, a new technique called radar interferometry (InSAR) has the potential to produce detailed maps of the warping of the Earth's surface during the earthquake cycle. This technique makes it possible to obtain data with a spatial resolution of a few tens of meters and to a precision of a few millimeters, which would enable First Responders and incident managers to accurately predict seismic activity and take preventative measures. The program includes the following projects.

- *Seismic Activity Detection Data Collection and Analysis* – Develops the data sources to support design and development of models that provide earlier prediction of seismic activity than is currently available from ground-based seismic monitoring systems. This project is planning to improve public alert and warning of seismic activity by developing and prototyping geospatial analysis models and tools with the ability to exploit overhead sensor data to provide early warning of seismic activity. The project is working towards integrating these tools into existing early warning systems. However, the reduction in FY 2011 will delay this research, postponing the transition of technology to customers.
- *Seismic Alert and Warning* – Integrates the modeling predictive capabilities with emergency management alert and warning systems, planning capabilities, and training and exercise programs. The project is planning to develop and prototype seismic warning models and tools with selected local, State, and Federal agencies to provide early warning data for exercises and drills. The project is working towards integrating these models into existing early warning systems to improve public alert and warning of seismic activity.

The reduction in funding also affects the Infrastructure Protection IPT in the following areas:

The proposed reduction will impact the following projects in the Critical Infrastructure Protection Thrust Area, which conducts R&D activities on the 18 CIKR sectors identified in the National Infrastructure Protection Plan (NIPP).

- *CIP Advanced Requirements Development and Studies* – Engages infrastructure Sector Specific Agencies (SSA) in the Office of Infrastructure Protection (IP), regional consortiums and owners and operators to assess the current state-of-the-art and establish requirements for the development of advanced technologies within the Infrastructure Protection Advanced Surveillance and Detection Systems Program. This project supports the Advanced Surveillance Detection Systems Program, which conducts R&D on the surveillance of the 18 CIKR sectors identified in the NIPP and HSPD-7 and seeks to address the IP requirements by automating and increasing the fidelity of tasks currently performed by operators. The project develops technology to detect subtle changes against a background environment, and incorporates advanced sensors including optical, infrared, ultraviolet, and acoustic.
- The project was planning to perform technology surveys on state-of-the-art in critical infrastructure protection technologies; however, a reprioritization of resources necessitates the end of this project.
- *Blast/Projectile - Advanced Materials Design Project* – Conducts basic research in conjunction with existing Federal investments in nanotechnology and other materials science efforts to develop extremely strong, lightweight, resilient materials. This project supports the Protective Technologies program, which

conducts research on sector-specific and region-specific needs, identified by IP, or requested from critical infrastructure sectors and Sector Specific Agencies (SSAs), as designated by HSPD-7. However, the reduction in FY 2011 will significantly delay this work.

The Infrastructure and Geophysical Division works to improve our critical infrastructure by providing technologies for hardening and rapid response and recovery for critical infrastructure assets. The decreases to Preparedness and Response and Infrastructure Protection will impact the Infrastructure Protection and Preparation and Response IPTs but the division will continue to work with customers to develop and deliver technologies that help DHS to meet its mission goals.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Justification of Program Changes
(Dollars in Thousands)**

Program Decrease 6: Innovation
PPA: Research and Technology
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-216.0

Funding Profile

	FY 2009 Actual			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	44,216
Program Decrease							-	-	(216)
Total Request	-	-	31,527	-	-	44,000	-	-	44,000

Description of Item

The FY 2011 decrease of \$216,000 in Innovation affects new starts in the areas of passive screening detection and explosives.

Justification

Innovation focuses on homeland security research and development (R&D) that could lead to significant technology breakthroughs that would greatly enhance DHS operations. In FY 2011, the decrease of \$216,000 reduces the funding available to new starts:

Passive Methods for Precision Behavioral Screening—Builds on the Future Attribute program to transform the screening process from active (FAST) Screening Technologies to passive detection so that the screening process does not require direct interaction. This project will develop technologies that will .between the operator and the subject ,intrusive-and throughput through non ,automation ,enable increased standoff s'undetectable technologies that screen for behavioral and psychological cues of a person. Passive detection will enable the .ntent to commit a harmful act at safe standoff rangesi interpretation of physiological and behavioral cues or signatures that the body naturally does not and ;accurate validation of associated documentation/support rapid ;produces ,radio frequency energy ,scans ,agents asking questions) induced stress-require operator .(.etc

Operationally Deployable Explosives Mitigation—Develops new approaches and from an (.etc ,ingsball bear ,tacks ,nails) technologies to mitigate the shrapnel damage. The novel concept is to mitigate the effects of .including suicide bombers ,explosive explosives by forcing the shrapnel into the ground to minimize damage to surrounding ,people and infrastructure

Innovation provides only high-level details because the very concept of innovation is to address known problems with emerging solutions. Specific information is not available and others propose solutions in response ,laboratories ,universities ,until private entities such high payoff solutions give DHS a ,However .ementsto Broad Agency Announc .accidental disasters to fulfill its mission/clear advantage against the enemy or natural

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 7: Laboratory Facilities
PPA: Research and Technology
Program Increase: Positions 0.0, FTE 0.0, Dollars \$11,146.0

Funding Profile

	FY 2009 Actual			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							130	130	110,854
Program Increase							-	-	11,146
Total Request	121	119	146,083	130	130	150,188	130	130	122,000

Description of Item

The FY 2011 program change reflects a program change increase of \$11.146 million for infrastructure upgrades at Transportation Security Laboratory (TSL) and operating and maintaining DHS laboratories.

Justification

In FY 2011, the Transportation Security Laboratory (TSL) will continue the upgrade program began in FY 2010. A budget for upgrades ensures that DHS S&T laboratories do not reach a point where dilapidated infrastructure or the lack of sufficient infrastructure prohibits conducting needed research and development. Capital upgrades are not routine operations and maintenance or expected upkeep but include remodeling, rebuilding, and outfitting space to allow scientists to pursue new capabilities based on customer requirements; and major overhauls of systems (electrical, water/sewage system) to ensure operability, safety, and security. An Infrastructure Upgrades budget prevents an unmanageable and unaffordable situation where key facilities require upgrades simultaneously.

At TSL, where current facilities are insufficient to support its changing mission, infrastructure upgrades address space issues and allow TSL to extend its focus beyond aviation to mass transportation. This change supports DHS Secretary Napolitano's Goal, "Transportation Security – While the Department has dramatically increased security in the aviation domain, we must also ensure we properly mitigate risks across the surface transportation domain." In FY 2010, the Office of National Laboratories (ONL) will construct explosive storage bunkers so that TSL can continue to support increasing system development testing requirements. The bunkers will eliminate the need to rent

storage space off-site and position TSL for anticipated growth in detection systems' validation.

In addition to explosives storage space, capital investment plans at TSL include the following: constructing a new independent testing and evaluation (IT&E) laboratory; renovating and expanding the developmental, test, and evaluation (DT&E) laboratory space; and providing additional office and non-explosive storage space. These upgrades support TSL's current needs and the laboratory's efforts to expand expertise in mass transportation. Currently, the laboratory operates second and third shifts and must rotate equipment among various laboratory cells to conduct testing. Any disruptions in these activities adversely affect testing schedules and technology development for DHS customers. In FY 2011, ONL plans to complete design for TSL upgrades, begin renovating space to increase DT&E space, and begin constructing general-purpose laboratory and administrative space to support the IT&E and DT&E missions.

In FY 2011, the S&T Directorate request does not include funds for the National Bio and Agro-defense Facility (NBAF). Instead, the S&T Directorate will request a reprogramming of prior year funds. In FY 2011, the S&T Directorate plans to build the Central Utility Plant (CUP) with the reprogrammed funds in conjunction with matching funds from the State of Kansas. In the current fiscal year, FY 2010, the S&T Directorate will fund design and site-specific risk assessment studies, and cost-share funds from the State of Kansas will support site preparation (e.g., earthwork, roadways, parking, fencing, and utility distribution).

The requested FY 2011 funding will enable the Division to operate and maintain DHS laboratories to support its DHS customers. Construction and operations of laboratories enable innovative research that will ensure the preparedness of the Nation against a variety of chemical, biological, agricultural, and other attacks.

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 8: Test and Evaluation/Standards
PPA: Research and Technology
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-5,996.0

Funding Profile

	FY 2009 Actual			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	29,170
Program Decrease							-	-	(5,996)
Total Request	-	-	27,332	-	-	29,000	-	-	23,174

Description of Item

The decrease in FY 2011 will reduce the following programs in the Test and Evaluation (T&E) and Standards Division:

Standards Development – A reprioritization of funding towards higher priority initiatives results in reduced funding for S&T standards efforts, including the following:

- Personal Protective Equipment standards increase safety in life-threatening situations. Examples include respiratory protection equipment and Chemical, Biological, Radiological, and Nuclear (CBRN) protection ensembles.
- Chemical decontamination standards allow responders to more effectively decontaminate themselves and civilians in the event of a chemical attack or accident.
- Human and machine interface standards provide responder equipment and computer systems with clear and understandable displays and user-friendly interfaces and configurations (e.g., handles, switches, size/weight/shape, etc.)

Additionally, the reduction in funds eliminates the following projects:

- Cargo screening and sensor standards for border security equipment.
- Blast-resistant trash receptacle deployment guide development. The Standards program will complete receptacle performance standards but will not develop the guide which provides details on deployment aspects such as where (not) to deploy the trash receptacles.

- Universal access control and credentialing to support transportation worker identification. The Standards program has been developing standards for access control devices and computer systems.

T&E Test Area/Capabilities Program – Reduction will result in less support for DHS Acquisition program reviews. The T&E Test Area/Capabilities program works directly with DHS acquisition programs to assist in the development and execution of a robust T&E program that will lead to the evaluation of the program’s effectiveness and suitability. Reductions impact the program’s goal to implement a uniform and centrally managed Departmental test and evaluation process into the entire development and acquisition lifecycle

In FY 2009, the program expanded its oversight function to all DHS Level 1 and non-delegated programs and wrote an independent assessment report of the program’s Operational T&E. The program also developed a DHS Modeling and Simulation (M&S) T&E policy. In FY 2010, the program will continue its oversight function as well as expand to include new Level 1 and non-delegated programs, implement the M&S T&E policy, and establish a DHS model verification, validation, and accreditation process. In FY 2011, the program plans to provide T&E oversight of all Level 1 and non-delegated acquisition programs and maintain Modeling and Simulation T&E Policy. Reduced funding affects the scope, including the number of programs reviewed, of this effort.

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 9: Transition
PPA: Research and Technology
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-4,271.0

Funding Profile

	FY 2009 Actual			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	46,405
Program Decrease							-	-	(4,271)
Total Request	-	-	18,347	-	-	46,134	-	-	42,134

*Includes funds executed by the Homeland Security Institute PPA in FY 2009

Description of Item

The decrease in FY 2011 impacts Transition's efforts in First Responder Technologies and TechSHARE.

Justification

Transition contributes to achieving the Long-Term Fiscal Years Homeland Security Program (FYHSP) Performance Goal to deliver near-term products and technology enhancements through science and technology. The FY 2011 reduction impacts the following Transition programs.

First Responder Technologies

In FY 2009, the S&T Directorate initiated the First Responder Integrated Product Team (IPT) and integrated it into the current product transition program. The S&T Directorate established this IPT in response to Congressional feedback to establish a fair and equitable process for the First Responder community to provide input to the S&T Directorate on their representative technology needs. The Secretary endorsed this approach. Federal, State, local, and tribal First Responders will identify science and technology requirements and prioritize technology solutions proposed by the S&T Directorate's divisions for development or enhancement. In FY 2010, the S&T Directorate divisions plan to start these new First Responder initiatives. The program's decreased budget in FY 2011 will reduce the S&T Directorate's efforts to support field-testing of First Responder prototype technologies.

TechSHARE - TechSolutions

The TechSolutions project fields prototypical solutions within 12 months; establishes a cost that is commensurate with the proposal (one million or less per project); and develops a solution that meets 80 percent or more of the identified requirement. First Responders are able to submit gaps to the program through the website, www.TechSolutions.dhs.gov.

This reduction delays TechSolutions' ability to develop technologies such as:

- Next-generation self-contained breathing apparatus which decreases the size and weight of the cylinder firefighters breath air from thus reducing fatigue and improving agility;
- FireGround Compass which provides firefighters with orientation when they become disoriented in a smoke filled building; and
- Stand Off Patient Triage Device, which allows emergency medical personnel to obtain life saving vital sign readings from victims of a mass casualty event.

TechSolutions plans to initiate similar technology development efforts in FY 2011 and beyond. A decrease in TechSolutions' budget will delay the project's ability to develop and transition technologies similar to these in the future. Some of the efforts planned include:

- See-through-wall technology capable of providing firefighters and law enforcement officials with situational awareness information that can lead to the location of trapped victims in a burning structure or prevent law officers from walking in on an armed ambush;
- Ground-Penetrating Radar technology capable of locating victims of earthquake or mine shaft collapses; and
- Voice-Amplification technology that allows First Responders who are fully donned in personal protective equipment to safely communicate with victims.

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Justification of Program Changes
(Dollars in Thousands)

Program Decrease 10: University Programs
PPA: Research and Technology
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-9,654.0

Funding Profile

	FY 2009 Actual			FY 2010 Enacted			FY 2011 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	49,654
Program Decrease							-	-	(9,654)
Total Request	-	-	38,821	-	-	49,350	-	-	40,000

Description of Item

The FY 2011 funding decrease will eliminate one or more Centers of Excellence (COEs), Minority Serving Institutions (MSIs), and approximately \$600,000 from Education’s Scholarship and Fellowship program within University Programs.

Justification

University Programs aims to build scientific leadership and core competencies in multi-disciplinary areas by investing in three thrust areas: a coordinated, university-based system of Centers of Excellence (COEs); Educational Programs; and Minority Serving Institutions. Integration of these three thrust areas ensures that DHS gets the maximum return on its investment in university research and education.

University Programs supports basic research and the education of promising students in homeland security-related Science, Technology, Engineering, and Mathematics (HS-STEM) fields. The Homeland Security Act of 2002 directs the S&T Directorate to “establish a coordinated, university-based system to enhance the Nation's homeland security”. Implicit in this directive is the need for DHS to support both university-based research and a well-considered approach to training and placing future Homeland Security scientists, engineers, and practitioners for/in HS-STEM fields. Universities provide adaptable homeland security research capacity to address critical homeland security research needs in both the near- and long-term.

University Programs’ mission is to maximize the Department’s return on investment in university-based research and education to achieve the goals set by Congress as efficiently as possible. Because the program supports research, education, and technology development in HS-STEM fields, it is building the Nation’s intellectual capital in these

areas. University Programs is one of the only Federal entities assuming this role with respect to domestic security-related studies. The Congress enacted legislation (America COMPETES Act) to increase investment in long-term basic research and increase support for students in relevant fields as critical to preserving the U.S.'s strategic and economic security.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

For necessary expenses for science and technology research, including advanced research projects; development; test and evaluation; acquisition; and operations; as authorized by title III of the Homeland Security Act of 2002 (6 U.S.C. 181 et seq.); [\$863,271,000] **and the purchase or lease of not to exceed five vehicles, \$866,305,000**, of which [\$713,083,000] **\$744,305,000**, to remain available until September 30, [2012] 2013; and of which [\$150,188,000] **\$122,000,000**, to remain available until September 30, [2014] 2015, solely for Laboratory Facilities[: Provided, That not less than \$20,865,000 shall be available for the Southeast Region Research Initiative at the Oak Ridge National Laboratory: Provided further, That not less than \$3,000,000 shall be available for Distributed Environment for Critical Infrastructure Decision making Exercises: Provided further, That not less than \$12,000,000 shall be for construction expenses of the Pacific Northwest National Laboratory: Provided further, That not less than \$2,000,000 shall be for the Cincinnati Urban Area partnership established through the Regional Technology Integration Initiative: Provided further, That not less than \$10,000,000 shall be available for the National Institute for Hometown Security, Kentucky: Provided further, That not less than \$2,000,000 shall be available for the Naval Postgraduate School: Provided further, That not less than \$1,000,000 shall be available to continue a homeland security research, development, and manufacturing pilot project: Provided further, That not less than \$500,000 shall be available for a demonstration project to develop situational awareness and decision support capabilities through remote sensing technologies: Provided further, That not less than \$4,000,000 shall be available for a pilot program to develop a replicable port security system that would improve maritime domain awareness: Provided further, That \$32,000,000 shall be for the National Bio- and Agro-defense Facility, of which up to \$2,000,000 may be obligated for the National Academy of Sciences to complete the Letter Report required in section 560(b) of this Act].

B. FY 2010 to 2011 Budget Change

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
 FY2010 to FY2011 Budget Change
 (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2009 Actual	121	119	694,529
FY 2010 Enacted	130	130	863,271
Adjustments-to-Base	-	-	-
Increases	-	-	-
Transfer of Transformational R&D (TAR) from DNDO	-	-	109,000
Annualization of FY 2010 Pay Raise	-	-	90
FY 2011 Pay Increase	-	-	189
Maintain R&D Current Services	-	-	5,149
Laboratory Facilities - Operations and Maintenance	-	-	3,280
Total Increases	-	-	117,708
Decreases	-	-	-
Non-Recur: Pacific Northwest National Laboratory	-	-	(12,000)
Non Recur: National Bio and Agro Defense Facility	-	-	(32,000)
Total Decreases	-	-	(44,000)
Total, Adjustments-to-Base	-	-	73,708
FY 2011 Current Services	130	130	936,979
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Borders and Maritime	-	-	(4,483)
Chemical and Biological	-	-	(7,188)
Command, Control, and Interoperability	-	-	(7,414)
Explosives	-	-	(746)
Human Factors	-	-	(2,746)
Infrastructure and Geophysical	-	-	(39,106)
Innovation	-	-	(216)
Laboratory Facilities	-	-	11,146
Test and Evaluation/Standards	-	-	(5,996)
Transition	-	-	(4,271)
University Programs	-	-	(9,654)
Total, Program Changes	-	-	(70,674)
Offsetting Collections	-	-	-
FY 2011 President's Budget	130	130	866,305
FY 2010 to FY 2011 Total Change	-	-	3,034

C. Summary of Requirements

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
 Summary of Requirements
 (Dollars in Thousands)

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actual	121	119	694,529
FY 2010 Enacted	130	130	863,271
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
Increases	-	-	117,708
Decreases	-	-	(44,000)
Total, Adjustments-to-Base	-	-	73,708
FY 2011 Current Services	130	130	936,979
Program Changes	-	-	-
Total, Program Changes	-	-	(70,674)
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total President's Budget	130	130	866,305
Total Change 2010 to 2011	-	-	3,034

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			President's Budget			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Borders and Maritime	-	-	44,181	-	-	39,936	-	-	(4,245)	-	-	(4,483)	-	-	238
Chemical and Biological	-	-	206,800	-	-	200,863	-	-	(5,937)	-	-	(7,188)	-	-	1,251
Command, Control and Interoperability	-	-	81,764	-	-	74,832	-	-	(6,932)	-	-	(7,414)	-	-	482
Explosives	-	-	120,809	-	-	120,809	-	-	-	-	-	(746)	-	-	746
Human Factors	-	-	16,087	-	-	13,435	-	-	(2,652)	-	-	(2,746)	-	-	94
Infrastructure and Geophysical	-	-	74,958	-	-	36,122	-	-	(38,836)	-	-	(39,106)	-	-	270
Innovation	-	-	44,000	-	-	44,000	-	-	-	-	-	(216)	-	-	216
Laboratory Facilities	130	130	150,188	130	130	122,000	-	-	(28,188)	-	-	11,146	-	-	(39,334)
Radiological and Nuclear	-	-	-	-	-	109,000	-	-	109,000	-	-	-	-	-	109,000
Test and Evaluation Standards	-	-	29,000	-	-	23,174	-	-	(5,826)	-	-	(5,996)	-	-	170
Transition	-	-	46,134	-	-	42,134	-	-	(4,000)	-	-	(4,271)	-	-	271
University Programs	-	-	49,350	-	-	40,000	-	-	(9,350)	-	-	(9,654)	-	-	304
Subtotal, Estimates Program Project Activity	130	130	863,271	130	130	866,305	-	-	3,034	-	-	(70,674)	-	-	73,708
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Less Prior Year Rescission, P.L. 111-83	-	-	(6,944)	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	130	130	856,327	130	130	866,305	-	-	3,034	-	-	(70,674)	-	-	73,708

D. Summary of Reimbursable Resources

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Summary of Reimbursable Resources
(Dollars in Thousands)**

	FY 2009 Estimate			FY 2010 Revised Estimate			FY 2011 Estimate			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
Department of Justice	-	-	200	-	-	-	-	-	-	-	-	-
Environmental Protection Agency	-	-	130	-	-	-	-	-	-	-	-	-
Transport Canada	-	-	200	-	-	2,200	-	-	1,900	-	-	(300)
Department of Homeland Security												
Citizen & Immigration Service	-	-	11,325	-	-	20,000	-	-	20,000	-	-	-
Customs and Border Protection	-	-	1,459	-	-	10,000	-	-	10,000	-	-	-
Domestic Nuclear Detection Office	-	-	1,000	-	-	130	-	-	135	-	-	5
Federal Emergency Management Agency	-	-	328	-	-	-	-	-	-	-	-	-
Headquarters Operations	-	-	14,660									
Immigration and Customs Enforcement	-	-	-	-	-	2,500	-	-	2,500	-	-	-
Office of Health Affairs	-	-	248	-	-	-	-	-	-	-	-	-
Transportation Security Administration	-	-	7,692	-	-	600	-	-	600	-	-	-
US Coast Guard	-	-	704	-	-	2,500	-	-	2,500	-	-	-
Defense Research and Development - Canada	-	-	503	-	-	-	-	-	-	-	-	-
Total Budgetary Resources	-	-	38,448	-	-	37,930	-	-	37,635	-	-	(295)

Obligations by Program/Project Activity	FY 2009 Estimate			FY 2010 Revised Estimate			FY 2011 Estimate			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Borders and Maritime Security	-	-	1,909	-	-	20,000	-	-	20,000	-	-	-
Chemical & Biological	-	-	130	-	-	-	-	-	-	-	-	-
Command, Control and Interoperability	-	-	1,150	-	-	-	-	-	-	-	-	-
Explosives	-	-	1,000	-	-	-	-	-	-	-	-	-
Homeland Security Institute	-	-	27,151	-	-	-	-	-	-	-	-	-
Infrastructure and Geophysical	-	-	300	-	-	-	-	-	-	-	-	-
Human Factors	-	-	495	-	-	-	-	-	-	-	-	-
Laboratory Facilities	-	-	5,739	-	-	2,930	-	-	2,635	-	-	(295)
Transition	-	-	-	-	-	15,000	-	-	15,000	-	-	-
University Programs	-	-	575	-	-	-	-	-	-	-	-	-
Total Obligations	-	-	38,448	-	-	37,930	-	-	37,635	-	-	(295)

Explanation of Increase/Decrease.

For Transition amounts in FY 2010 and FY 2011, the Homeland Security Studies & Analysis Institute (HSSAI) will receive \$5,000,000 and the Homeland Security Systems Engineering & Development Institute (HSSEDI) will receive \$10,000,000.

E. Summary of Requirements by Object Class

Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	\$11,948	\$14,400	\$15,619	1,219
11.3 Other than full-time permanent	-	-	-	-
11.5 Other personnel compensation	-	-	-	-
12.1 Benefits	3,052	3,601	3,850	249
21.0 Travel	4,182	4,995	4,666	(329)
22.0 Transportation of things	25	-	-	-
23.1 GSA rent	2,521	1,200	1,250	50
23.2 Other rent	161	-	-	-
23.3 Communications, utilities, and misc. charges	14,205	12,371	12,804	433
25.1 Advisory and assistance services	128,080	80,259	48,056	(32,203)
25.2 Other services	3,110	1,659	1,660	1
25.3 Purchases from Gov't accts.	43,606	19,543	40,370	20,827
25.4 O&M of facilities	30,071	42,852	45,518	2,666
25.5 R&D of contracts	507,299	785,976	608,287	(177,689)
25.7 Operation and maintenance of equipment	1,240	666	649	(17)
26.0 Supplies and materials	4,803	5,418	5,663	245
31.0 Equipment	14,600	3,844	3,364	(480)
32.0 Land & structures	778	4,480	19,416	14,936
41.0 Grants/Subsidies/Contributions	60,257	47,550	55,132	7,582
42.0 Insurance Claims and Indemnity	175	-	-	-
Total, Direct Obligations	830,114	1,028,814	866,305	(\$162,509)
Unobligated balance, start of year	(287,904)	(165,543)	-	165,543
Unobligated balance, end of year	165,543	-	-	-
Less Prior Year Rescission, P.L. 111-83	-	(6,944)	-	-
Recoveries of prior year obligations	32,192	-	-	-
Total, Direct Obligations	\$739,945	\$856,327	\$866,305	9,978

F. Permanent Positions by Grade

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
GS-15	26	27	27	-
GS-14	35	41	41	-
GS-13	19	22	22	-
GS-12	10	11	11	-
GS-11	8	8	8	-
GS-9	8	6	6	-
GS-8	2	2	2	-
GS-7	2	2	2	-
GS-6	1	1	1	-
Other Graded Positions	10	10	10	-
Total Permanent Positions	121	130	130	-
Unfilled Positions EOY	11	-	-	-
Total Permanent Employment EOY	119	130	130	-
Full Time Equivalents	119	130	130	-
Headquarters	-	-	-	-
U.S. Field	121	130	130	-
Foreign Field	-	-	-	-
Total, Location	121	130	130	-
Average ES Salary	-	-	-	-
Average GS Salary	111,000	113,000	115,000	2,000
Average Grade	13	13	13	-

G. Capital Investment and Construction Initiative Listing

**SCIENCE & TECHNOLOGY DIRECTORATE
NATIONAL BIO AND AGRO DEFENSE FACILITY (NBAF)**

INITIATIVE NAME	FY 2011 FUNDING REQUEST (\$000)			FUNDING FROM:	
	Current Services Level	New Initiative	Total	Budget Activity	Program/s Name
National Bio and Agro Defense Facility (NBAF) site preparation and central utility plant (CUP) construction	\$0	\$0	\$0	R&D	Laboratory Facilities
Total Non- IT investments \$5 million or more	\$0	\$0	\$0		
Total Non-IT initiatives under \$5 million	\$0	\$0	\$0		
Total Non-IT Investments	\$0	\$0	\$0		
Total of IT Investments	\$0	\$0	\$0		
Total all IT and Non-IT Investments	\$0	\$0	\$0		

For FY 2011, the S&T Directorate will request a reprogramming of prior year funds for the National Bio and Agro-defense Facility (NBAF). In FY 2011, the Directorate plans to build the central utility plant (CUP) with the reprogrammed funds in conjunction with matching funds from Kansas.

NATIONAL BIO AND AGRO DEFENSE FACILITY

1. Project Description, Justification, and Scope

The proposed NBAF is an integrated foreign animal and zoonotic disease research, development, and testing facility that will support the complementary missions of DHS and the United States Department of Agriculture (USDA). Currently, this research occurs at Plum Island Animal Disease Center (PIADC), where researchers have contributed significantly to protecting against Foreign Animal Diseases (FAD) for the past 50 years. The Homeland Security Act of 2002 (Public Law 107-296) transferred the operation of the Plum Island Animal Disease Center (PIADC) from the United States

Department of Agriculture (USDA) to DHS. DHS and USDA discussed a coordinated agricultural research strategy, as called for in the Homeland Security Act of 2002 and Homeland Security Presidential Directive 9 (HSPD-9)", Defense of United States Agriculture and Food (January 30, 2004)." These discussions revealed a capability gap that must be filled by an integrated research, development, test, and evaluation infrastructure for combating agricultural and public health threats posed by Foreign Animal Diseases, emerging, and zoonotic diseases in livestock. The DHS Science and Technology (S&T) Directorate is responsible for addressing this gap.

Accordingly, DHS proposed to build NBAF to bridge the capability gap and to comply with HSPD- 9. Co-locating DHS with USDA's Animal and Plant Health Inspection Service - Veterinary Services (APHIS-VS) and Agricultural Research Service (ARS) at NBAF would increase capabilities in research, diagnostics, and responses to outbreaks in agricultural animals (i.e., cattle, swine, and sheep). NBAF will provide a domestic, modern, integrated high-containment facility that includes Biosafety Level (BSL)-2, BSL-3E, BSL-3Ag, and BSL-4 laboratories for an estimated 350 scientists and support staff to safely and effectively prevent the accidental or intentional introduction of animal diseases of high consequence into the United States.

PIADC, the current facility built in the 1950s, is nearing the end of its lifecycle, and does not contain the necessary BSL facilities to meet the NBAF research requirements. NBAF would fulfill the need for a secure U.S. facility to support collaborative efforts among researchers from Federal and state agencies, academia, and international partners to perform necessary research to protect the agricultural economy and public health. Additionally, the NBAF mission supports the *Report of the Commission on the Prevention of Weapons of Mass Destruction (WMD) Proliferation and Terrorism (December 2008)*, recommending the U.S. undertake a series of mutually reinforcing domestic measures to prevent agro and bioterrorism.

DHS began the site selection process in January 2006. In July 2007, DHS identified five site alternatives that surpassed others in meeting the DHS evaluation criteria. DHS determined these five, along with Plum Island, in the Environmental Impact Statement (EIS) to be reasonable alternatives for the proposed NBAF. The Record of Decision (ROD), issued in January 2009, identified Manhattan, Kansas as the location to build NBAF. The decision was based on the numerous strengths that were evident when evaluating the Manhattan, Kansas site against various evaluation criteria. The EIS also included a comprehensive risk assessment of Foot and Mouth Disease (FMD).

The proposed NBAF consists of a laboratory facility and four outbuildings. The laboratory facility will have BSL-2, BSL-3E, BSL-3Ag, BSL-4, small-scale vaccine and reagent development capabilities, and support space. The outbuildings include a CUP, entry guardhouse, central receiving facility, and maintenance building. The area needed for the NBAF is approximately 500,000 square feet.

In FY 2010, the S&T Directorate's appropriation will fund design and site specific risk assessment studies. In addition, the cost share funds from the State of Kansas will support site preparation including site grading and clearing, roadways, parking, fencing, and utility distribution. For FY 2011, the S&T Directorate will request a reprogramming of prior year funds. In FY 2011, the Directorate plans to build the CUP with the reprogrammed funds in conjunction with matching funds from Kansas.

2. Significant Changes

Since the submission of the FY 2010 budget, the request for NBAF construction funding has been delayed by one year due to the longer than planned process to sell Plum Island. However, the CUP construction will begin in FY 2011, which should help mitigate any delays caused by the change in the funding profile. Construction of the laboratory facility will begin in FY 2012 with expected completion in FY 2016. DHS will complete a site-specific Bio Safety and Bio Security Risk Assessment followed by a National Academy of Sciences (NAS) review prior to beginning construction.

For FY 2011, the S&T Directorate will request a reprogramming of prior year funds. This amount in conjunction with matching funds from Kansas will fund construction of the CUP.

The General Services Administration (GSA) is currently working with DHS to put Plum Island on the market and projects that proceeds from the sale of Plum Island will be available in FY 2012. The FY 2010 Appropriations language (H.R. 2892, Section 535) directs that should the DHS Secretary determine that Plum Island would not be the future site of NBAF; the Secretary will have the General Services Administration (GSA) Administrator sell Plum Island's real and related personal property along with transportation assets supporting PIADC operations through public sale. Proceeds from the sale will be available in an offsetting account of the DHS S&T Directorate's Research, Development, Acquisition, and Operations (RDA&O) to offset site acquisition, NBAF construction, and related costs including due diligence requirements necessary to remediate Plum Island and reimbursement for expenses incurred by GSA. As part of the sale, DHS plans to include a leaseback agreement so that PIADC can continue operations during NBAF construction and until research functions are transferred to the new NBAF facility.

3. Project Schedule

NBAF Project Milestones	Fiscal Quarter and Year				Total Estimated Completion Cost (\$000)	Total Project Cost (\$000)
	Work Initiated	Work Completed	Physical Construction Start	Physical Construction Complete		
Management, Planning, Pre-Site Conceptual Design (CD), & Technical Support (Mgmt and Tech Spt)	1Q FY 2005	2Q FY 2015			23,000	23,000
Feasibility Study/Pre-Conceptual Design (Mgmt and Tech Spt)	2Q FY 2006	3Q FY 2006			3,000	2,100
Site Characterization & Cost Analysis (Mgmt and Tech Spt)	1Q FY 2008	4Q FY 2008			2,000	1,000
EIS/Record of Decision (Mgmt and Tech Spt)	1Q FY 2008	2Q FY 2009			5,000	7,700
Facility Detailed Design (Design Costs)	3Q FY 2009	1Q FY 2011			53,000	52,000
CMc Involvement in Design	4Q FY 2009	4Q FY 2010			6,000	6,000
Modeling and Response Planning (Mgmt and Tech Spt)	1Q FY 2010	3Q FY 2010			2,000	2,200
Design Construction Admin (A&E participation)	3Q FY 2010	1Q FY 2015			18,000	18,000
Kansas Site Prep	1Q FY2010	4Q FY2010			14,000	14,000
Site Preparation-GMP#1	4Q FY 2010	3Q FY 2011			18,000	18,000
Physical Construction-CUP (Construction)			2Q FY 2011	4Q FY 2014	80,000	80,000
Physical Construction-Lab Facility (Construction)			1Q FY 2012	1Q FY 2016	489,000	489,000
Facility Commissioning	1Q FY 2012	1Q FY 2016			12,000	12,000
Total					\$725,000	\$725,000

PIADC D&D Project Durations	Work Initiated	Work Completed	Physical Construction Start	Physical Construction Complete	Total Estimated Completion Cost (\$000)	Total Project Cost (\$000)
Preliminary Planning & Development	2Q FY2009	4Q FY2013			4,000	4,000
Management	1Q FY2013	3Q FY2018			25,000	25,000
Transition	2Q FY2015	4Q FY2018			90,000	90,000
Closure Activities	3Q FY2015	4QFY2018			71,000	71,000
Total					190,000	190,000
Grand Total NBAF Construction + PIADC Transition/D&D					\$915,000	\$915,000

**4. Schedule of Project Funding
(Dollars in Thousands)**

	FY2006 - FY 2008	FY 2009	FY 2010	FY 2011⁽¹⁾	FY 2012 - 2017	Total
Fund Source						
Appropriated Funds	46,000	35,600	32,000			113,600
NBAF Planned Project Expenditures⁽¹⁾⁽²⁾						
Planning & Administration ⁽³⁾	12,713	6,378	6,500	3,500	6,909	36,000
Design Phase (Detailed Design)			45,000	7,000		52,000
CMc Involvement in Design			5,000	1,000		6,000
Site Preparation			15,000	17,000		32,000
Design Construction Admin			1,000	2,000	15,000	18,000
Physical Construction (CUP)				20,000	60,000	80,000
Physical Construction (Lab Facility)					489,000	489,000
Commissioning Phase					12,000	12,000
Total NBAF Project Expenditures	12,713	6,378	72,500	50,500	582,909	725,000
PIADC Transition/D&D					190,000	190,000
Grand Total NBAF + PIADC Transition/D&D	12,713	6,378	72,500	50,500	772,909	915,000

(1) For FY 2011, the S&T Directorate will request a reprogramming of prior year funds for the central utility plant construction (CUP). The Directorate plans to build the CUP with the reprogrammed funds in conjunction with matching funds from Kansas. Kansas has proposed in-kind contributions up to \$110.000 million for site infrastructure and utility improvements for the Manhattan Campus site. Of this amount, Kansas State University will execute \$14.000 million (per the proposal) to upgrade existing utility infrastructure and demolish existing improvements on the NBAF property. The S&T Directorate plans to receive and execute the remaining gift funds from Kansas.

(2) Expenditures in table reflect \$110.000 million proposal of in-kind contributions from Kansas.

(3) Expenditures in FY 2006-2008 adjusted from \$15.000 million (FY 2010 President's Budget) to \$12.7 because some expenditures occurred in first part of FY 2009 instead of FY 2008. However, over \$70 million is on contract to support this effort.

5. Cost Estimate Detail and Changes (Dollars in Thousands)

There are no changes in cost to report.

6. Method of Performance

The NBAF project consists of three phases: design; site preparation and CUP construction; and NBAF building construction. For accountability and in accordance with sound project management principles, the program management team will track all of the project's activities in an organizational work breakdown structure (WBS) to manage cost, scope, and schedule. The DHS S&T Directorate's Office of National Laboratories (ONL), DHS Federal Law Enforcement Training Center (FLETC) Biocontainment Branch, the Construction Contractor (known as the Construction Manager as Contractor (CMc)), and the Architecture and Engineering (A/E) team will form the integrated project team and will coordinate inputs into the WBS. The project execution plan includes the following components:

- Program Organizational Structure;
- Contract Administration Oversight;
- Quality Assurance;
- Status and Cost Reporting;
- Communications with Stakeholders;
- Cross-Task Linkages;
- Risk Management; and
- Cost Controls.

A robust, well-integrated plan that includes a WBS is an essential ingredient in effective project management and will provide the source data for internal and external reporting requirements. Such a plan provides a detailed blueprint for project execution and facilitates project coordination, control, reporting, and communications between team components, and all stakeholders.

The FLETC Biocontainment Procurement Branch (FLETC-BPB) will provide day-to-day management and execution of the NBAF design and construction activities and will lead an experienced team of contracting officers, technical managers, and procurement specialists. The NBAF Project Management Office (PMO) will provide analytical and management support and maintain constant communication and coordination among the project team members, cooperating agencies, stakeholders, regulatory agencies, senior leaders, and other local and regional interests. Project communication will occur both internally and externally. Additionally, the ONL Director and NBAF Project Director may establish other critical interfaces throughout the development process.

The NBAF Project Director and the PMO will implement project controls, address reporting requirements, and produce documents to support this project. Project controls include an integrated project schedule, earned value management (EVM) system, and project communication portal. The EVM will effectively integrate the project's scope,

schedule, and cost elements to assess and optimize project planning and performance. The NBAF project will meet all reporting requirements. Reports include the following:

- Monthly Project Report to Project Director;
- Monthly Periodic Report to DHS Headquarters (HQ) Acquisition Program Management Division (APMD);
- Quarterly Construction Update to Management Directorate;
- Quarterly Probability of Program Success (PoPS) Report to DHS HQ APMD;
- Quarterly Risk Report;
- Yearly Office of Management and Budget (OMB) Exhibit 300;
- Cost Accounting and Status Reports;
- Hill Briefings; and
- On-going availability of the integrated project schedule (IPS).

The NBAF Steering Committee, consisting of individuals from the integrated project team, will execute the NBAF Risk Management Plan. The Committee will identify, manage, track, and control risks in order to minimize adverse impacts that would jeopardize mission success.

The Acquisition Strategy for NBAF includes the involvement of a CMc early in the process, prior to actual construction. This approach improves the project decision-making framework, resulting in a blended perspective on the design and associated construction cost estimates. At pre-determined stages of the project, the CMc and A/E will participate in cost reconciliation exercises that will result in the CMc submitting a Guaranteed Maximum Price (GMP) for a firm fixed price agreement for the work.

7. Related Annual Funding Requirements (Dollars in Thousands)

Once operational, the estimated annual operating and support cost for NBAF is \$44.500 million and is based on the NBAF Site Cost Analysis (July 2008) document, which used actual cost data from an existing facility comparable to the size of the proposed NBAF. The A/E and CMc will further refine this estimate upon completion of detailed design.

8. Budget Allocation to Programs

Program	Allocated Budget (\$000)	
	FY 2010	FY 2011*
Laboratory Facilities	\$32,000	\$0
Total	\$32,000	\$0

* For FY 2011, the S&T Directorate will request a reprogramming of its prior year funds. In FY 2011, the Directorate plans to build the CUP with the reprogrammed funds in conjunction with matching funds from Kansas.

9. Compliance with applicable Public Laws, Regulations, Standards and Executive Orders

Identify and certify compliance with all applicable laws, regulations, standards, and executive orders to this project.

- DHS, in coordination with the U.S. Department of Agriculture (USDA), is fulfilling requirements from HSPD-9: Defense of the United States Agriculture and Food (January 2004) by constructing the National Bio and Agro-defense Facility (NBAF) to replace the Plum Island Animal Disease Center (PIADC).
- The FY 2006 Appropriations House Report directed S&T to pursue NBAF:
- The Committee recognizes that the Department of Homeland Security's Plum Island facility will need to be replaced in the near future and that other potential locations need to be explored.
- NBAF will provide safe, secure, and state-of-the-art agriculture biocontainment laboratories that research and develop diagnostic capabilities for foreign animal and zoonotic diseases. It will house BSL-3 and -4 laboratories. There is currently no BSL-4 lab for livestock in the United States.
- DHS completed a 3-year, multi-agency competitive site selection process including an EIS assessing the impacts of accidental release of FMD on the mainland.
- DHS and USDA evaluated the existing Biosecurity Research Institute (BRI) at Kansas State University during the design phase and found that the use of this facility may be appropriate to offset some transition costs.
- Final security requirements and design criteria may affect construction costs.
- The FY 2010 Appropriations language (H.R. 2892, Section 535) directs that should the DHS Secretary determine that Plum Island would not be the future site of NBAF; the Secretary will have the GSA Administrator sell Plum Island's real and related personal property along with transportation assets supporting PIADC operations through public sale. Proceeds from the sale will be available in an offsetting account of the DHS S&T Directorate's Research, Development, Acquisition, and Operations (RDA&O) to offset site acquisition, NBAF construction, and related costs including due diligence requirements necessary to remediate Plum Island.
- The FY 2010 Appropriations directed DHS to complete a site-specific Bio Safety and Bio Security Risk Assessment followed by NAS review prior to beginning construction. DHS will award and complete this assessment in FY 2010.

Prior to passage of the Food, Conservation, and Energy Act of 2008 (H.R. 6124 [2008 Farm Bill]) which became law on May 22, 2008, the United States Code (21 U.S.C. Section 113a) stipulated that live Food and Mouth Disease Virus (FMDV) could not be studied on the U.S. mainland unless the Secretary of Agriculture made a determination that such study was necessary and in the public interest and issued a permit for such

research to be conducted on the mainland. Section 7524 of the 2008 Farm Bill directs the Secretary of Agriculture to issue a permit to the Secretary of Homeland Security for work on the live FMDV at any facility that is a successor to the Plum Island Animal Disease Center and charged with researching high-consequence biological threats involving zoonotic and foreign animal diseases. The permit is limited to a single successor facility. On December 18, 2008, Michael Chertoff, the Secretary of Homeland Security, sent a letter to Ed Schafer, the Secretary of Agriculture, requesting that USDA issue a permit if the evaluation process selects a mainland site. On January 9, 2009, DHS received a letter from Secretary Schafer that affirmed USDA's intention of complying with congressional direction to issue a permit for the movement and use of live FMDV at the NBAF.

H. PPA Budget Justifications

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Borders and Maritime
Funding Schedule
(Dollars in Thousands)**

PPA: Borders and Maritime	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
Object Classes:				
21.0 Travel	31	205	188	(17)
25.1 Advisory and assistance services	5,161	2,450	2,216	(234)
25.2 Other services	-	15	16	1
25.3 Purchases from Gov't accts.	711	476	423	(53)
25.5 R&D of contracts	25,256	41,035	37,093	(3,942)
26.0 Supplies and materials	2	-	-	-
31.0 Equipment	468	-	-	-
41.0 Grants/Subsidies/Contributions	357	-	-	-
Total, Borders and Maritime	31,986	44,181	39,936	(4,245)
Less: Adjustments for Other Funding Sources	-	-	-	-
Net, Borders and Maritime:	31,986	44,181	39,936	(4,245)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Borders and Maritime Security Division develops technical capabilities that enhance U.S. border and cargo security without impeding the flow of commerce and travelers. The division works closely with its operational customers to identify and generate the best technologies for securing U.S. borders – including ports-of-entry and vast stretches of remote terrain and waterways – with the ultimate goal of stopping threats before they enter the United States.

Summary Justification and Explanation of Changes

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	31	205	188	(17)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The request includes a decrease of \$17,000 to correspond with the reduction in R&D funding.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	5,161	2,450	2,216	(234)

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services. The request includes a program decrease of \$234,000 to correspond with the reduction in R&D funding.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.2 Other services	-	15	16	1

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The request includes an increase of \$1,000.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	711	476	423	(53)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The request includes a program decrease of \$53,000.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	25,256	41,035	37,093	(3,942)

Research and Development includes costs for contracts for basic and applied research and development. The request includes a program decrease of \$3,942,000 due to the elimination of funding for projects in Immigration Tools (Basic Research), Border Officer Safety, Sensors and Surveillance, and Conveyance Security Devices.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
26.0 Supplies and materials	2	-	-	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
31.0 Equipment	468	-	-	-

Obligations for the purchase of personal property of a durable nature – that is, property that nominally may be expected to have a period of service of a year or more after being put into use without material impairment of its physical condition. Includes obligations for service in connection with the initial installation of equipment when performed under contract.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	357	-	-	-

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Chemical and Biological
Funding Schedule
(Dollars in Thousands)**

PPA: Chemical and Biological	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
Object Classes:				
21.0 Travel	141	917	781	(136)
25.1 Advisory and assistance services	12,550	8,158	8,447	289
25.2 Other services	-	1,289	1,289	-
25.3 Purchases from Gov't accts.	561	982	788	(194)
25.5 R&D of contracts	152,238	194,954	188,387	(6,567)
25.7 Operation and maintenance of equipment	111	-	-	-
26.0 Supplies and materials	700	500	500	-
31.0 Equipment	158	-	71	71
41.0 Grants/Subsidies/Contributions	650	-	600	600
Total, Chemical and Biological	167,109	206,800	200,863	(5,937)
Less: Adjustments for Other Funding Sources	-	-	-	-
Net, Chemical and Biological:	167,109	206,800	200,863	(5,937)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Chemical and Biological Division works to increase the Nation's preparedness against chemical and biological threats through improved threat awareness, advanced surveillance and detection, and protective countermeasures. The division carries out its activities through three thrust areas: Agriculture, Biological, and Chemical.

Summary Justification and Explanation of Changes

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	141	917	781	(136)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request reflects a decrease of \$136,000 which is a result of the decrease in Research and Development funding thereby decreasing the level of program related travel required.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	12,550	8,158	8,447	289

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in

management and professional support services and engineering and technical services. A program increase of \$289,000 is included. This increase is a result of funding for two AAAS fellows for the FAD Vaccines and Diagnostics and Next Generation Bioterrorism projects.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.2 Other services	-	1,289	1,289	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	561	982	788	(194)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request reflects a decrease of \$194,000. This decrease is the result of a decrease in R&D funding, as well as a decrease in administrative fees paid for contracts processed outside of the Office of Procurement Operations (OPO).

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	152,238	194,954	188,387	(6,567)

Research and Development includes costs for contracts for basic and applied research and development. A program decrease of \$6,567,000 in FY 2011 is the result of a decrease in R&D funds, which delayed two projects – the Next Generation Biological Detection and Facility Restoration Demonstration projects – and caused the early termination of two others – Economic Supply Chain Analysis and National Bio-Surveillance Integration System.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
26.0 Supplies and materials	700	500	500	-

Supplies and materials are defined as commodities that are a) ordinarily consumed or expended within one year after they are put into use, b) converted in the process of construction, or manufacture, c) used to form a minor part of equipment or property, or d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
31.0 Equipment	158	-	71	71

Obligations for the purchase of personal property of a durable nature – that is, property that nominally may be expected to have a period of service of a year or more after being put into use without material impairment of its physical condition. Includes obligations for service in connection with the initial installation of equipment when performed under contract. The FY 2011 request reflects an increase of \$71,000. This increase is a result of an increase in equipment purchases for PIADC through the FAD Vaccines and Diagnostics project.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	650	-	600	600

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request reflects an increase of \$600,000. This increase supports an increase in funding sent to two University Program Centers of Excellence COE's – Foreign Animal and Zoonotic (FAZD) Center and National Center for Food Protection and Defense (NCFPD).

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Command, Control and Interoperability
Funding Schedule
(Dollars in Thousands)**

PPA: Command, Control and Interoperability	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
Object Classes:				
21.0 Travel	396	400	375	(25)
25.1 Advisory and assistance services	8,661	4,500	3,041	(1,459)
25.2 Other services	505	-	-	-
25.3 Purchases from Gov't accts.	105	-	-	-
25.5 R&D of contracts	63,339	76,864	71,416	(5,448)
25.7 Operation and maintenance of equipment	524	-	-	-
26.0 Supplies and materials	26	-	-	-
41.0 Grants/Subsidies/Contributions	274	-	-	-
Total, Command, Control and Interoperability	73,830	81,764	74,832	(6,932)
Less: Adjustments for Other Funding Sources	-	-	-	-
Net, Command, Control and Interoperability:	73,830	81,764	74,832	(6,932)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Command, Control, and Interoperability (CCI) Division focuses on significantly improving operable and interoperable communications for emergency responders, the security and integrity of the Internet, and the development of automated capabilities that “connect the dots” to recognize potential threats. The division’s mission is to transform new and promising concepts into real operational capability through the judicious blending of new technologies and current capabilities. CCI receives its requirements from the following: partners in Federal, State, local, and tribal emergency response; DHS operational components in planning for, detecting, and responding to all hazards; and private sector partners who own, operate, maintain, and use much of the Nation’s cyber infrastructure.

Summary Justification and Explanation of Changes

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	396	400	375	(25)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request reflects a decrease of \$25,000 corresponding to the decrease in overall program spending.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	8,661	4,500	3,041	(1,459)

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services. The FY 2011 request reflects a decrease \$1,459,000, corresponding to the decrease in overall program spending in cyber security, interoperability communications, information sharing pilots, methods and tools for forensics, and special (classified) program studies on the evolution of terrorist vs. security forces over time.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.2 Other services	505	-	-	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	105	-	-	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	63,339	76,864	71,416	(5,448)

Research and Development includes costs for contracts for basic and applied research and development. The FY 2011 request reflects a decrease of \$5,448,000 corresponding to a decrease in overall program spending in cyber security, information sharing pilots, methods and tools for forensics, and special (classified) program studies on the evolution of terrorist vs. security forces over time.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	524	-	-	-

Work performed provided support and software maintenance for a cyber testbed. After the initial repairs no additional funding is required.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
26.0 Supplies and materials	26	-	-	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture , (c) used to form a minor part of equipment or property, or (d) other property of little monetary value monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	274	-	-	-

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Explosives
Funding Schedule
(Dollars in Thousands)**

PPA: Explosives	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
Object Classes:				
21.0 Travel	514	800	665	(135)
25.1 Advisory and assistance services	9,238	5,526	4,876	(650)
25.3 Purchases from Gov't accts.	38	-	-	-
25.5 R&D of contracts	65,974	114,483	115,268	785
41.0 Grants/Subsidies/Contributions	6,958	-	-	-
Total, Explosives	82,722	120,809	120,809	0
Less: Adjustments for Other Funding Sources	-	-	-	-
Net, Explosives:	82,722	120,809	120,809	0
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Explosives Division develops the technical capabilities to detect, interdict, and lessen the impacts of non-nuclear explosives used in terrorist attacks against mass transit, civil aviation, and critical infrastructure. This includes passenger-, baggage-, and cargo-screening technologies; blast-resistant aircraft construction; integrated protective systems for high-value facilities; and the detection and defeat of Improvised Explosive Devices. The requested amount will help address Explosives' strategic challenges of detecting non-nuclear explosives and disrupting terrorist attacks.

Summary Justification and Explanation of Changes

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	514	800	665	(135)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes a decrease of \$135,000, which supports the Divisions plan to conduct fewer site visits in response to the Secretary's Efficiency Review.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	9,238	5,526	4,876	(650)

Advisory and assistance services include services acquired by contract from non-Federal sources (e.g., the

private sector, foreign governments, State and local governments, tribes, etc.), as well as from other units within the Federal Government. The FY 2011 request includes a decrease of \$650,000, which reflects an overall decrease in funding for the Division.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	38	-	-	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	65,974	114,483	115,268	785

Research and Development includes costs for contracts for the basic and applied research and development. The FY 2011 request includes an increase of \$785,000, which supports projects requested by the Transportation Security IPT.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	6,958	-	-	-

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Human Factors
Funding Schedule
(Dollars in Thousands)**

PPA: Human Factors	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
Object Classes:				
21.0 Travel	24	88	80	(8)
25.1 Advisory and assistance services	1,475	844	592	(252)
25.5 R&D of contracts	9,825	15,155	12,763	(2,392)
Total, Human Factors	11,324	16,087	13,435	(2,652)
Less: Adjustments for Other Funding Sources	-	-	-	-
Net, Human Factors:	11,324	16,087	13,435	(2,652)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Human Factor Division applies the social and behavioral sciences to improve detection, analysis, and understanding of the threats posed by individuals, groups, and radical movements; it supports the preparedness, response, and recovery of communities impacted by catastrophic events; and it advances homeland security by integrating human factors into homeland security technologies.

Summary Justification and Explanation of Changes

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	24	88	80	(8)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request includes a decrease of \$8,000, corresponding to the decrease in overall program spending.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	1,475	844	592	(252)

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services. The FY 2011 request includes a decrease of \$252,000, corresponding to the decrease in overall program spending.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	9,825	15,155	12,763	(2,392)

Research and Development includes costs for contracts for basic and applied research and development. The FY 2011 request includes a decrease of \$2,392,000 in the areas of Community Preparedness and Resilience, Motivation and Intent, and Suspicious Behavior Detection.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Infrastructure and Geophysical
Funding Schedule
(Dollars in Thousands)**

PPA: Infrastructure and Geophysical	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
Object Classes:				
21.0 Travel	24	325	262	(63)
25.1 Advisory and assistance services	6,682	2,060	1,661	(399)
25.2 Other services	-	10	10	-
25.3 Purchases from Gov't accts.	96	-	-	-
25.5 R&D of contracts	58,646	42,347	34,189	(8,158)
Total, Infrastructure and Geophysical	65,448	44,742	36,122	(8,620)
Less: Adjustments for Other Funding Sources	-	-	-	-
Net, Infrastructure and Geophysical:	65,448	44,742	36,122	(8,620)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Infrastructure and Geophysical Division's mission is to increase the Nation's preparedness for and response to natural and man-made threats through superior situational awareness, emergency response capabilities, and critical infrastructure protection. The division develops technical solutions and reach-back capabilities to improve State, local, tribal, and private sector preparedness for and response to all-hazards events impacting the U.S. population and critical infrastructure. The Division also models and simulates the Nation's critical infrastructures to determine how various scenarios will affect each sector, provide decision support tools to guide decision makers in identifying gaps and vulnerabilities, and develop predictive tools and methods to aid in preparing for and responding to various catastrophes.

Summary Justification and Explanation of Changes

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	24	325	262	(63)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. A program decrease of \$138,000 supports the division's plan to conduct fewer site visits in response to the Secretary's Efficiency Review.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	6,682	2,060	1,661	(399)

Advisory and assistance services include services acquired by contract from non-Federal sources (e.g., the private sector, foreign governments, State and local governments, tribes, etc.), as well as from other units within the Federal Government. The FY 2011 request includes a decrease of \$1,090,000 to correspond with the reduction in funding available for research and development.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.2 Other services	-	10	10	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no change between the request and the FY 2010 Enacted level.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	96	-	-	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	58,646	42,347	34,189	(8,158)

Research and Development includes costs for contracts for basic and applied research and development. The FY 2011 request includes a program decrease of \$37,609,000, which reduces funding for Advanced Materials Design research, as well as projects in the Incident Management IPT, including technology to support customer-identified capability gaps, including wildfire detection and prevention, seismic activity detection, and a logistics system.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Innovation
Funding Schedule
(Dollars in Thousands)**

PPA: Innovation	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
Object Classes:				
21.0 Travel	101	200	200	-
25.1 Advisory and assistance services	1,662	2,822	2,822	-
25.3 Purchases from Gov't accts.	60	-	-	-
25.5 R&D of contracts	29,686	40,978	40,978	-
26.0 Supplies and materials	18	-	-	-
Total, Innovation	31,527	44,000	44,000	-
Less: Adjustments for Other Funding Sources	-	-	-	-
Net, Innovation:	31,527	44,000	44,000	-
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Established in FY 2007, the mission of the Innovation Office is to direct the design and delivery of prototype-level demonstrations of game-changing technologies in two to five years and provide proof-of-concept answers that could result in high-payoff technology breakthroughs. The nature of the research is high risk with the potential for significant gains in capabilities.

Summary Justification and Explanation of Changes

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	101	200	200	-

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. There is no change in projected costs for FY 2011.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	1,662	2,822	2,822	-

Advisory and Assistance Services provide funds for consultants in management and professional support services, as well as engineering and technical services. There is no change in projected costs for FY 2011.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	60	-	-	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	29,686	40,978	40,978	-

Research & Development includes costs for contracts for basic and applied research and development. There is no change in projected costs for FY 2011.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
26.0 Supplies and materials	18	-	-	-

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Laboratory Facilities
Funding Schedule
(Dollars in Thousands)**

PPA: Laboratory Facilities	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
Object Classes:				
11.1 Total FTE & personnel compensation	11,948	14,400	15,619	1,219
12.1 Benefits	3,013	3,601	3,850	249
21.0 Travel	429	635	635	-
22.0 Transportation of things	25	-	-	-
23.1 GSA rent	2,521	1,200	1,250	50
23.2 Other rent	71	-	-	-
23.3 Communications, utilities, and misc. charges	14,094	12,371	12,804	433
25.1 Advisory and assistance services	43,472	43,051	10,446	(32,605)
25.2 Other services	323	345	345	-
25.3 Purchases from Gov't accts.	30,224	17,955	4,611	(13,344)
25.4 O&M of facilities	28,157	42,772	45,445	2,673
25.7 Operation and maintenance of equipment	29	616	616	-
26.0 Supplies and materials	2,958	4,918	5,163	245
31.0 Equipment	8,795	3,844	1,800	(2,044)
32.0 Land & structures	-	4,480	19,416	14,936
41.0 Grants/Subsidies/Contributions	24	-	-	-
Total, Laboratory Facilities	146,083	150,188	122,000	(28,188)
Less: Adjustments for Other Funding Sources	-	-	-	-
Net, Laboratory Facilities:	146,083	150,188	122,000	(28,188)
Full Time Equivalents	119	130	130	-

PPA Mission Statement

The mission of the Laboratory Facilities is to ensure that required infrastructure laboratory facilities support ongoing S&T Directorate mission research and development activities. In addition to Salaries and Benefits, Laboratory Facilities conducts its works in two main areas: construction and DHS-laboratory operations.

Summary Justification and Explanation of Changes

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	11,948	14,400	15,619	1,219

Salaries and Benefits includes costs for FTEs located at DHS S&T-operated laboratories. The FY 2011 request includes an increase of \$1,468,000 (\$1,219,000 salaries, \$249,000 benefits), which includes full accounting for awards, hazardous pay, Sunday pay (e.g., care of animals), etc. related to operations. The increase also reflects real inflation and the cost of living for employees in the New York/New Jersey area.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
12.1 Civilian personnel benefits	3,013	3,601	3,850	249

11.1 See Salaries and Benefits.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	429	635	635	-

Travel includes all costs of S&T's personnel while in an authorized travel status, either directly or by reimbursing the traveler. There is no change in projected costs for FY 2011.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
22.0 Transportation of things	25	-	-	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
23.1 Rental payments to GSA	2,521	1,200	1,250	50

GSA Rent provides funding for rental space provided by General Services Administration (GSA) to the National Urban Security and Technology Laboratory (NUSTL), formerly Environmental Measurements Laboratory (EML) facilities. The FY 2011 request reflects an increase of \$50,000 due to increases in rent and building services for this space.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
23.2 Rental payments to others	71	-	-	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
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23.3 Communications utilities and miscellaneous charges	14,094	12,371	12,804	433
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Communications, Utilities, and Misc Charges provides funds for communications, utilities, and related charges at laboratories managed by ONL. The FY 2011 request reflects an increase of \$433,000 to cover increases in the utilities, including electricity, at Plum Island Animal Disease Center (PIADC), Transportation Security Laboratories (TSL), and National Biodefense Analysis and Countermeasures Center (NBACC).

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	43,472	43,051	10,446	(32,605)

Advisory and assistance provides funds for Intergovernmental Personnel Act and consultants in management and professional support services and engineering and technical services. Such personnel support both operations and construction activities. The FY 2010 request reflects a decrease of \$32,605,000 due to the completion of National Bio and Agro Defense Facility (NBAF) detailed design and risk assessment and the move of Transportation Security Agency's test and evaluation (T&E) activities to the Explosives PPA.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.2 Other services	323	345	345	-

Other Services provide funds for mission essential training and tuition. There is no change in projected costs for FY 2011.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	30,224	17,955	4,611	(13,344)

Purchase from Government Accounts provides costs for administrative support, contracting administration support, and rent for interim non-GSA facilities. The FY 2011 request reflects a decrease of \$13,344,000, reflecting a decrease in funds to the Department of Energy (DOE) for construction at Pacific Northwest National Laboratory (PNNL) - Area 300. The S&T Directorate fulfills its commitment to DOE in FY 2010. Also, the decrease reflects elimination of rent payments to Fort Detrick for interim facilities as FY 2011 will be NBACC's first year of full operations.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	28,157	42,772	45,445	2,673

Operation and maintenance of facilities provides normal daily operations of PIADC, NUSTL, TSL, and NBACC. The costs include maintenance and repair of building and land. The FY 2011 request reflects an increase over FY 2010 of \$2,673,000 as a result of increases in private sector and government facility support contracts, including security. The increase is also partially due to the first full year of NBACC operations in FY 2011.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	29	616	616	-

Operation and maintenance of equipment provides normal daily operations and maintenance of PIADC, NUSTL, TSL, and NBACC equipment. There is no change in projected costs for FY 2011.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
26.0 Supplies and materials	2,958	4,918	5,163	245

Supplies and materials provides daily office supplies, fuel for PIADC, and gasoline. The FY 2011 request reflects an increase of \$245,000 due to projected fuel costs.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
31.0 Equipment	8,795	3,844	1,800	(2,044)

Equipment provides costs for personal property, and information technology hardware/software, and includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request reflects a decrease of \$2,044,000. The equipment in FY 2010 are part of start-up costs for NBACC operations, and the decrease reflects that ONL will have purchased most of the equipment needed prior to FY 2011.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
32.0 Land and structures	-	4,480	19,416	14,936

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
32.0 Land and structures	-	4,480	19,416	14,936

Land and Structures provides costs for construction and capital improvement activities. The FY 2011 request reflects an increase of \$14,936,000 for infrastructure upgrades at TSL. This multi-year project consists of constructing an independent testing and evaluation (IT&E) laboratory; renovating and constructing the developmental, test, and evaluation (DT&E) laboratory space; and providing additional office and non-explosive storage space.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	24	-	-	-

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Radiological and Nuclear
Funding Schedule
(Dollars in Thousands)**

PPA: Radiological and Nuclear	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
Object Classes:				
21.0 Travel	-	-	300	300
25.1 Advisory and assistance services	-	-	4,299	4,299
25.3 Purchases from Gov't accts.	-	-	34,455	34,455
25.5 R&D of contracts	-	-	52,981	52,981
31.0 Equipment	-	-	1,493	1,493
41.0 Grants/Subsidies/Contributions	-	-	15,472	15,472
Total, Radiation and Nuclear Detection	-	-	109,000	109,000
Less: Adjustments for Other Funding Sources	-	-	-	-
Net, Radiation and Nuclear Detection:	-	-	109,000	109,000
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Radiological and Nuclear Division identifies, explores, develops, and demonstrates scientific and technological approaches that address gaps in nuclear detection, response and recovery, such as: dramatically improving the performance of nuclear detection components and systems; significantly reducing the operational burden of the rad/nuc detection mission; or responding to and recovering from large-scale rad/nuc attacks.

Summary Justification and Explanation of Changes

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	-	-	300	300

Travel includes all costs of personnel while in an authorized travel status, either directly or by reimbursing the traveler. The Travel object class includes costs for travel to funded Centers of Excellence (COEs); potential COEs for management, review, and determination of suitability to become new COEs; to attend workshops and conferences; and potential invitational travel for COE personnel. A transfer of \$300,000 from DNDO is included.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	-	-	4,299	4,299

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services. A transfer of \$4,299,000 from DNDO is included.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	-	-	34,455	34,455

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. A transfer of \$34,455,000 from DNDO is included.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	-	-	52,981	52,981

Research and Development includes costs for contracts for basic and applied research and development. A transfer of \$52,981,000 from DNDO is included.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
31.0 Equipment	-	-	1,493	1,493

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. A transfer of \$1,493,000 from DNDO is included.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	-	15,472	15,472

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. A transfer of \$15,472,000 from DNDO is included.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Test and Evaluation Standards
Funding Schedule
(Dollars in Thousands)**

PPA: Test and Evaluation Standards	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
Object Classes:				
21.0 Travel	35	300	200	(100)
25.1 Advisory and assistance services	7,876	1,100	959	(141)
25.2 Other services	327	-	-	-
25.5 R&D of contracts	19,094	27,600	22,015	(5,585)
Total, Test and Evaluation Standards	27,332	29,000	23,174	(5,826)
Less: Adjustments for Other Funding Sources	-	-	-	-
Net, Test and Evaluation Standards:	27,332	29,000	23,174	(5,826)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Testing & Evaluation and Standards program provides technical support and coordination to assist the Nation's emergency responders in the acquisition of equipment, procedures and mitigation processes that are safe, reliable and effective. The program carries out its activities through two thrust areas: Test & Evaluation (T&E) and Standards.

Summary Justification and Explanation of Changes

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	35	300	200	(100)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request reflects a decrease of \$100,000 due the reduction in program activities: a reduced scope for T&E Oversight of DHS acquisition programs and fewer standards development efforts.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	7,876	1,100	959	(141)

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services. The FY 2011 request reflects a decrease of \$141,000 due to the reduction in program activities: a reduced scope for T&E Oversight of DHS acquisition programs and fewer standards development efforts.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.2 Other services	327	-	-	-

Other Services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	19,094	27,600	22,015	(5,585)

Research & Development includes costs for contracts for basic and applied research and development and T&E and standards development. The FY 2011 request reflects a decrease of \$5,585,000 due to decrease in standards development efforts and reduced scope for T&E Oversight of DHS acquisition programs. Specifically, the decrease eliminates or delays standards development for cargo screening and sensor technologies, personal chemical decontamination, human/machine interface for emergency responders, blast resistant trashcan receptacle, universal access controls for credentialing, and collaboration with National Institute of Occupational Safety and Health (NIOSH) on Personal Protective Equipment.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Transition
Funding Schedule
(Dollars in Thousands)**

PPA: Transition	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
Object Classes:				
21.0 Travel	570	750	750	-
23.2 Other rent	90	-	-	-
25.1 Advisory and assistance services	9,448	6,958	6,958	-
25.3 Purchases from Gov't accts.	88	130	93	(37)
25.4 O&M of facilities	-	80	73	(7)
25.5 R&D of contracts	796	36,766	32,567	(4,199)
25.7 Operation and maintenance of equipment	-	50	33	(17)
31.0 Equipment	834	-	-	-
41.0 Grants/Subsidies/Contributions	1,596	1,400	1,660	260
Total, Transition	13,422	46,134	42,134	(4,000)
Less: Adjustments for Other Funding Sources	-	-	-	-
Net, Transition:	13,422	46,134	42,134	(4,000)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Transition Office focuses on delivering near-term products and technology enhancements by working with the Department's components to expedite the technology transition process. The Transition Office carries out related activities that complement the transition efforts through the Office of the SAFETY Act Implementation, management of the S&T Directorate's international and interagency programs, and operation of the Technology Clearinghouse and Technology Solutions.

Summary Justification and Explanation of Changes

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	570	750	750	-

Travel includes all costs of S&T's personnel while in an authorized travel status, either directly or by reimbursing the traveler. There is no change in the FY 2011 request.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
23.2 Rental payments to others	90	-	-	-

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	9,448	6,958	6,958	-

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services. There is no change in the FY 2011 request.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	88	130	93	(37)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request includes a decrease of \$37,000 to continue operations at the London office.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	-	80	73	(7)

Operation and maintenance of facilities includes all payments for the operation and maintenance of facilities, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$7,000 to continue operations at the London office.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	796	36,766	32,567	(4,199)

Research and Development includes costs for contracts for basic and applied research and development. The FY 2011 request includes a decrease of \$4,199,000 due to a reduction in R&D efforts within the Division in the areas of First Responder Technologies and TechSHARE.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
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25.7 Operation and maintenance of equipment	-	50	33	(17)
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Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request includes a decrease of \$17,000 to continue operations at the London office.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
31.0 Equipment	834	-	-	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	1,596	1,400	1,660	260

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request includes an increase of \$260,000 to support increased grants within the division.

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
University Programs
Funding Schedule
(Dollars in Thousands)**

PPA: University Programs	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
Object Classes:				
21.0 Travel	250	300	230	(70)
25.1 Advisory and assistance services	1,700	2,100	1,740	(360)
25.5 R&D of contracts	736	800	630	(170)
41.0 Grants/Subsidies/Contributions	47,584	46,150	37,400	(8,750)
Total, University Programs	50,270	49,350	40,000	(9,350)
Less: Adjustments for Other Funding Sources	-	-	-	-
Net, University Programs:	50,270	49,350	40,000	(9,350)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

University Programs cultivates a homeland security culture within the academic community through research and educational programs that address current and future homeland security challenges. The program engages the academic community to develop scientific leadership, creates strategic partnerships, and fosters the next generation of homeland security experts.

Summary Justification and Explanation of Changes

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	250	300	230	(70)

Travel includes all costs of personnel while in an authorized travel status, either directly or by reimbursing the traveler. The Travel object class includes costs for travel to funded Centers of Excellence (COEs); potential COEs for management, review, and determination of suitability to become new COEs; to attend workshops and conferences; and potential invitational travel for COE personnel. A program decrease of \$70,000 supports the Division's plan to conduct fewer site visits in response to the Secretary's Efficiency Review.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	1,700	2,100	1,740	(360)

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services. A program decrease

of \$360,000 supports an overall reduction in funding for the Division.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.2 Other services	-	-	-	-

Research and Development includes costs for contracts for basic and applied research and development. A program decrease of \$170,000 supports the reduction in funding for Scholars and Fellows.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	736	800	630	(170)

Research and Development includes costs for contracts for basic and applied research and development. A program decrease of \$170,000 supports the reduction in funding for Scholars and Fellows.

	FY 2009 Actual	FY 2010 Enacted	FY 2011 President's Budget	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	47,584	46,150	37,400	(8,750)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. This includes funding provided to COEs, HS-STEM Career Development Grants, and MSI Leadership Grants. A program decrease of \$8,750,000 is included due to a reduction in funding to support COEs, Education, and MSIs.

I. Changes in Full Time Equivalent

**Department of Homeland Security
Science & Technology
Research, Development, Acquisitions, and Operations
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	119	118	130
INCREASES	-	-	-
Program Change: Hiring staff to reach FY 2009 authorized level	-	12	-
Subtotal, Increases	-	12	-
Year End Actual / Estimated FTEs:	119	130	130
Net Change from prior year base to Budget Year Estimate:	-	11	-

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security

Science and Technology Directorate



Fiscal Year 2011

Strategic Context

Congressional Justification Budget Submission

FY 2011 CONGRESSIONAL JUSTIFICATION STRATEGIC CONTEXT

SCIENCE AND TECHNOLOGY DIRECTORATE

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I. STRATEGIC CONTEXT FOR THE FY 2011 BUDGET

A. Mission and Description of the Science & Technology Directorate

The Science and Technology (S&T) Directorate advises the Secretary on research and development (R&D) efforts to support the Department's mission, and conducts basic and applied research, development, testing, and evaluation (RDT&E) activities relevant to the Department through both intramural and extramural programs.

In fulfillment of the enabling and follow-on legislation, Secretary Napolitano stated that the urgent and overriding mission of the Department of Homeland Security (DHS) is to secure the homeland, which means protecting our Nation's borders by finding and killing the roots of terrorism and stopping those who intend to hurt us; wisely enforcing the rule of law at our borders; protecting our national cyber infrastructure; and preparing for and responding to natural and man-caused disasters with speed, skill, compassion, and effectiveness. She stated that DHS should build on its science and technology portfolio for the following reasons:

- Better science helps us to understand emerging threats and teaches us how to identify, counter, and mitigate them.
- Better technology can expand our capabilities and free our agents to spend their time where it is most valuable, while at the same time protecting the interests of private citizens by minimizing law enforcement's impact on lawful activities.
- Technology can also aid us in consequence management, so that we are better prepared to respond to any type of disaster.

This budget requests the minimum resources needed to provide the technologies to address the Administration's threat prioritization:

- High-Consequence Weapons of Mass Destruction (WMD);
- Al Qaeda and Related Global Terrorist Movements;
- Mass Attacks, Intrusions, and Disruptions to Information and Communications Infrastructure;
- Pandemic, Infectious Disease, and Other Natural Disasters;
- Illegal Trafficking and Related Transnational Crime; and
- Smaller-Scale Terrorism and Violent Extremism.

The S&T Directorate's budget request aligns with Secretary Napolitano's priorities:

- Counterterrorism and Domestic Security Management;
- Securing our Borders;
- Smart and Tough Enforcement of Immigration Laws;
- Preparing for, Responding to, and Recovering from Disasters.

Mission Statement

The S&T Directorate will improve homeland security by providing our customers, the operating components of DHS, and State, local, tribal, and territorial emergency responders and officials with state-of-the-art technology that helps them to accomplish their missions.

The S&T Directorate directs, funds, and conducts RDT&E, and enables the procurement of technology and systems to prevent, protect against, and respond to terrorist threats and natural disasters. The S&T Directorate collaborates and coordinates with Federal, State, and local government and private sector entities to conduct its activities. It establishes an efficient system to transfer homeland security developments and technologies to the operational elements of the Department to enhance their ability to execute all missions, now and in the future, and to meet the high priority homeland security RDT&E needs of the Nation.

The S&T Directorate leads the homeland security research enterprise outside of DHS by remaining proactively engaged with universities, research institutions, government laboratories, and private industry that conduct R&D in areas important to addressing our customers' homeland security requirements.

Description of Directorate

The S&T Directorate accomplishes its mission through customer-focused and output-oriented RDT&E programs that balance risk, cost, impact, and time to deliver. These RDT&E programs support the needs of the operational components of the Department and address crosscutting areas such as standards and interoperability.

About 50 percent of the S&T Directorate's investment is in transition technologies – lower-risk projects dedicated to addressing customer-defined capability needs. Approximately six percent of the S&T Directorate's investment is in higher risk innovative prototypical demonstrations, which, if successful, will place leap-ahead technology in the operating components' hands much more quickly than the incremental improvements typical of most acquisition programs. About 20 percent of the S&T Directorate's investment portfolio is in long-term, basic research conducted primarily in universities and laboratories in areas of enduring homeland security relevance that could lead to revolutionary changes in the way we approach homeland security challenges. This balanced portfolio ensures that the Directorate maintains a self-replenishing pipeline of future capabilities and products to transition to customers.

Other components often leverage the S&T Directorate's expertise in program management, technical oversight, testing and evaluation, and systems engineering. These developmental activities such as testing new border security technologies for Customs and Border Protection (CBP) or leveraging existing advanced R&D to make spiral improvements to off-the-shelf infrastructure protection technologies are more technologically mature than the typical science and technology program.

The S&T Directorate's R&D functions consist of seven technical divisions aligned with enduring functional disciplines. This, along with additional offices, allows the S&T Directorate to better meet the Department's strategic goals.

Seven Divisions

Borders and Maritime Security Division – develops and transitions tools and technologies that improve the security of our Nation's borders and waterways without impeding the flow of commerce and travelers.

Chemical and Biological Division – works to increase the Nation's preparedness against chemical and biological threats through improved threat awareness, advanced surveillance and detection, and protective countermeasures.

Command, Control and Interoperability Division – focuses on operable and interoperable communications for emergency responders, security and integrity of the Internet, and development of automated capabilities to recognize potential threats.

Explosives Division – develops the technical capabilities to detect, interdict, and lessen the impacts of non-nuclear explosives used in terrorist attacks against mass transit, civil aviation, and critical infrastructure.

Human Factors Division – applies the social and behavioral sciences to improve detection, analysis, and understanding of the threats posed by individuals, groups, and radical movements. It supports the preparedness, response, and recovery of communities impacted by catastrophic events and it advances homeland security by integrating human factors into homeland security technologies.

Infrastructure and Geophysical Division – develops capabilities to increase the Nation’s preparedness for and response to natural and man-made threats through superior situational awareness, emergency response capabilities, and critical infrastructure protection.

Radiological and Nuclear Division – identifies, explores, develops, and demonstrates scientific and technological approaches that address gaps in nuclear detection, response and recovery, such as: dramatically improving the performance of nuclear detection components and systems; significantly reducing the operational burden of the rad/nuc detection mission; or responding to and recovering from large-scale rad/nuc attacks.

Crosscutting Offices:

Innovation – focuses on high-risk/high-reward, homeland security R&D that could lead to technology breakthroughs that significantly enhance DHS operations. The Director of Innovation oversees the Homeland Security Advanced Research Project Agency (HSARPA). The *Homeland Security Act of 2002* directs HSARPA to “support basic and applied homeland security research to promote revolutionary changes in technologies that would promote homeland security; advance the development, testing and evaluation, and deployment of critical homeland security technologies; and accelerate the prototyping and deployment of technologies that would address homeland security vulnerabilities”. The agency’s efforts are complementary to the S&T Directorate’s other programs and projects, pushing scientific limits to address gaps in areas where current technologies and R&D are inadequate or non-existent.

Test & Evaluation and Standards – provides policy and oversight of the Department’s test and evaluation program and technical support and coordination to assist the Nation’s emergency responders in the acquisition of equipment, procedures, and mitigation processes that are safe, reliable, and effective.

Transition – focuses on delivering near-term products and technology enhancements by working with the Department’s components, industry, and other agencies to expedite the technology transition process.

Research – Laboratory Facilities – executes Laboratory Facilities programs and provides the Nation with a coordinated, enduring core of productive science, technology, and engineering laboratories, organizations, and institutions, which can provide the knowledge and technology required to secure our homeland.

Research – University Programs – engages the academic community to conduct research and analyses and provides education and training programs to support DHS priorities and enhance homeland security capabilities.

The seven technical Divisions and additional offices link to three R&D investment portfolio directors in a matrix-managed structure. The three portfolio directors – Director of Research, Director of Transition, and Director of Innovation – provide crosscutting coordination of the investment strategy within the technical Divisions. The matrix structure allows the S&T Directorate to provide more comprehensive and integrated technology solutions to its customers by appropriately bringing all disciplines together in developing leading-edge research solutions.

B. Major Activities and Key Strategic Goals

S&T Directorate focus is on organization and research portfolio management strategy – both of which allow the S&T Directorate to better identify, enable, and transition new capabilities to our customers to better protect the Nation. S&T develops and manages an integrated program of science and technology, from basic research through technology product transition.

The S&T Directorate is customer-focused and delivers capabilities that DHS components can rely on to meet their operational needs. To accomplish this, the S&T Directorate facilitates customer-led Capstone Integrated Product Teams (IPTs) in 13 functional areas and charges each one with identifying capability requirements to meet DHS mission requirements. The S&T Directorate uses the products of these IPTs to identify the highest priority needs and allocate resources to those programs that support the priorities established by the DHS customers. The S&T Directorate's business model of structured Capstone IPTs ensures that product transition investments align to customer mission requirements.

Each Capstone IPT works to identify, validate, and prioritize capability requirements across the Department (within a functional area) that the S&T Directorate can address. The interaction of technologists and operators has improved the prioritization of efforts and the focus on relevant, cost-effective solutions that make a significant difference. The S&T Directorate's product transition process ensures that appropriate technologies are harvested and integrated into the DHS acquisition system for our customers. Outputs from the IPTs drove considerable changes to programs in the FY 2010 budget request, which continue into FY 2011.

In executing its portfolio of investments, the S&T Directorate will draw upon the R&D capability across the public enterprise, private sector, and academia called the Homeland Security Research Enterprise. This consortium of capability locates and promotes the best R&D possible. With the authorities provided in the *Homeland Security Act of 2002*, the S&T Directorate has the organic ability to leverage not only DHS laboratories, the Homeland Security Studies and Analysis Institute, and the DHS Centers of Excellence, but also the Department of Energy (DOE) National Laboratories to meet homeland security research requirements.

The Nation's technical superiority in science and technology is a key factor in the effort to ensure a secure homeland. The fulfillment of the Department's mission requires a concerted effort to access, leverage, and enhance the vast resources and expertise of the Nation's public and private sectors, academic community, non-governmental organizations, and other scientific bodies. This effort is primarily the responsibility of the S&T Directorate and requires that the Nation's homeland security

R&D efforts focus on meeting mission requirements. R&D requires adequate funding to meet long-term as well as near-term objectives. A significant portion of the S&T Directorate's programs directly support federally mandated homeland security priorities. To perform its varied missions, the S&T Directorate received \$932.587 million in FY 2009 and \$1,006.471 million (before rescission) in FY 2010. The S&T Directorate is requesting \$1,018.264 million in FY 2011. The following are a few examples of how the S&T Directorate has used its funds in FY 2009 and plans to use FY 2010 and FY 2011 funds to further enhance and enable homeland security capabilities:

Management and Administration –

With the FY 2010 appropriation of \$143.200 million, the S&T Directorate will continue to implement several efficiency initiatives to make better use of its resources. In FY 2010, M&A will provide salaries and benefits for 278 FTEs onboard by October 2009 and will fund business operations, contributions to the DHS Working Capital Fund, and other administrative functions. Additionally, S&T will convert 17 support contractors to Federal employees. The S&T Directorate plans to continue to implement several efficiency initiatives with FY 2011 funds of \$151.959 million. The FY 2011 request includes a staffing increase of 39 FTE; this is a combination of a 12 FTE reduction to offset costs for the FY 2011 inflation, an increase of 35 FTE from converting Management and Administration funded contractors to Federal employees, 4 FTE for the annualization of acquisition review board support positions and a transfer of 12 FTE from the Domestic Nuclear Detection Office. The S&T Directorate will continue to reduce its reliance on contractor staff and includes an increase of 35 FTE to the authorized FTE level; this increase in FTE will not require additional funds and will be offset within the appropriation by reducing M&A funded contract staff and replacing them with M&A funded Federal employees.

Overall, the S&T Directorate has:

- Continued to reduce business operation expenses by centralizing supply purchases;
- Organized central career developmental training within the S&T Directorate;
- Consolidated National Capital Region floor space to one location;
- Implemented a telework program;
- Developed and implemented an H1N1 plan for S&T;
- Continued to reduce the number of Intergovernmental Personnel Act employees; and
- Reduced reliance on contractor staff.

Borders and Maritime –

FY 2009 appropriation of \$33.050 million:

- Completed field-testing of the Advanced Container Security Device (ASCD) prototypes and conducted a large-scale operational test. The ACSD is a small unit that attaches to the inside of a container to monitor all six sides of the container, reporting any intrusion, door opening or presence of human cargo.
- Initiated capability enhancements to existing secondary non-intrusive inspection systems to detect or identify terrorist contraband items (e.g., drugs, money, illegal firearms) or humans. This project addresses an important capability gap to enhance cargo screening and examination systems through advanced non-intrusive inspection.
- Initiated a program to develop technologies for the advanced detection identification, apprehension, and enforcement capabilities along the maritime borders and rapid coordinated responses to anomalies and threats. Major investment areas include: 1) persistent wide-area surveillance in the maritime environment, 2) port and coastal sensor surveillance, and 3) enhanced sensor/data fusion technologies for command center situational awareness.

FY 2010 appropriation of \$44.181 million will:

- Deliver improved prototypes for future field-testing and transition the Container Security Device specifications to Customs and Borders Protection (CBP) and DHS Policy.
- Build, demonstrate, and transition the first phase of improved capabilities for detecting Semi-Submersible Self-Propelled Vessels (SPSS) to customers.
- Transition the Light-Emitting Diode Incapacitator (LEDI) and Safe Quick Undercarriage Immobilization Device (SQUID) efforts to first responder communities via the commercialization process. The execution of these products began as Small Business Innovation Research efforts.

FY 2011 request of \$39.936 million plans to:

- Develop a next-generation non-intrusive inspection (NII) system that will be used to detect terrorist materials, contraband items (e.g., drugs, money, illegal firearms), and stowaways at border crossings, maritime ports, and airports.
- Transition and deliver Air Cargo Composite Container and Secure Carton performance requirements to TSA for use in the Certified Cargo Screening Program.
- Transition ballistics protection prototype to CBP; demonstrate the hidden compartment inspection device in an operational environment and deliver to CBP and USCG; demonstrate pursuit termination for vehicle stopping; and demonstrate less-lethal personnel compliance capability to CBP.
- Research and characterize the different key urban border regions, identify tunnel detection technologies, and determine the effectiveness and limitations of the various technologies against different types of cross-border tunnels.
- Develop and demonstrate multi-sensor and multi-data fusion capability of the Advanced Fusion Technologies project to CBP and USCG; demonstrate and transition initial Advanced Scene Understanding (ASU) land capability on the Southern Border to CBP
- Provide a Port Security Testbed to demonstrate maturing technologies in an operationally relevant environment.
- Demonstrate renewable energy sensor capabilities for the inland waterways and port/harbor security environments.

Chemical and Biological –

FY 2009 appropriation of \$200.408 million:

- Initiated a new cycle of biodefense analysis, targeting the five to 20-year future timeframe. The project convened a new executive review panel (ERP) and conducted several workshops to inform perspectives.
- Transitioned 10 potential biothreat agent-specific assays to the Centers for Disease Control (CDC) Lab Response Network (LRN) to support the National Biomonitoring Architecture (NBMA). Initiated transition of the Signature Erosion Analysis Report to CDC to support the continuous evaluation of current assays for robustness and integrity. In addition to the above detection assays, the Bioassay – Near Term project is also actively involved in the development of Rapid Antimicrobial Susceptibility assays to support medical countermeasure distribution and dispensation.
- Completed development and testing of Bio-Agent Autonomous Networked Detector (BAND), demonstrating that the capability to automatically capture and genetically identify biological agents at threat concentrations is a technical reality. The system is a candidate for BioWatch Generation 3 Detection System and is ready for field and operational test and evaluation by the Office of Health Affairs (OHA).
- Conducted bioforensics research in support of criminal investigative cases, with the ultimate goal of attribution, apprehension, and prosecution of the perpetrator, in fulfillment of HSPD-10.

Expanded capability by increasing the number of assays that are ISO 17025 accredited and ISO validated. Maintained continuous hub-and-spoke operations and conducted casework.

- Conducted biennial, end-to-end risk assessments on biological agents and conducted laboratory studies to close major scientific gaps that could significantly affect how the Nation structures its defenses. Focused activities on the BTRA and the Integrated Chemical Biological Radiological Nuclear Risk Assessment (iCBRN RA), which enables concurrent analysis of chemical, biological, radiological, and nuclear threats and is due in 2010.
- Conducted an exercise and demonstration of wide-area decontamination methods and restoration system tools. The project also developed a Seattle Urban Area (SUA) specific plan.

FY 2010 appropriation of \$206.800 million will:

- Perform final exercises and demonstrations through a series of tabletops, field exercises, and workshops for the SUA plan.
- Deliver the third Bioterrorism Risk Assessments (BTRA) and the second iCBRN RA reports and tools. These reports will include enhanced and advanced agents and a prototype desktop tool (BTRA Consequence Calculator Interface).
- Transition the operational aspects of the Integrated Consortium of Laboratory Networks (ICLN) operations to OHA and continue to support specific laboratory response technological assessments and improvements in the S&T Directorate's program. This laboratory network system strengthens early detection and consequence management and is consistent with HSPDs 9, 10, 21, and 22.
- Perform a preliminary architecture analysis of food systems for defending against biological threats. This analysis will lay the foundation for prioritizing future studies in this sector.
- Transition the Rapid Antimicrobial Susceptibility Assay to CDC LRN for implementation and deployment to all 163 LRN laboratories. This will allow the laboratories to rapidly assess the sensitivity of the biothreat agent to medical countermeasure supporting decision making for distribution and dispensation of appropriate post-exposure prophylaxis.
- Complete all regulatory testing requirements for the first next-generation differentiate infected from vaccinated animals (DIVA) vaccine for foot-and-mouth disease (FMD).

FY 2011 request of \$200.863 million plans to:

- Expand the second iCBRN RA report, and the use of the BTRA Consequence Calculator Interface to provide additional decision support.
- Complete requirements for additional serotypes for the next-generation FMD vaccine; coordinate implementation of USDA DIVA assays; safety test commercially available international vaccines; conduct research on improving potency and duration of immunity of FMD molecular vaccines; and leverage the knowledge gained to improve other FAD biological countermeasures.
- Perform laboratory-based research to supply crucial data for the BTRA. This will include analysis of antibiotic resistant *Bacillus anthracis* and its impact on current therapies. This analysis will address requirements for the Biomedical Advanced Research and Development Authority to develop medical countermeasures for the Strategic National Stockpile.
- Demonstrate a prototype high-throughput multiplex biological identification platform to enhance laboratory capabilities across multiple application areas. This instrument will be capable of analyzing biological threats in environmental, food, water, animal, plant, and human clinical samples for multiple purposes and by multiple agencies.
- Develop promising new concepts and approaches to prevent, respond to, or recover from the intentional contamination or disruption of the Nation's complex food system along with continuing ongoing R&D activities to support critical priorities.

- Test collectors for their ability to maintain viability of pathogens collected as aerosols. The Viable Particle Capture project will deliver and transition the prototype to OHA.
- Deliver an economic model for chemical facility effects and complete a first probabilistic risk assessment (PRA).
- Develop additional analytical methods for emerging chemical threat agents (CTAs) prioritized by risk and intelligence.

Command, Control and Interoperability –

FY 2009 appropriation of \$74.890 million:

- Piloted the Critical Infrastructure Inspection Management System (CIIMS) to the Los Angeles Police Department (LAPD) ARCHANGEL program that was integrated into the patrol, assessment, prevention, response, and after-action process of critical infrastructure protection.
- Launched a demonstration between Voice over Internet Protocol (VoIP) and Project 25 gateways. The project also accelerated the development and testing of Project 25 IP-based interfaces for infrastructure inter-radio-frequency subsystems, console subsystems, and fixed base station subsystems.
- Initiated activities in Process Control Systems (PCS) Security to support improved security for process control systems used across multiple critical infrastructure sectors and developed PCS model applications to Oil and Gas Sector(s) to ultimately improve infrastructure security.

FY 2010 appropriation of \$81.764 million will:

- Improve the United States Secret Service (USSS) encryption-breaking architecture in warranted criminal and terrorist cases by creating a scalable, distributed network that will allow USSS investigators to harness the computing power of tens of thousands of computers to break through challenging encrypted files.
- Integrate several existing statewide information and visualization platforms in the Southern U.S. into a regional information-sharing framework and provide advanced tools that support the gathering, managing, analyzing, sharing, and securing of relevant information.
- Continue working with emergency responders to perform an in-depth evaluation of the Multi-Band Radio (MBR), which provides them with the unprecedented capability of communicating on all public safety radio bands.
- Create a global R&D enterprise for visualization and data sciences. The collaborative activity will enable the S&T Directorate to take advantage of worldwide expertise in these critical areas of science and quickly translate research into real tools and capabilities.

FY 2011 request of \$74.832 million plans to:

- Standardize, pilot, and evaluate wireless broadband technologies and applications across multiple networks; test and evaluate multi-band radio technologies for use in emergency communications and day-to-day operations; and foster a dynamic information-sharing environment for emergency responders.
- Accelerate transition of new cyber security technologies into commercial products and services for end-users who include first responders, critical infrastructure providers, the banking and finance sector, private industry, and government.
- Reduce the risk of terrorist attacks and enhance preparations for and responses to natural and man-made disasters by developing tools to handle massive amounts of information that are widely dispersed in a variety of forms.
- Provide local, State, and Federal Law Enforcement components with R&D for technologies that aid in the discovery, investigation, and prosecution of terrorists and criminals.

Explosives –

FY 2009 appropriation of \$96.149 million:

- Conducted detonation assessment tests to determine the impact, friction, and electrostatic discharge sensitivities of homemade explosives (HME) threats.
- Reported on spectroscopic and trace technology R&D for remote or standoff detection of Vehicle Borne Improvised Explosive Devices (VBIEDs). These reports established the baseline and feasibility for employing explosive detection techniques as a means of VBIED detection.
- Developed advanced capabilities to detect explosives and concealed weapons, including IEDs or HMEs with detonation potential in passenger cabins and weapons that may aid the hostile takeover of mass transit. Introduced new standalone technologies, such as Computed Tomography (CT), to continue improving detection performance and the detection of novel explosives.

FY 2010 appropriation of \$120.809 million will:

- Develop a prototype for screening moving vehicles remotely, as well as a prototype of standalone spectroscopic technologies to detect both explosives and explosive device components for the standoff detection of VBIEDs.
- Test and validate Electronic Countermeasures (ECM) operational load sets for use in current ECM systems and examine the potential for improvements based on antenna, amplifier, receiver, and signal processing technologies.
- Investigate air blast interaction with blast resistant glass and laminated glass to calculate structural responses to a range of explosives in urban environments.

FY 2011 request of \$120.809 million plans to:

- Complete certification for the next-generation checkpoint detection system to detect novel explosives.
- Deliver the mass-spectrometry, bench-top detector for independent testing and evaluation and pilot testing by TSA.
- Deliver next set of low-cost, non-hazardous training aids of selected HME to enable canines to detect these materials.
- Develop prototypes of standalone technologies using spectroscopic technologies to detect both “explosives” and “explosive device components” for the standoff detection of Vehicle and Suicide Borne Bombers.

Human Factors –

FY 2009 appropriation of \$12.460 million:

- Initiated development of a contactless multi-modal biometrics identification prototype and created corresponding reference datasets, which are essential to system design and prototype delivery.
- Delivered modeling capabilities and content analysis for the computerized analytical framework focused on determining whether radical groups are likely to engage in violence and what ideological, organizational, and contextual factors may influence this decision or spark action.

FY 2010 appropriation of \$16.087 million will:

- Initiate development of a Mobile Biometric System prototype to provide screening capabilities for use at remote sites where communication access is limited, including along U.S. borders, during disasters, terrorist incidents, and at sea.

- Demonstrate multi-cultural, real-time intent detection, which will lead to a hostile-intent detection prototype to identify unknown or potential terrorists through an interactive process with 75 percent accuracy.

FY 2011 request of \$13.435 million plans to:

- Focus on iris image biometric technologies and conduct an iris-quality evaluation and calibration study.
- Demonstrate a Multi-modal Mobile Biometric System prototype.
- Transition multi-culturally validated intent indicators for the Hostile Intent Detection Automated Prototype.
- Transition a mobile, collaborative collection and reporting tool with multi-cultural indicators to support mobile Screening Passengers by Observation Techniques (SPOT) collection and reporting.

Infrastructure and Geophysical –

FY 2009 appropriation of \$75.816 million:

- Started a project to provide a comprehensive and transparent disaster logistics tracking system across the entire area of responsibility of all disaster response partners. This system will allow the Federal Emergency Management Agency (FEMA) to manage critical resources more effectively and will enhance real-time coordination and situational awareness, setting the standard for all disaster response partners.
- Developed measures for tunnel protection by analyzing current technology, and developed a design tool prototype for demonstration and conducted a field test.
- Developed advanced, automated, affordable underwater monitoring and surveillance technologies to detect underwater threats in harsh environments for extended periods that will be capable of seamless and transparent integration into infrastructure operations and operate in tandem and in support of law enforcement and other protective services/agencies.

FY 2010 appropriation of \$74.958 million will:

- Conduct a technology demonstration of surveillance technologies to effectively monitor critical infrastructure and develop system components for practical use at a chosen infrastructure site.
- Design and demonstrate a recovery transformer in a laboratory environment. The recovery transformer will be easy to transport and install, have low maintenance and long service life, which will improve the resiliency of the electric grid.
- Develop a 3D-locator system prototype for First Responders that will improve accuracy to within three feet and improve signal penetration through difficult structures (i.e., underground, over ground, piles of rubble). Conduct testing in major urban areas and deliver an initial set of locators for field-testing at several locations across the Nation.
- Continue development of an integrated sensor package to monitor a First Responder's vital signs – such as cardiac rhythm, heart rate, blood pressure, body temperature, and oxygen saturation, which could indicate Pre-Ventricular Contractions (PVCs) or cardiac arrhythmias – by developing an engineering model and a brassboard model and conduct system tests at several test facilities.

FY 2011 request of \$36.122 million plans to:

- Continue research on key sensors and algorithms to support advanced surveillance technologies (based on the Office of Infrastructure Protection's requirements) that can more effectively monitor critical infrastructure and key resources (CIKR) and allow for the detection of subtle changes against a background environment, incorporating advanced sensors including optical,

infrared, ultraviolet, and acoustic. Develop automated anomaly detection that will replace operator-dependent monitoring of large number of cameras, reducing costs and ensuring adequate protection of CIKR against natural and man-made threats.

- Demonstrate the Recovery Transformer, a new type of electrical power transformer for use during recovery from emergency grid blackouts that is easy to transport and install, has low maintenance requirements and a long service life, and will increase the resiliency of the power grid.
- Integrate and test modeling technologies for a simulation-based incident planning and response system, which will provide FEMA analysts, decision makers, policy makers, emergency managers, and infrastructure operators an integrated modeling and simulation capability to effectively, economically, and rapidly verify and validate response tactics, plans and procedures, as well as conduct “what-if” type analyses prior to, during, and after an incident.
- Stand up the Wild Fire Detection and Prediction Project, which will develop the tools to detect, locate, and predict the magnitude of wild fires to help prevent wildland-urban interface (WUI) fire disasters.

Innovation –

FY 2009 appropriation of \$33.000 million:

- Conducted early demonstrations of rapid, non-contact, three-dimensional fingerprint scanners that will be more successful at capturing fingerprints the first time, with far greater detail, allowing for increased speed and accuracy in records matching.
- Developed early prototypes of technology that will leverage National Aeronautics and Space Administration’s (NASA) expertise with novel-gas sensor architectures for manned space missions or use porous silicon based detection to be incorporated into everyday devices such as cell phones for ubiquitous chemical/biological agent detection.
- Conducted a demonstration of a 3-1-1 bag-screening prototype in an airport to test the system’s ability to distinguish between liquids in an operational environment, where environmental factors can affect the technology’s sensitivity.

FY 2010 appropriation of \$44.000 million will:

- Develop a database of liquids and demonstrate the capability to seamlessly screen segregated liquids (without the 3-1-1 bag constraint) in laboratory.
- Demonstrate a stand-alone fault current limiter (FCL) technology, which is a significant technological advancement that would be an alternative to the relatively high-risk FCL cable if installed in the grid.
- Demonstrate a more advanced tunnel plug to protect mass transit tunnels from fire, smoke, and flooding.
- Develop sample collectors to scan for dangerous goods while they are in transit and also while ships load and unload cargo.

FY 2011 request of \$44.000 million plans to:

- Test approaches for innovative, low cost biological detection in the laboratory and down-select for prototype development.
- Demonstrate a prototype of the infrared, persistent surveillance system in a laboratory.
- Evolve the people screening process from active to passive detection so that screening does not require direct interaction between the operator and the subject.
- Demonstrate sample collector capabilities for container scanning.
- Extend MagViz’s capabilities to detect liquids inside of baggage.

Laboratory Facilities –

FY 2009 appropriation of \$161.940 million:

- Completed the construction of the National Biodefense Analysis and Countermeasures Center (NBACC).
- Issued a Record of Decision (ROD) that selected Manhattan, Kansas as the site for the National Bio and Agro-Defense Facility (NBAF).
- Conducted cleanup activities at the National Urban Security Transportation Laboratory (NUSTL) to return space to commercial use specifications.
- Began full Chemical Security Analysis Center (CSAC) operations in the state-of-the-art facility, which will be the premier facility with the capability to integrate knowledge across the full chemical threat spectrum.
- Began a detailed design of the NBAF facility.
- Operated and maintained DHS laboratories.
- Supported construction of Pacific Northwest National Laboratory Capability Replacement Laboratory.

FY 2010 appropriation of \$150.188 million will:

- Complete NBAF detailed design, conduct site risk assessment, and begin site preparation.
- Plan for the eventual transfer of activities from Plum Island Animal Disease Center (PIADC) to NBAF.
- Achieve full operations at NBACC, which will conduct forensic analyses and interpretation of material recovered following a bioterrorist attack; and conduct laboratory experiments and studies to fill important gaps in our knowledge of current and future threats.
- Construct explosives bunkers at the Transportation Security Laboratory (TSL).
- Operate and maintain DHS laboratories.
- Support construction of Pacific Northwest National Laboratory Capability Replacement Laboratory.

FY 2011 request of \$122.000 million plans to:

- Build Central Utility Plant (CUP) for NBAF (using prior year reprogrammed funds) in conjunction with matching funds from the State of Kansas.
- Complete design for TSL upgrades; begin renovating space to increase developmental, test, and evaluation (DT&E); and begin constructing related general-purpose administrative space.
- Operate and maintain DHS laboratories.

Radiological and Nuclear Division -

FY 2011 request of \$109.000 plans to:

- Transferred the Research and Development from the Domestic Nuclear Detection Office (DNDO). The S&T Directorate created a new Radiological and Nuclear (Rad/Nuc) PPA to reflect the transfer. Rad/Nuc will investigate alternative technologies related to Helium-3, the most efficient and commonly used material for neutron detection (for which the demand exceeds the supply). Additionally, the PPA will fund Advanced Technology Demonstrations (ATD), including the Shielded Nuclear Alarm Resolution (SNAR) project and Intelligent Radiation Sensing System (IRSS) for maritime, air, and land venues.
- Initiate a new program, Response and Recovery, to provide advanced planning, develop CONOPS, and fund exercises and training for responding to and recovering from rad/nuc attacks.

Test & Evaluation (T&E) and Standards –

FY 2009 appropriation of \$28.674 million:

- Finalized standard test materials for Anthrax bacteria (*Bacillus anthracis*) and Ricin, release interim guidance for chemical and biological decontamination, and develop guidance for first-responder assessment of detection technology claims.
- Provided standards for image quality for biometric images of face, fingerprint, and iris to enhance interoperability of US-VISIT and FBI Integrated Automated Fingerprint Identification System (IAFIS) fingerprint databases.
- Established and issued policy and procedures as well as coordinate T&E resources to verify technical performance and operational effectiveness/suitability. Completed the Integrated DHS T&E Infrastructure Plan that will matrix the available domain of T&E capabilities to the DHS acquisition programs and the S&T Directorate's Capstone IPT projects.

FY 2010 appropriation of \$29.000 million will:

- Complete the development of trace explosives standard test materials for RDX and C4 explosives. Develop a test kit for evaluation and quality control of walk-through portals. Finalize and adopt standard test methods for X-ray inspection systems and body scanners.
- Initiate the chemical warfare agents/toxic industrial chemicals detection standards program, including standoff (optical) detection systems.
- Collaborate with FEMA to identify and prioritize specific product categories for assessment through the System Assessment and Validation for Emergency Responders (SAVER) program. SAVER tests and assesses commercially available products that fall within product categories listed on the DHS Authorized Equipment List and provides results along with other relevant equipment information to the First Responder community.

FY 2011 request of \$23.174 million plans to:

- Develop standards related to chemical and biological threat detection including a comprehensive suite of performance standards for detection equipment, guidance on how to respond to chemical/biological incidents, and simulants for testing.
- Develop standards related to explosives detection, including standards for detectors, protective equipment, body-scanning systems, and cargo.
- Test and assess commercially available equipment that falls within categories listed on the DHS Authorized Equipment List and provide the results along with other relevant equipment information to the First Responder community.
- Develop T&E policies and procedures that define T&E activities required of all DHS components throughout the system acquisition process.

Transition –

FY 2009 appropriation of \$33.830 million:

- Initiated prototype development for a vehicle-mounted chemical and biological wireless sensor capable of identifying and reporting to a command post 13 toxic industrial chemicals.
- Expanded coordination with other Federal agencies to create Federal best practices, standards, and guidelines and worked with public and private consortiums/associations to identify promising technologies for prompt consideration under the SAFETY Act.
- *HSI – FY 2009 appropriation of \$5.0 million (in FY 2008 and FY 2010 HSI is a program in the Transition PPA):*
 - Conducted studies and analyses for the Department and its components in support of their mission.
 - Re-competed a studies and analysis FFRDC under the authority of Section 305 of the Homeland Security Act of 2002.

FY 2010 appropriation of \$46.134 million will:

- Educate and inform universities and national laboratories that research, develop and pilot new innovative homeland security technologies about the SAFETY Act.
- Refine support and analysis of customer gaps through the Capstone IPT process and monitor efforts for cost, schedule, and capability to ensure technologies effectively transition into acquisition.
- Develop and design technologies to address capability gaps identified by Federal, State, local and tribal First Responders in the First Responder IPT. Test technologies, assess them for usability, and commercialize them to make the technology solutions available across all First Responder communities.

FY 2011 request of \$42.134 million plans to:

- Refine the IPT process ensuring efficiency, effectiveness, increased leadership insight, customer involvement and integration with component and Department planning activities to ensure technology gaps are incorporated in the IPT process at the earliest appropriate stage.
- Demonstrate up to six prototypes developed based on capability gaps received through the TechSolutions website.
- Conduct Regional Homeland Security Interagency Symposia to strengthen DHS regional collaborative efforts, to communicate achievements, and to collect State/Local/territorial/tribal input on technology gaps.
- Prioritize and develop technology solutions proposed by the First Responder IPT.

University Programs –

FY 2009 appropriation of \$50.270 million:

- Established a new DHS Center of Excellence (COE), the Center of Excellence for Command, Control, and Interoperability, merging activities of the Institute of Discrete Sciences University Affiliate Centers and the DHS Regional Visualization and Analytics Centers.

FY 2010 appropriation of \$49.350 million will:

- Extend decision analysis methodologies at the Center for Risk and Economic Analysis of Terrorism Events (CREATE) to include dynamic interactions between attackers and defenders and develop capabilities for including intelligence data and analysis into decision support tools.
- Expand the master's program in Science and Technology Leadership at the National Defense University (NDU) to other DHS components.

FY 2011 request of \$40.000 million plans to:

- Continue developing required expertise, infrastructure, and training output at National Center for Food Protection and Defense (NCFPD) to provide DHS and food sector agencies/owners with comprehensive, internal capabilities in food defense.
- Continue to serve as a systems integrator between border security technologies, border management, and immigration policies at the Center of Excellence for Border Security and Immigration to deliver innovative, practical solutions.
- Continue to address the full range of hazards to the Nation's surface transportation infrastructure at the National Transportation Security Center of Excellence, including terrorist attack, natural disaster, pandemic disease, and vulnerabilities unique to the transportation of hazardous petrochemicals.
- Develop a pilot program to provide opportunities to DHS employees to pursue science and engineering PhDs at the COEs.

C. Resources Requested and Performance Impact

Current Services

The proposed FY 2011 budget request of \$1,018.264 million, an increase of \$11.793 million, will maintain some ongoing activities in science and technology research to detect and counter threats and attacks; to protect the Nation's critical infrastructure, both physical and cyber; to analyze and assess threats and vulnerabilities; and to provide cutting edge technologies to operational end-users.

The S&T Directorate has planned and budgeted for its activities in FY 2011 by focusing and incorporating our DHS customers' priorities to conduct the urgent and overriding mission of DHS by:

- Securing the homeland;
- Protecting our Nation's borders by finding and killing the roots of terrorism and to stop those who intend to hurt us;
- Enforcing wisely the rule of law at our borders;
- Protecting our national cyber infrastructure;
- Preparing for and responding to natural and man-caused disasters with speed, skill, compassion, and effectiveness.

D. Performance Based Budget Highlights by Program¹

For each mission-oriented program, the program performance goal, alignment to Secretary's Priorities, total dollars and FTE, and Government Performance and Results Act (GPRA) performance plan measure/s are shown below. Additional measures are also displayed, as appropriate, to provide a more thorough context of expected performance results.

Program: Border and Maritime Security						
Performance Goal: Improve the capability of homeland security personnel to secure the Nation's land, maritime, and air borders through science and technology.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$78,475	\$41,207	\$33,413	\$40,733	\$50,613	\$47,015
FTE	16	12	17	19	14	15

Performance Plan Measures

Measure: Percent of borders and maritime security program milestones that are met, as established in the fiscal year's budget execution plan

Description of Measure: This measure reflects the percent of borders and maritime security program milestones that meet their fiscal year budget execution and five - year plan goals. These milestones are derived from the Directorate's Integrated Product Teams in which the Borders and Maritime Security program works closely with its DHS customers (e.g. Customs and Border Patrol, Immigration and Customs Enforcement, and U.S. Coast Guard), to identify customer requirements, set goals for milestones and deliverables, plan for the allocation of resources, discuss the status of projects, etc. ST develops Technology Transition Agreements with its customers to identify what ST will do to meet customer requirements in the development of a technology, and how a customer expects to invest in this technology once it is ready.

¹ The Domestic Nuclear Detection Office's (DNDO) R&D program is proposed for transfer to the S&T Directorate in FY11. This section does not report on the DNDO R&D transfer to the new S&T Radiological and Nuclear program, which represents \$128,140 in funding. Performance plans will be developed for the Radiological and Nuclear program in 2010.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	N/A	100%	90%	90%	90%	90%
Actual:	None	80%	91%	91%	N/A	N/A

Measure: Percent of transition program funding dedicated to developing technologies in direct response to Department of Homeland Security components' requirements						
Description of Measure: The percent of science and technology transition funding that directly supports the development of technologies requested by the Department components such as Customs and Border Protection, to ensure that operational end users are provided with the technology and capabilities they need to detect and prevent terrorist attacks, means of terrorism and other illegal activities.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	80%	94%	95%	96%	97%	98%
Actual:	94%	98%	99%	96%	N/A	N/A

Program: Chemical and Biological						
Performance Goal: Improve the understanding, technologies, and systems necessary to protect against possible biological and chemical attacks on the Nation's population, agriculture, or infrastructure through science and technology.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$529,944	\$343,511	\$239,483	\$231,192	\$236,907	\$236,192
FTE	106	23	49	54	67	74

Performance Plan Measures

Measure: Percent completion of a set of guidance, resources, and tools to effectively restore key infrastructure to normal operation after a chemical or biological attack						
Description of Measure: This measure reflects program activities to develop the required components of a capability to restore critical infrastructure from an attack with persistent chemical agents, including TICs, CWAs, and NTAs, as well as to restore areas contaminated with biological agents, such as anthrax. Progress in the comprehensive chemical and biological restoration effort is measured as the percentage of key products and deliverables that comprise together the full required capability. Such deliverables and products include the required technologies and guidance documents along with key reports developed to enable critical decisions along the development pathway. Through the broad proliferation of the guidance documents, restoration templates, and technology surveys that are products of this effort, the preparedness of local, regional, and national response entities for response to and recovery from a chemical or biological attack will be greatly enhanced.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	74%	91%	97%
Actual:	None	None	N/A	68.5%	N/A	N/A

Measure: Percent of chemical and biological program milestones that are met, as established in the fiscal year's budget execution plan						
Description of Measure: This measure reflects the percent of chemical and biological program milestones that meet their established fiscal year budget execution and five - year plan goals. These milestones are derived from the Directorate's Integrated Product Teams in which the Chemical and Biological program works closely with its DHS customers (e.g., the Office of						

Infrastructure Protection, and the Chief Medical Office), to identify customer requirements, set goals for milestones and deliverables, plan for the allocation of resources, discuss the status of projects, etc. ST develops Technology Transition Agreements with its customers to identify what ST will do to meet customer requirements in the development of a technology, and how a customer expects to invest in this technology once it is ready.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	N/A	88%	90%	93%	95%	96%
Actual:	None	89%	93%	95.6%	N/A	N/A

Measure: Percent of high - priority chemical and biological agents detectable in target operational scenarios						
Description of Measure: This measure reflects progress across the entire chemical and biological detection program toward developing technologies for transition to appropriate customers for deployment and use. Targeted agents for these detection systems are prioritized through biological and chemical terrorism risk assessments, which are updated by the program on a biennial basis and reviewed by other agencies with a stake in the outcome. The set of agents chosen comprise some 90 - 95% of total risk presented by chemical and biological agents.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	17%	39%	68%
Actual:	None	None	N/A	17%	N/A	N/A

Program: Command, Control and Interoperability						
Performance Goal: Improve and develop operable and interoperable communications for emergency responders; develop tools to improve the security and integrity of the internet; and improve and develop automated capabilities to recognize potential threats through science and technology.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$117,322	\$75,184	\$69,933	\$87,269	\$93,668	\$87,885
FTE	23	20	29	31	26	27

Performance Plan Measures

Measure: Number of cyber security data sets collected and approved						
Description of Measure: This measure tracks the cumulative number of data sets available in the protected repository, a secure library that is made available to specified researchers. Each data set contains information about real network and system traffic that researchers can use to design, produce, and evaluate new cyber security solutions. In FY 2009 the Science and Technology (ST) Directorate continued the ongoing collection, refreshing, and sharing of data sets, and addition of new partners as applicable for the Protected Repository for the Defense of Infrastructure against Cyber Threats (PREDICT) repository. This is important because the repository needs to continually add new and pertinent data so that the cyber security research community can have the most recent information to respond to new attacks.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	85	350	450	150	200
Actual:	68	263	281	111	N/A	N/A

Measure: Number of proof - of - concept reconnaissance, surveillance and investigative technologies demonstrated						
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Description of Measure: This measure identifies the number of proof - of - concept (feasibility) of technologies demonstrated that aid in the discovery, investigation, and prosecution of terrorists and criminals. A proof of concept is a feasibility assessment that is considered a milestone in the development of a fully functioning prototype. These assessments are most meaningful and used by the program manager for the Reconnaissance, Surveillance, and Investigative Technologies subprogram or Division executives to determine the necessity of a continued investment.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	N/A	5	8	9	8
Actual:	None	None	7	9	N/A	N/A

Measure: Percent of command, control and interoperability program milestones that are met, as established in the fiscal year's budget execution plan						
Description of Measure: This measure includes the percent of command, control, and interoperability program milestones that meet their fiscal year budget execution and five - year plan goals. These milestones are derived from the Directorate's Integrated Product Teams in which the Command, Control and Interoperability program works closely with its DHS customers (e.g., the Office of Intelligence and Analysis, the Federal Emergency Management Agency, and the Office of Emergency Communications), to identify customer requirements, set goals for milestones and deliverables, plan for the allocation of resources, discuss the status of projects, etc. ST develops Technology Transition Agreements with its customers to identify what ST will do to meet customer requirements in the development of a technology, and how a customer expects to invest in this technology once it is ready.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	N/A	75%	90%	95%	100%	100%
Actual:	None	75%	94%	81%	N/A	N/A

Program: Explosives						
Performance Goal: Improve explosive countermeasure technologies and procedures to prevent attacks on critical infrastructure, key assets, and the public through science and technology.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$89,809	\$121,518	\$89,404	\$107,570	\$138,397	\$141,961
FTE	18	48	21	23	39	44

Performance Plan Measures

Measure: Number of new or improved technologies available for transition to the customers at a Technology Readiness Level (TRL) 6 or above						
Description of Measure: The number of technologies includes those that have reached a maturity level of TRL 6 or above; this indicates that a technology is ready for demonstration. These technologies will be transitioned to the primary customer, the Transportation Security Administration.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	NA	2	3	5	5	4
Actual:	None	0	3	5	N/A	N/A

Measure: Percent of explosives program milestones that are met, as established in the fiscal year's budget execution plan						
Description of Measure: This measure reflects the percent of explosives program milestones meeting their fiscal year budget execution and five - year plan goals. These milestones are						

derived from the Directorate's Integrated Product Teams in which the Explosives program works closely with its DHS customers (e.g. the Transportation Security Administration and U.S. Secret Service), to identify customer requirements, set goals for milestones and deliverables, plan for the allocation of resources, discuss the status of projects, and etc. ST develops Technology Transition Agreements with its customers to identify what ST will do to meet customer requirements in the development of a technology, and how a customer expects to invest in this technology once it is ready.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	N/A	80%	85%	80%	85%	85%
Actual:	None	61%	77%	72%	N/A	N/A

Program: Human Factors

Performance Goal: Improve detection, analysis, and the understanding of threats posed by individuals, groups, and radical movements through science and technology.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$7,484	\$10,656	\$17,949	\$15,895	\$18,429	\$15,808
FTE	2	13	14	15	5	5

Performance Plan Measures

Measure: Percent of human factor program milestones that are met, as established in the fiscal year's budget execution plan

Description of Measure: This measure presents the percent of human factor program milestones meeting their fiscal year budget execution and five - year plan goals. These milestones are derived from the Directorate's Integrated Product Teams in which the Human Factors program works closely with its DHS customers (e.g. the Office of Screening Coordination and Operations, and US Citizenship and Immigration Services), to identify customer requirements, set goals for milestones and deliverables, plan for the allocation of resources, discuss the status of projects, etc. ST develops Technology Transition Agreements with its customers to identify what ST will do to meet customer requirements in the development of a technology, and how a customer expects to invest in this technology once it is ready.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	NA	90%	90%	90%	90%	90%
Actual:	None	73%	100%	95%	N/A	N/A

Program: Infrastructure and Geophysical

Performance Goal: Improve the capability for State, local, tribal, and private sector preparedness for and response to all hazardous events impacting the population and critical infrastructure through science and technology.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$50,999	\$83,131	\$73,366	\$84,412	\$85,871	\$42,417
FTE	10	7	15	16	24	13

Performance Plan Measures

Measure: Percent of infrastructure and geophysical program milestones supporting preparedness that are met, as established in the fiscal year's budget execution plan						
Description of Measure: This measure reflects the percent of programmatic and technical preparedness milestones of the Infrastructure and Geophysical that meet their fiscal year budget execution and five - year plan goals. These milestones are derived from the Directorate's Integrated Product Teams in which the Infrastructure and Geophysical program works closely with its DHS customers (e.g. the Office of Infrastructure Protection and the Federal Emergency Management Agency), to identify customer requirements, set goals for milestones and deliverables, plan for the allocation of resources, discuss the status of projects, etc. ST develops Technology Transition Agreements with its customers to identify what ST will do to meet customer requirements in the development of a technology, and how a customer expects to invest in this technology once it is ready.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	90%	90%	90%
Actual:	None	None	N/A	100%	N/A	N/A

Measure: Percent of infrastructure and geophysical program milestones supporting the protection of critical infrastructure that are met, as established in the fiscal year's budget execution plan						
Description of Measure: This measure reflects the percent of programmatic and technical milestones supporting the protection of critical infrastructure that meet their fiscal year budget execution and five - year plan goals. These milestones are derived from the Directorate's Integrated Product Teams in which the Infrastructure and Geophysical program works closely with its DHS customers (e.g. the Office of Infrastructure Protection and the Federal Emergency Management Agency), to identify customer requirements, set goals for milestones and deliverables, plan for the allocation of resources, discuss the status of projects, etc. ST develops Technology Transition Agreements with its customers to identify what ST will do to meet customer requirements in the development of a technology, and how a customer expects to invest in this technology once it is ready.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	NA	90%	90%	90%	90%	90%
Actual:	None	69%	90%	100%	N/A	N/A

Additional Measures

Measure: Number of analyses/simulations completed on critical infrastructure decision support systems that provide actionable information to help protect U.S. critical infrastructure						
Description of Measure: This measure represents the cumulative number of analyses/simulations completed on critical infrastructure decision support systems. These systems provide a rational, scientifically - informed approach for prioritizing critical infrastructure protection strategies and resource allocations using modeling, simulation, and analyses to assess vulnerabilities, consequences, and risks; develop and evaluate protection, mitigation, response, and recovery strategies and technologies; and provide real - time support to decision makers during crises and emergencies. This measure demonstrates the availability of actionable information to help protect the U.S.'s critical infrastructure from acts of terrorism, natural disasters, and other emergencies.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	N/A	4	N/A	N/A	N/A
Actual:	None	None	0	N/A	N/A	N/A

Program: Innovation

Performance Goal: Support significant technology breakthroughs that have the potential to greatly enhance DHS operations through science and technology.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$0	\$46,922	\$42,270	\$41,808	\$50,406	\$51,699
FTE	0	17	24	26	14	16

Performance Plan Measures

Measure: Percent of innovation program milestones that are met, as established in the fiscal year's budget execution plan						
Description of Measure: This measure reflects the percent of program milestones met for the Innovation/Homeland Advanced Research Projects Agency (HSARPA) portfolio programs that meet their fiscal year budget execution and five - year plan goals. The program focuses on high - risk/high - reward, homeland security Research and Development that could lead to technology breakthroughs and products that significantly enhance DHS operations. The program requires flexibility to adapt its projects at critical go/no - go decision points. The five - year plan details the allocation of dollars and projected accomplishments for the current and future fiscal years. The targets reflect the high - risk/high - reward nature of this type of research.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	NA	45%	50%	60%	60%	60%
Actual:	None	83%	88%	78%	N/A	N/A

Program: Laboratory Facilities						
Performance Goal: Improve the Nation's core of productive science, technology, and engineering laboratories, organizations, and institutions, which can develop the knowledge and technology required to secure our homeland through science and technology.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$104,825	\$142,006	\$140,849	\$195,853	\$189,551	\$143,468
FTE	21	127	150	163	178	175

Performance Plan Measures

Measure: Percent of laboratory facilities program milestones supporting protection against biological attacks that are met, as established in the fiscal year's budget execution plan						
Description of Measure: This measure includes the percent of Laboratory Facilities program milestones supporting protection against biological attacks that meet their fiscal year budget execution and five - year plan goals. The five - year plan details the allocation of dollars and projected accomplishments for the current and future fiscal years.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	NA	100%	100%	90%	90%	90%
Actual:	None	93%	93%	90%	N/A	N/A

Measure: Percent of laboratory facilities program milestones supporting the protection of transportation sectors that are met, as established in the fiscal year's budget execution plan						
Description of Measure: This measure reports on the percent of laboratory facilities program milestones that support the transportation sectors that meet their fiscal year budget execution and five - year plan goals. The five - year plan details the allocation of dollars and projected accomplishments for the current and future fiscal years.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	90%	90%	90%
Actual:	None	None	None	95%	N/A	N/A

Program: Test Evaluation and Standards						
Performance Goal: Improve and develop standards and test and evaluation protocols for products, services, and systems used by the Department of Homeland Security and its partners to ensure consistent and verifiable effectiveness of equipment and tools through science and technology.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$35,017	\$29,556	\$32,518	\$32,596	\$33,244	\$27,148
FTE	7	6	7	8	10	8

Performance Plan Measures

Measure: Number of Department of Homeland Security official technical standards introduced per year						
Description of Measure: This measure gauges the number of standards introduced for adoption by the Department of Homeland Security per year. Note that not all standards that are introduced are adopted. The Standards Council and our working groups identify standards and examine their suitability for adoption. Only those standards with clear requirements and applicability are adopted.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	15	20	20	8	10	10
Actual:	15	19	5	8	N/A	N/A

Measure: Percent of standards introduced that are adopted by Department of Homeland Security and partner agencies						
Description of Measure: This measure reflects the percent of standards and protocols for products, services, and systems that are adopted by the Department and its partner agencies. Adoption of standards and protocols ensure a high level of effectiveness among the technologies and capabilities end users need to detect and prevent terrorist attacks, means of terrorism and other illegal activities.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	67%	85%	90%	80%	80%	85%
Actual:	92%	84%	80%	0	N/A	N/A

Measure: Percent of test, evaluation and standards program milestones that are met, as established in the fiscal year's budget execution plan						
Description of Measure: This measure reflects the percent of test, evaluation, and standards milestones that meet their fiscal year budget execution and five - year plan goals. The five - year plan details the allocation of dollars and projected accomplishments for the current and future fiscal years.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	N/A	70%	70%	80%	80%	85%
Actual:	None	88%	70%	85%	N/A	N/A

Program: Transition						
Performance Goal: Deliver near - term products and technology enhancements through science and technology.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$7,365	\$29,402	\$35,809	\$39,058	\$52,850	\$49,445
FTE	1	11	15	16	15	15

Performance Plan Measures

Measure: Number of applications for SAFETY Act coverage submitted.						
Description of Measure: The Office of SAFETY (Support Anti - Terrorism by Fostering Effective Technologies) Act Implementation (OSAI) is responsible for review and approval of applications for Designation and Certification of Qualified Anti - Terrorism Technologies under the SAFETY Act program. This measure reflects the cumulative number of applications received regarding anti - terrorism technologies under the SAFETY Act. The number of applications received is an indicator of long - term success because it is a reflection of the homeland security market's desire to develop and deploy anti - terrorism technologies and the necessity of a program that will enable this process. By continuing to increase the number of applications the SAFETY Act program will continue to be effective in enabling the widespread commercial availability of effective anti - terrorism technologies.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	138	220	167
Actual:	None	None	N/A	218	N/A	N/A

Measure: Number of SAFETY Act "transition" (new, highly innovative) technologies awarded						
Description of Measure: In order to stay up to date with the continually changing nature of terrorism, the Office of SAFETY (Support Anti - Terrorism by Fostering Effective Technologies) Act Implementation (OSAI) will seek out those evolving technologies that can serve a homeland						

security mission and provide coverage to enable their transition into the commercial market, at a rate of 20 percent a year. A "transition" technology is defined as any technology that is awarded Developmental Testing and Evaluation (DTE) Designation, and those that can be considered new and innovative (i.e. a new technological application in the homeland security arena). OSAI is actively seeking out these technologies in an effort to address the ever - changing nature of terrorism. The SAFETY Act program is the only federal program that attempts to help industry transition these developmental technologies into the commercial marketplace.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	17	21	25
Actual:	None	None	N/A	17	N/A	N/A

Measure: Percent of transition program milestones that are met, as established in the fiscal year's budget execution plan

Description of Measure: This measure reflects the percent of milestones of the Transition program that meet their fiscal year budget execution and five - year plan goals. The five - year plan details the allocation of dollars and projected accomplishments for the current and future fiscal years.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	NA	80%	85%	86%	87%	88%
Actual:	None	100%	100%	94.12%	N/A	N/A

Additional Measures

Measure: Average processing time for SAFETY Act application.

Description of Measure: The Office of SAFETY (Support Anti - Terrorism by Fostering Effective Technologies) Act Implementation (OSAI) is responsible for review and approval of applications for Designation and Certification of Qualified Anti - Terrorism Technologies (QATTs) under the SAFETY Act program. The percentage of applications processed within 120 days is important for the encouragement of development and deployment of anti - terrorism technologies. Decisions can be made at a swifter pace when applications are processed in a timely manner. The program reflects the intent of Congress to ensure that the threat of liability does not deter potential sellers from developing and commercializing technologies that could significantly reduce the risk of, or mitigate the effect of, acts of terrorism.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	120 days	120 days	120 days
Actual:	None	None	N/A	102	N/A	N/A

Program: University Programs

Performance Goal: Improve university - based research, development, and education systems to enhance the Nation's homeland security through science and technology.

Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$47,147	\$55,016	\$55,341	\$56,201	\$56,535	\$47,086
FTE	9	9	9	10	16	15

Performance Plan Measures

Measure: Number of Homeland Security - Science, Technology, Engineering and Mathematics students supported						
Description of Measure: This measure reflects the current number of students pursuing science, technology, engineering, and mathematics studies that receive scholarships, fellowships, and internships through the Office of University Programs. The students may include both undergraduates and graduate students. The University Centers of Excellence can make the awards for scholars and fellowships in their disciplinary areas. The University Centers are mission - focused university consortiums that leverage the multi - disciplinary capabilities of universities to address the Department of Homeland Security needs.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	N/A	200	178	150	150
Actual:	None	None	203	180	N/A	N/A

Measure: Percent of supported students who declare and complete a Homeland Security - Science, Technology, Engineering and Mathematics major or program of study						
Description of Measure: This measure gauges the effectiveness of the program's efforts to develop the scientific and technical leadership needed for the Nation's future security by measuring the percent of Science and Technology Directorate - funded students that complete their Homeland Security - Science, Technology, Engineering and Mathematics (HS - STEM) program of study. The percentage is calculated from the pool of students eligible to graduate in the current fiscal year. The funds are granted through the University Centers of Excellence (COEs) which are mission - focused university consortiums that leverage the multi - disciplinary capabilities of universities to address the Department of Homeland Security's needs.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	N/A	85%	85%
Actual:	None	None	None	N/A	N/A	N/A

Measure: Percent of university programs milestones that are met, as established in the fiscal year's budget execution plan						
Description of Measure: This measure describes the percent of University program milestones that meet their fiscal year budget execution and five - year plan goals. The five - year plan details the allocation of dollars and projected accomplishments for the current and future fiscal years.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	N/A	80%	85%	85%	85%	85%
Actual:	None	60%	100%	100%	N/A	N/A

E. Digest Tables by FYHSP Programs

Digest of FY 2011 Budget Estimates by Activity and FYHSP Program						
(dollars in thousands)						
FYHSP Program	FY2009		FY2010		FY2011	
	Enacted		Enacted		President's Budget	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Border and Maritime Security	19	\$40,733	14	\$50,613	15	\$47,015
M&A	19	7,683	14	6,432	15	7,079
RDA&O	0	33,050	0	44,181	0	39,936
Chemical and Biological	54	\$231,192	67	\$236,907	74	\$236,192
M&A	54	30,784	67	30,107	74	35,329
RDA&O	0	200,408	0	206,800	0	200,863
Command, Control, and Interoperability	31	\$87,269	26	\$93,668	27	\$87,885
M&A	31	12,379	26	11,904	27	13,053
RDA&O	0	74,890	0	81,764	0	74,832
Explosives	23	\$107,570	39	\$138,397	44	\$141,961
M&A	23	11,421	39	17,588	44	21,152
RDA&O	0	96,149	0	120,809	0	120,809
Human Factors	15	\$15,895	5	\$18,429	5	\$15,808
M&A	15	3,434	5	2,342	5	2,373
RDA&O	0	12,460	0	16,087	0	13,435
Infrastructure and Geophysical	16	\$84,412	24	\$85,871	13	\$42,417
M&A	16	8,596	24	10,913	13	6,295
RDA&O	0	75,816	0	74,958	0	36,122
Innovation	26	\$41,808	14	\$50,406	16	\$51,699
M&A	26	8,808	14	6,406	16	7,699
RDA&O	0	33,000	0	44,000	0	44,000
Laboratory Facilities	163	\$195,853	178	189,551	175	\$143,468
M&A	39	33,913	48	39,363	45	21,468
RDA&O	124	161,940	130	150,188	130	122,000
Radiological and Nuclear	0	\$0	0	\$0	40	\$128,140
M&A	0	0	0	0	40	19,140
RDA&O	0	0	0	0	0	109,000
Test and Evaluation/Standards	8	\$32,596	10	\$33,244	8	\$27,148
M&A	8	3,922	10	4,244	8	3,974
RDA&O	0	28,674	0	29,000	0	23,174
Transition	16	\$39,058	15	\$52,850	15	\$49,445
M&A	16	5,228	15	6,716	15	7,311
RDA&O	0	33,830	0	46,134	0	42,134
University Programs	10	\$56,201	16	\$56,535	15	\$47,086
M&A	10	5,931	16	7,185	15	7,086
RDA&O	0	50,270	0	49,350	0	40,000
Total Budget Authority	381	932,587	408	1,006,471	447	1,018,264

Department of Homeland Security

Domestic Nuclear Detection Office



Fiscal Year 2011
Congressional Submission

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i. Summary of FY 2011 Budget Estimates by Appropriation

**Department of Homeland Security
Domestic Nuclear Detection Office**
Summary of FY 2011 Budget Estimates by Appropriation
(Dollars in Thousands)

Budget Activity	FY 2009 Actual		FY 2010 Enacted		FY 2011 Request		Increase (+) or Decrease (-) For FY 2011					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Management and Administration	114	34,153	130	38,500	122	36,992	(8)	(\$1,508)	4	\$1,099	(12)	(\$2,607)
Research, Development and Operations	-	314,352	-	324,537	-	207,828		(116,709)	---	(8,172)	---	(108,537)
Systems Acquisition	-	112,542	-	20,000	-	61,000		41,000	---	41,000	---	---
Subtotal, Enacted Appropriations and Budget Estimates	114	\$461,047	130	\$383,037	122	\$305,820	(8)	(\$77,217)	4	\$33,927	(12)	(\$111,144)
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	114	\$461,047	130	\$383,037	122	\$305,820	(8)	(\$77,217)	4	\$33,927	(12)	(\$111,144)

ii. **Homeland and Non-Homeland Allocation**

**Department of Homeland Security
Domestic Nuclear Detection Office**
Homeland and Non-Homeland Allocation by Program/Project Activity
(Dollars in Thousands)

Budget Activity	2009 Actual						2010 Enacted						2011 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Management and Administration	114	\$34,153			114	\$34,153	130	\$38,500			130	\$38,500	122	\$36,992			122	\$36,992
Research, Development and Operations	---	\$314,352			---	\$314,352	---	\$324,537			---	\$324,537	---	\$207,828			---	\$207,828
Systems Engineering and Architecture	-	25,302		-	-	\$25,302	-	25,448	-	-	-	\$25,448	-	38,833	-	-	-	\$38,833
Systems Development	-	92,598	-	-	-	\$92,598	-	100,000	-	-	-	\$100,000	-	69,033	-	-	-	\$69,033
Transformational R&D	-	103,985	-	-	-	\$103,985	-	108,537	-	-	-	\$108,537	-	0	-	-	-	\$0
Assessments	-	34,519	-	-	-	\$34,519	-	32,416	-	-	-	\$32,416	-	43,465	-	-	-	\$43,465
Operations	-	40,133	-	-	-	\$40,133	-	38,436	-	-	-	\$38,436	-	33,955	-	-	-	\$33,955
Forensics	-	17,815	-	-	-	\$17,815	-	19,700	-	-	-	\$19,700	-	22,542	-	-	-	\$22,542
Systems Acquisition	---	\$112,542			---	\$112,542	---	\$20,000			---	\$20,000	---	\$61,000			---	\$61,000
Radiation Portal Monitor Program	-	93,021	-	-	-	\$93,021	-	0	-	-	-	\$0	-	8,000	-	-	-	\$8,000
Securing the Cities	-	14,906	-	-	-	\$14,906	-	20,000	-	-	-	\$20,000	-	0	-	-	-	\$0
Human Portable Radiation Detector Systems	-	4,615	-	-	-	\$4,615	-	0	-	-	-	\$0	-	53,000	-	-	-	\$53,000
Total Direct Appropriations and Budget Estimates	114	\$461,047	0	\$0	114	\$461,047	130	\$383,037	0	\$0	130	\$383,037	122	\$305,820	0	\$0	122	\$305,820

iii. Status of Congressionally Requested Studies, Reports, and Evaluation

Department of Homeland Security
Domestic Nuclear Detection Office

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2010	Prior to implementation	DHS APPROPRIATIONS ACT, 2010 (H.R.2892 and Conference Report, P.L. 111-83)	Section 577. The conference agreement includes a provision rescinding \$8,000,000 from unobligated balances of prior year appropriations for DNDO 'Research, Development, and Operations' as proposed by the Senate. The House proposed no similar provision. DNDO shall notify the Committees on the distribution of the rescission prior to its implementation.	Will notify Committees on the distribution prior to implementation of rescission
2010	Quarterly	DHS APPROPRIATIONS ACT, 2010 (H.R.2892 and Conference Report, P.L. 111-83)	The conferees direct DNDO to continue quarterly briefings to the Committees on progress in developing architecture to guide technology research and applications; the status of such technologies, including their strengths and weaknesses; and timetables to develop and deploy them	Most recent briefing October 2009
2010	Quarterly	DHS APPROPRIATIONS ACT, 2010 (H.R.2892 and Conference Report, P.L. 111-83)	The conferees also direct DNDO to provide quarterly briefings to the Committees, as proposed in the House report, on development of the Cargo Advanced Automated Radiography Systems and Joint Integrated Non-Intrusive Inspection programs; red team exercises and assessments, including vulnerabilities identified and recommendations for addressing them; the progress in the Human Portable Radiation Detection System development effort, including operational testing and production of new technologies for advanced operations; and progress in developing alternatives to existing detection materials and systems, in particular progress in finding alternatives to neutron detectors based on Helium-3.	Most recent briefing October 2009
2010	12/27/2009	DHS APPROPRIATIONS ACT, 2010 (H.R.2892 and Conference Report, P.L. 111-83)	The conference agreement includes \$5,000,000 within the amounts appropriated for Research, Development, and Operations to improve operations and capabilities of currently deployed polyvinyl toluene (PVT) radiation portal monitors and handheld radiation detectors, and to deploy any improvements to the field. The conferees direct DNDO to submit a plan for expenditure, development, and deployment for such efforts to the Committees not later than 60 days after the date of enactment of this Act. The conferees direct DHS to notify the Committees if DNDO determines that it cannot obligate this funding.	In progress; estimated submission in late February.
2009	30-Dec-08	Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Senate Report p.135 (Public Law 110-329)	The Committee directs DNDO to submit a report within 90 days of the date of enactment of this act on the National Technical Nuclear Forensics Center [NTNFC], specifically on implementation of its quality assurance program and the results of the NAS study of its capabilities, infrastructure, and workforce, and the steps NTNFC is taking to implement the recommendations.	Spoke to Committee; will submit after the NAS study is completed
2009	Prior to the procurement of ASPs for primary and secondary deployment	Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Senate Report p.136 (Public Law 110-329)	The bill prohibits DNDO from full-scale procurement of Advanced Spectroscopic Portal [ASP] monitors until the Secretary submits a report to the Committees on Appropriations certifying that a significant increase in operational effectiveness will be achieved.	In progress.

iv. **Schedule of Authorized/Unauthorized Appropriations by PPA**

**Department of Homeland Security
Domestic Nuclear Detection Office**
Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)

Budget Activity				
	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2011 Request
	Fiscal Year	Amount	Amount	Amount
Management and Administration	\$0	\$0	\$0	\$36,992
Research, Development and Operations	\$0	\$0	\$0	\$207,828
Systems Engineering and Architecture	0	0	0	38,833
Systems Development	0	0	0	69,033
Transformational R&D	0	0	0	0
Assessments	0	0	0	43,465
Ops	0	0	0	33,955
Forensics	0	0	0	22,542
Systems Acquisition	\$0	\$0	\$0	\$61,000
Radiation Portal Monitor Program	0	0	0	8,000
Securing the Cities	0	0	0	0
Human Portable Radiation Detection Systems	0	0	0	53,000
Total Direct Authorization/Appropriation	\$0	\$0	\$0	\$305,820

Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration:



Fiscal Year 2011
Congressional Budget Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION
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Management and Administration:

I. Appropriation Overview

A – Mission Statement for Management and Administration:

The Domestic Nuclear Detection Office (DNDO) is the lead agency within the Department of Homeland Security to integrate efforts across the Department in combating the threat of nuclear attack, and the lead departmental representative for all interagency activities to coordinate the U.S. Government's (USG) nuclear defense posture. Key to the success of the Department of Homeland Security (DHS) is improving the ability to mitigate risks across the entire threat spectrum. In recognition of the catastrophic risk posed by the use of a nuclear weapon within the United States, the Department has integrated all nuclear detection development, test, evaluation, and operational support into a single office. DNDO is dedicated to both the development and enhancement of the Global Nuclear Detection Architecture (GNDA); acquisition and deployment support for the domestic detection system; coordination of effective sharing of nuclear detection-related information; the coordination of nuclear detection research and development; the establishment of procedures and training for end users of nuclear detection equipment; and national-level integration, development, and advancement of an enduring national nuclear forensics capability.

The Management and Administration (M&A) appropriation provides for the management and administrative support to accomplish that goal. M&A includes all costs related to Federal personnel, including detailees from other organizations. In addition, M&A provides the material support for DNDO personnel, such as supplies and materials, and administrative needs such as information technology (IT) equipment and support. Finally, all of DNDO contributes M&A funds to the DHS Working Capital Fund (WCF) for rent and other facilities costs, building security, Human Resource services, etc.

B – Budget Activities:

Management and Administration: As a jointly-staffed office, the DNDO request provides for 126 DNDO Federal staff positions (122 FTEs) of which approximately 20 are detailees. DNDO provides reimbursement to parent organizations for detailed staff. Additionally, the Management and Administration request includes all DNDO rent payments and most other contributions to the DHS Working Capital Fund (WCF) and other shared services.

As DNDO continues to look beyond containerized cargo and other established mission areas, diverse solutions will be continually developed requiring a managed growth of personnel to maintain proper oversight and effective program management. A shift of emphasis beginning in FY 2010 will result in increased architectural studies and analysis in support of the Global Nuclear Detection Architecture (GNDA). Additional FTP are

required to work toward continued assessment of the rad/nuc risk and the associated gaps in the GNDA.

As DNDO has matured its technical programs, the Business and Finance Office has been improving its ability to provide internal controls guidance, fiscal accountability, and transparency. To ensure a framework of sound financial management additional resources are requested to provide improvements in financial management operations.

Historically, DNDO has averaged a retention rate of over 92% of our career professionals. This stability in the workforce supports our confidence that we will both achieve and maintain our staffing strength. This request represents a realistic plan to achieve original staffing goals for DNDO.

C – Budget Request Summary:

The Domestic Nuclear Detection Office requests \$36.992 million for M&A in FY 2011. This represents a \$1.508 million decrease from the FY 2010 Enacted Appropriation.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration:**
Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Management and Administration:	114	34,153	130	38,500	122	36,992	(8)	(1,508)	4	1,099	(12)	(2,607)
Subtotal, Enacted Appropriations and Budget Estimates	114	34,153	130	38,500	122	36,992	(8)	(1,508)	4	1,099	(12)	(2,607)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	114	34,153	130	38,500	122	36,992	(8)	(1,508)	4	1,099	(12)	(2,607)

III. Current Services Program Description by PPA

**Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration:
Program Performance Justification**
(Dollars in Thousands)

PPA: Management and Administration:

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	123	114	34,153
2010 Enacted	130	130	38,500
2011 Adjustments-to-Base	(12)	(12)	(2,607)
2011 Current Services	118	118	35,893
2011 Program Change	8	4	1,099
2011 Total Request	126	122	36,992
Total Change 2010 to 2011	(4)	(8)	(1,508)

DNDO requests 126 positions, 122 full time equivalents (FTE), and \$36.992 million for FY 2011. This is a decrease of \$1.508 million from FY 2010 Enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Management and Administration (M&A) appropriation funds the administration of the Domestic Nuclear Detection Office.

The M&A request provides for the execution of salaries, benefits, and expenses related to 126 positions and 122 FTE, a net decrease of 4 permanent positions and 8 FTE from the FY 2010 Enacted Appropriation

M&A provides for the management and administrative support of DNDO's mission and includes all costs related to Federal personnel including salaries and benefits for DNDO staff, including detailees from other Federal agencies such as The Department of Energy, Federal Bureau of Investigations, the United States Air Force, United States Coast Guard, and others. The M&A appropriation provides funding that assists in the achievement of DNDO's mission through the following departments within the Office of the Chief of Staff: Information Technology (IT); Executive Secretariat; Security; Human Resources (HR); and Resources. Additionally, funds are provided to the DHS Working Capital

Fund, which provides such services as Rent, the Office of Procurement Operations, and IT infrastructure support.

M&A provides for the management and administrative support of Directorates operating within the organizational structure of DNDO including the Mission Management Directorate (MMD), Architecture Directorate (AD), Systems Engineering and Evaluation Directorate (SEED), Product Acquisition and Deployment Directorate (PADD), Operations Support Directorate (OSD), and the National Technical Nuclear Forensics Center (NTNFC). The mission of each Directorate includes:

- **MMD.** The mission of MMD is to identify, coordinate and prioritize programs across DNDO that meet the needs and enhance the capability of stakeholders, thereby reducing the risk of radiological/nuclear (rad/nuc) terrorism.
- **AD.** The Architecture Directorate, in cooperation with DNDO's intra- and interagency partners, develops time-phased strategies and plans for improving the probability of detecting and preventing nuclear and radiological attacks.
- **SEED.** The Systems Engineering & Evaluation Directorate ensures that DNDO proposes sound technical solutions and thoroughly understands systems performance and potential vulnerabilities prior to deploying those technologies.
- **PADD.** The Product Acquisition & Deployment Directorate carries out the engineering development, production, developmental logistics, procurement and deployment of current and next-generation nuclear detection systems in support of an end-user community that includes other Department of Homeland Security (DHS) components including Customs and Border Protection (CBP), U.S. Coast Guard (USCG) and Transportation Security Administration (TSA).
- **OSD.** In support of DNDO's Strategic Objectives, the Operations Support Directorate develops the information sharing and analytical capacity necessary to create a fully integrated operating environment. OSD also conducts training, exercises, outreach and technical assistance in support of preventive radiological and nuclear detection programs.
- **NTNFC.** The NTNFC was tasked with two core missions: to provide national-level integration, centralized planning and stewardship for the TNF community; and to lead the U.S. government in establishing a robust and enduring pre-detonation radiological/nuclear materials forensics capability.

IV. Program Justification Changes

**Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration:
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Personnel for Program Oversight and Technical Exec
PPA: Management and Administration:
Program Increase: Positions 8.0, FTE 4.0, Dollars \$1,099.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							118	118	35,893
Program Increase							8	4	1,099
Total Request	-	-	34,153	-	-	38,500	126	122	36,992

Description

This request will provide funding for the necessary staff to manage additional research and development programs.

Justification:

FY 2010 funding includes support for 130 FTE and 130 FTP. The transfer of the Transformational Research and Development (TAR) program to the Science and Technology Directorate includes the transfer of 12 FTE/FTP. Separate from that transfer is an additional request of 8 additional FTP and 4 additional FTE for increased program oversight. This results in a net decrease of 8 FTE and 4 FTP from FY 2010 to FY 2011.

As DNDO continues to look beyond containerized cargo and other established mission areas, diverse solutions will be continually developed requiring a managed growth of personnel to maintain proper oversight and effective program management.

A shift of emphasis beginning in FY 2010 will result in increased architectural studies and analysis in support of the Global Nuclear Detection Architecture (GNDA). As a result of this shift, additional FTP are required to work toward continued assessment of the rad/nuc risk and the associated gaps in the GNDA.

As DNDO has matured its technical programs, the Business and Finance Office has been improving its ability to provide internal controls guidance, fiscal accountability, and transparency. To ensure a framework of sound financial management additional

resources are requested to provide improvements in financial management operations.

Historically, DNDO has averaged a retention rate of over 92% of our career professionals. This stability in the workforce supports our confidence that we will both achieve and maintain our staffing strength. This request represents a realistic plan to achieve original staffing goals for DNDO.

Impact on Performance

The additional staff requested will help perform vital mission support roles that will allow DNDO to better perform its mission to protect the Nation from illicit radiologic and nuclear material.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

For salaries and expenses of the Domestic Nuclear Detection Office and for management and administration of programs and activities [\$38,500,000] \$36,992,000. Provided, that not to exceed \$3,000 shall be for official reception and representation expenses.

(Department of Homeland Security Appropriations Act, [2010] 2011)

B. FY 2010 to 2011 Budget Change

Department of Homeland Security Domestic Nuclear Detection Office Management and Administration: FY2010 to FY2011 Budget Change (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2009 Actuals	123	114	34,153
FY 2010 Enacted	130	130	38,500
Transfers	-	-	-
Increases/(Decreases)	-	-	-
M&A Funds associated with Transfer of Transformational R&D to S&T Directorate	(12)	(12)	(3,000)
Total, Transfers	(12)	(12)	(3,000)
Adjustments-to-Base	-	-	-
Increases	-	-	-
2011 Pay Increase	-	-	220
Annualization of 2010 Pay Raise	-	-	105
GSA Rent	-	-	68
Total Increases	-	-	393
Decreases	-	-	-
Total, Adjustments-to-Base	-	-	393
FY 2011 Current Services	118	118	35,893
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Personnel for Program Oversight and Technical Execution	8	4	1,099
Total, Program Changes	8	4	1,099
FY 2011 Request	126	122	36,992
FY 2010 to FY 2011 Total Change	(4)	(8)	(1,508)

C. Summary of Requirements

**Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	123	114	34,153
FY 2010 Enacted	130	130	38,500
Transfers	-	-	-
Total, Transfers	(12)	(12)	(3,000)
Adjustments-to-Base	-	-	-
Increases	-	-	393
Total, Adjustments-to-Base	-	-	393
FY 2011 Current Services	118	118	35,893
Program Changes	-	-	-
Total, Program Changes	8	4	1,099
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	126	122	36,992
Total Change 2010 to 2011	(4)	(8)	(1,508)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Management and Administration:	130	130	38,500	126	122	36,992	(4)	(8)	(1,508)	8	4	1,099	(12)	(12)	(2,607)
Subtotal, Estimates Program Project Activity	130	130	38,500	126	122	36,992	(4)	(8)	(1,508)	8	4	1,099	(12)	(12)	(2,607)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	130	130	38,500	126	122	36,992	(4)	(8)	(1,508)	8	4	1,099	(12)	(12)	(2,607)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	10,594	14,773	14,278	(495)
11.3 Other than full-time permanent	440	-	-	-
11.5 Other personnel compensation	307	411	396	(15)
12.1 Benefits	2,833	3,793	3,669	(124)
21.0 Travel	44	45	40	(5)
22.0 Transportation of things	-	10	10	-
23.1 GSA rent	4,430	4,131	5,722	1,591
23.3 Communications, utilities, and misc. charges	210	28	27	(1)
24.0 Printing	-	12	11	(1)
25.2 Other services	875	875	799	(76)
25.3 Purchases from Gov't accts.	13,773	13,775	11,467	(2,308)
25.4 O&M of facilities	101	101	101	-
25.7 Operation and maintenance of equipment	62	62	62	-
26.0 Supplies and materials	263	263	260	(3)
31.0 Equipment	221	221	150	(71)
Total, Object Class	34,153	38,500	36,992	(1,508)
Total, Direct Obligations	34,153	38,500	36,992	(1,508)

F. Permanent Positions by Grade

**Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration:
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
	Pos.	Pos.	Pos.	Total
Total, SES	5	7	8	1
GS-15	57	64	58	(6)
GS-14	25	32	35	3
GS-13	9	5	5	-
GS-12	3	1	1	-
Other Graded Positions	4	11	11	-
Ungraded Positions	20	10	8	(2)
Total Permanent Positions	123	130	126	(4)
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
Full Time Equivalents	114	130	122	(8)
Headquarters	123	130	126	(4)
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total, Location	123	130	126	(4)
Average ES Salary	157,206	161,922	172,609	10,687
Average GS Salary	107,767	116,086	129,884	13,798
Average Grade	15	15	15	-

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

Department of Homeland Security Domestic Nuclear Detection Office Management and Administration:

Funding Schedule
(Dollars in Thousands)

PPA: Management and Administration:	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11.1 Total FTE & personnel compensation	10,594	14,773	14,278	(495)
11.3 Other than full-time permanent	440	-	-	-
11.5 Other personnel compensation	307	411	396	(15)
12.1 Benefits	2,833	3,793	3,669	(124)
21.0 Travel	44	45	40	(5)
22.0 Transportation of things	-	10	10	-
23.1 GSA rent	4,430	4,131	5,722	1,591
23.3 Communications, utilities, and misc. charges	210	28	27	(1)
24.0 Printing	-	12	11	(1)
25.2 Other services	875	875	799	(76)
25.3 Purchases from Gov't accts.	13,773	13,775	11,467	(2,308)
25.4 O&M of facilities	101	101	101	-
25.7 Operation and maintenance of equipment	62	62	62	-
26.0 Supplies and materials	263	263	260	(3)
31.0 Equipment	221	221	150	(71)
Total, Object Class	34,153	38,500	36,992	(1,508)
Total, Management and Administration:	34,153	38,500	36,992	(1,508)
Full Time Equivalents	114	130	122	(8)

PPA Mission Statement

Under the direction of NSPD-43/HSPD-14, the mission of Domestic Nuclear Detection Office (DNDO) is to address the broad spectrum of radiological and nuclear protective measures through the development of the global nuclear detection architecture; the deployment of the domestic detection system to detect and to report attempts to import or to transport a nuclear device or fissile or radiological material intended for illicit use; the coordination of nuclear detection research and development on a government-wide scope; and the establishment of procedures and training for the end users of the deployed equipment.

The Management and Administration (M&A) appropriation provides for the management and administrative support of that goal. M&A includes all costs related to Federal personnel, including detailees from other organizations. The M&A appropriation accounts for the funding that assists in the achievement of DNDO's mission through the maintenance of an operations level that provides facilities, supplies and materials, IT equipment and administrative support. DNDO's contributions to the DHS Working Capital Fund (WCF) are included within the M&A request.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
11-13 Total FTE & personnel compensation and Benefits	14,174	18,977	18,343	(495)

Salaries and Benefits includes costs for 122 FTE. The FY 2011 request is \$18.343 million which is a decrease of \$0.634 million for personnel compensation and benefits.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	44	45	40	(5)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request is \$0.040 million which is a decrease of \$0.005 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
22.0 Transportation of things	-	10	10	-

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2011 request of \$0.010 million is the same as the FY 2010 Enacted Appropriation. The funding will be used to finance the transportation of furniture and other household goods associated with the rotation of overseas employees and the permanent change of station or relocation of domestically based DHS federal employees.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 GSA Rent	4,430	4,131	5,722	(1)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2011 request is \$5.722 million which is an increase of \$1.591 million above the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
23.3 Communications utilities and miscellaneous charges	210	28	27	(1)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2011 request is \$0.027 million which is a decrease of \$0.001 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
24.0 Printing and reproduction	-	12	11	(1)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2011 request is \$0.011 million which is a decrease of \$0.001 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	875	875	799	(76)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request is \$0.799 million which is a decrease of \$0.076 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	13,773	13,775	11,467	(2,308)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request is \$11.467 million which is a decrease of \$2.308 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	101	101	101	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request of \$0.101 million is the same as the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	62	62	62	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request is \$0.062 million which is the same as the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
26.0 Supplies and materials	263	263	260	(3)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2011 request is \$0.260 million which is a decrease of \$0.003 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	221	221	150	(71)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request is \$0.150 million which is a decrease of \$0.071 million from the FY 2010 Enacted Appropriation.

I. Changes in Full Time Equivalent

**Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration:
Changes in Full Time Equivalent**

	FY 2009	FY 2010	FY 2011
BASE: Year End Actual from Prior Year	112	130	130
INCREASES	-	-	-
Hiring Staff to Reach Authorized Level	2	-	-
Increases	2	-	-
Personnel for Program Oversight and Technical Exec	-	-	4
Subtotal, Increases	2	-	4
DECREASES	-	-	-
Programmatic Transfer of Transformational R&D to S&T Directorate	-	-	(12)
Subtotal, Decreases	-	-	(12)
Year End Actual / Estimated FTEs:	114	130	122
Net Change from prior year base to Budget Year Estimate:	2	-	(8)

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

**Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration:**

FY 2011 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project/Activity	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	Increase / Decrease for FY 2011
	Amount	Amount	Amount	Amount
Management and Administration	14,995	15,812	15,337	(475)
Total Working Capital Fund	14,995	15,812	15,337	(475)

Department of Homeland Security

Domestic Nuclear Detection Office

Research, Development, and Operations:



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Research, Development, and Operations:

I. Appropriation Overview

A – Mission Statement for Research, Development, and Operations:

The mission of the Department of Homeland Security's (DHS) Domestic Nuclear Detection Office (DNDO) is to improve the Nation's capability to deter, detect and report attempts to import, possess, store, develop, or transport nuclear or radiological material for use against the Nation, and to further enhance this capability over time. DNDO was established by National Security Presidential Directive (NSPD)-43 and Homeland Security Presidential Directive (HSPD)-14 to provide a focal point addressing the broad spectrum of radiological and nuclear (rad/nuc) protective measures. Title V of the SAFE Port Act of 2006 (P.L. 109-347) directs DNDO to "serve as the primary entity of the United States Government (USG) to further develop, acquire, and support the deployment of an enhanced domestic system to detect and report on attempts to import, possess, store, transport, develop, or use an unauthorized nuclear explosive device, fissile material, or radiological material in the United States, and improve that system over time." DNDO is responsible for the engineering development of current and next generation of nuclear detection systems (and associated materials development and facilitation). DNDO is also responsible for integrating, advancing, and stewarding national nuclear forensics capabilities amongst the Departments of Defense, Energy, Justice State, Homeland Security and the Intelligence Community.

DNDO has organized the majority of its development, test, evaluation, and acquisition programs into four mission areas. At the foundation of this mission space construct is the Global Nuclear Detection Architecture (GNDA) delineation of geographic layers (exterior, border, interior, and crosscutting) and threat pathways (air, land, and sea). DNDO works closely with Federal, State, and local entities with the primary operational responsibility for each pathway or within each layer to forge a more effective linkage between their user requirements and DNDO's technology and operational capability development efforts. The four mission areas to which DNDO has aligned activities, and the scope of activity addressed by each mission area, are described below:

The *land borders mission area* encompasses all official road and rail ports of entry (POEs), as well as land border checkpoints and illicit traffic between the official POEs. Road POE rad/nuc scanning focuses on cargo, pedestrians, and privately-operated vehicles (POVs). Current international rail efforts will address the scanning of cargo.

The *aviation mission area* addresses all threat pathways involving civil air transport – both commercial operations and general aviation. Rad/nuc threats may be transported via air as a prelude to an attack elsewhere, or the actual attack involving a rad/nuc threat device may be executed and delivered directly by air. Rad/nuc detection capabilities address the scanning of air cargo, aviation passengers and their baggage, as well as the aircraft and crew.

The *maritime mission area* addresses the scanning of people, cargo, vessels, and other conveyances at seaports of entry and on seas, oceans, or other navigable waterways within U.S. Federal, State, local and tribal law enforcement jurisdiction. All vessels, including container ships, commercial fishing boats, tug boats, barges, commercial tour boats, cruise ships, tankers, bulk cargo ships, and privately owned/operated pleasure craft and sailboats, within the defined maritime domain may be exploited by terrorists to transport illicit rad/nuc material.

The *interior mission area* comprises all detection opportunities within U.S. borders. The risk to metropolitan urban areas and critical infrastructure is reduced through facilitated build out of relevant Preventive Rad/Nuc Detection (PRND) programs, which are coordinated with State and local partners

Further, in its *cross cutting function support* role, DNDO directly interfaces with Federal, State, and local stakeholders to gather rad/nuc technology and operational capability requirements and provide these requirements to the transformational research within S&T and systems development and operations support activities within DNDO. Once these systems are deployed, DNDO provides ongoing, centralized alarm adjudication and information sharing services.

DNDO is committed to ongoing interaction with Federal, State, and local groups across the full range of systems development efforts, which include all necessary systems engineering and test and evaluation needs. In addition, DNDO will develop training and exercises specific to user groups, their operations, and relevant technologies. As a complement to the activities of these mission areas, DNDO will continue a full range of mission support efforts such as systems engineering, test and evaluation infrastructure, red teaming and net assessments, architecture studies, and operations support activities, including technical reachback.

Finally, the National Technical Nuclear Forensics Center (NTNFC) provides the technical capability to determine the origin and nature of nuclear or radiological attacks, interdicted source materials and devices to support national priorities for deterrence, attribution and prosecution.

The Research, Development, and Operations (RD&O) request identifies resources required for research, systems development, and all required mission and operations support activities.

B – Budget Activities:

Systems Development:

DNDO Systems Development programs serve as the rad/nuc detection product improvement component within DNDO, taking concepts for new detection systems from exploratory (or long-range) research into a level of maturity sufficient for production and

deployment. Typically, DNDO will take a proven technology and explore various mission requirements that could be applicable to current vulnerabilities identified in the GNDA, including identifying potential end uses. Systems Development activities include engineering development and all developmental logistics elements associated with current as well as next generation of nuclear detection systems. The long range research activities will be done through the transformational research activities that are being transferred to S&T. These activities will directly feed the development activities detailed here. Present product lines include radiation portal monitors (and associated materials development and facilitation), radiography (which includes non-intrusive inspection, or NII), and human portable systems.

Near-term priorities for Systems Development are:

- Utilize proven technology to improve the current generation of human-portable and mobile rad/nuc detection systems to further the capabilities at our Nation's borders and airports
- Utilize proven technology to improve the detection capability of radiography systems to automatically identify materials that could be used to shield special nuclear materials.
- Advance the technical maturity of emerging technologies to passively detect rad/nuc threats from a stand-off distance (up to 100 meters).
- Advance efforts to develop a rad/nuc scanning capability to address cargo entering the country from Canada and Mexico via rail.
- Develop and implement, at seaport terminals that have on-dock rail transfer capabilities, technologies to scan cargo that is transferred directly from ship to rail and exits the terminal by train.
- Develop and evaluate boat-mounted rad/nuc detection technologies to address the "detection at sea" mission.

Transformational Research and Development:

The FY 2011 President's Budget transfers DNDO's Transformational Research and Development (TAR) program to the DHS Science and Technology Directorate. This move will further consolidate R&D across the Department within the Science and Technology Directorate. Additional information on the TAR program will be included in the Congressional Justification for the Science and Technology Directorate.

Assessments:

The DNDO capability development process is anchored by a critical assessment of technologies as they are, deployed, and implemented, as well as a continual assessment of the Global Nuclear Detection Architecture, through a variety of means. Development and acquisition programs are supported by test and evaluation (T&E) campaigns to characterize technologies and systems, red teaming assessments to deepen the understanding of adversary capabilities, and net assessments to identify the effectiveness of the planned and deployed GNDA.

In addition to the above activities, DNDO executes pilots – activities planned as operational tests or trials that serve as a tentative model for future development or deployment decisions. While DNDO’s aforementioned test campaigns are intended to evaluate the technical performance of detection technologies in controlled environments, pilot programs allow DNDO to conduct limited deployments of new concepts of operation (CONOPS) or emerging rad/nuc detection technologies in existing operational environments, or alternately, existing CONOPS or technologies in new operational environments. These pilots provide an assessment of the processes, equipment, and/or systems to support preventive rad/nuc detection (PRND) mission objectives and customer/stakeholder requirements. Pilots are a tool for DNDO to identify and leverage lessons learned that will reduce the risk of full scale deployments, enhance the impact of limited and competing resources, and expedite the deployment of the GNDA, thereby increasing the Nation’s ability to respond to the rad/nuc threat. In addition, DNDO has established the Graduated Rad/Nuc Detector Evaluation and Reporting (GRaDER), a program to ensure independent and consistent testing of radiation detectors is performed by accredited laboratories.

Near-term priorities for Assessments are:

- Conduct Net Assessments and Red Teaming evaluations that enable DNDO programs to enhance the integration of international, Federal, State, tribal, local, first responders, and other mission partners with DNDO PRND efforts.
- Having completed the Rad/Nuc Countermeasures Test and Evaluation Complex (RNCTEC) facility in FY 2009, conduct RNCTEC operational and management activities following startup completion.
- Retain radiation experts to assist in test planning and analysis and to ensure independent and technically defensible T&E campaigns.
- Conduct T&E activities each year to support each DNDO mission area, and sustain testing infrastructure at the testing sites as required.
- Pilot emerging technical and operational solutions to enduring vulnerabilities in the GNDA.

Operations Support:

DNDO operations support efforts enhance DNDO’s situational awareness of the rad/nuc landscape and the GNDA, while directly facilitating the technical adjudication of rad/nuc incidents. Through these activities, DNDO provides actionable analytical and intelligence assessment products for operational decision makers. DNDO also works directly with law enforcement and other Federal partners to determine indicators of nuclear terrorism to recommend appropriate response, including interdiction. Additionally, DNDO develops and maintains information sharing capabilities and analytical tools necessary to create an integrated operating system to be used by Federal, State, local, and tribal law enforcement agencies, as well as the larger intelligence and counterterrorism communities. OSD rounds out its support to state and local entities through a training and exercise program tailored to the needs of the community.

A central operations support capability is the Joint Analysis Center (JAC), a 24/7 DNDO information and analysis hub that provides for situational awareness of the deployed nuclear detection architecture, rapid information reporting, and facilitation of technical support for alarm adjudication and resolution. The JAC relies on the Technical Reachback Program (TRB) to provide expert advice and analysis in support of detection operations and the Nuclear Assessment Program (NAP) to maintain awareness of the nuclear threat and illicit trafficking and to support the Federal government with rapid analysis of communicated threats. While these operations support activities require DNDO to closely interact with the Intelligence Community, DNDO does not act as an intelligence collection agency. In addition, DNDO does not provide command or control functions over detection and response assets, but provides critical support to entities which have these responsibilities and authorities.

Near term priorities for Operations Support are:

- Maintain situational awareness of the GNDA.
- Analyze information from the GNDA and share data with the Community(ies) of Interest to make the GNDA more effective.
- Ensure that detection leads to an appropriate response by local or Federal law enforcement fire and other public safety operations.
- Conduct engagements with State and local communities to increase awareness, partnerships, and capabilities.
- Build the appropriate support infrastructure and capabilities for State, local, and other Federal partners. Existing foundational programs, such as training, exercises, and facilitated on-site program assistance will be expanded to include a broader range of customers, evolving risks and vulnerabilities, technologies, and proven operational concepts.
- Complete the initial operating capability of the JAC Collaborative Information System (JACCIS).

National Technical Nuclear Forensics:

Nuclear forensics is one of the three critical pillars along with intelligence and law enforcement investigations, that supports the USG ability to attribute the source of nuclear material. In the event of a rad/nuc incident or interdiction in the United States, the technical questions raised during an investigation are addressed through nuclear forensics.

Current nuclear forensics capabilities are built upon a foundation from the Cold War, which addressed nuclear weapons development and testing, arms control monitoring, and intelligence activities. The imperative to modernize and advance these capabilities came into sharp focus after the 9/11 attacks. Nuclear forensics, in response to a disrupted or actual attack, will be called upon to help answer the urgent questions about the nature, provenance and source of materials and devices, reducing uncertainties, and reducing the time required to reach technical conclusions. In order to address this threat, the Presidential Directive, “National Technical Nuclear Forensics,” was issued which

established roles and responsibilities of six Federal organizations. The Secretary of Homeland Security was directed to establish the NTNFC within DNDO. Nuclear forensics priorities are focused on technological advances, international cooperation, interagency integration, and exercising and evaluating to assure readiness.

At the same time, the strategic landscape is in a state of flux, directly impacting the nuclear forensics community. The nuclear weapons complex, which provides most of the facilities and expertise that are leveraged for NTNFC, is being reduced, and many of the senior experts are either retiring or moving on to other career paths. Furthermore, the academic pipeline that would provide the next generation of nuclear experts has withered and is currently in a state of extremis. Hence, DNDO is aggressively pursuing improvements to the expertise pipeline with synchronized programs encompassing the DNDO mission space for nuclear detection and forensics.

Within the forensics landscape, DNDO is striving to advance the technical capabilities, integrate the partner agencies, and restore the academic pipeline to ensure an enduring national capability. In order to accelerate accomplishment of these goals, DNDO is planning to continue increasing its focus and resources in the nuclear forensics program in FY 2011. This will serve to not only more rapidly address the scientific challenges to improve pre-detonation materials forensics technology capabilities, but at the same time to continue expanding our efforts to restore the nuclear forensics expertise pipeline, across the spectrum from the most junior (e.g., student internships fellowships, and retaining/recruiting new faculty) to the most senior (e.g., engaging and retaining the expert laboratory forensic scientists through a stable and sufficient R&D program). The expertise pipeline program relies on a measured approach, building on the initial program base and gauging performance in step with the expansion.

Near term priorities for National Technical Nuclear Forensics are:

- Accelerate the development and advancement of technological capabilities to perform nuclear forensics on pre-detonation rad/nuc materials with a focus on transition of validated methodologies into operational use, the discovery of new material signatures, and the development of new tools, models and methods to evaluate forensic data.
- Foster and advance a fully integrated interagency NTNFC enterprise by leading joint planning activities to include a senior level Steering Committee, Executive Council, Joint Program Review teams, and leading interagency exercises and corrective actions follow-up activities.
- Expand and direct essential activities to reinvigorate university programs, faculty and students in nuclear forensics-related specialties, while restoring the national laboratory expertise pipeline and workforce to include summer internships, undergraduate opportunities, Ph.D. student fellowships, post-doctoral fellowships, and university research programs and faculty awards.
- Advance established international partnerships in nuclear forensics and develop new cooperative relationships working closely with the State Department, the Department of Energy and NTNFC partner agencies through initiatives such as the

Global Initiative to Combat Nuclear Terrorism, the International Technical Working Group on Nuclear Smuggling, and the international nuclear forensics Model Action Plan

Systems Engineering and Architecture:

All programs and mission areas require the implementation of a strong and disciplined systems engineering approach. Systems engineering is integral to program support, and includes areas such as risk management, configuration control, requirements development, and technical evaluation and analysis. Systems engineering is also a key component of test and evaluation efforts, providing the bases for the development of test strategies and plans, generation of test requirements, selection of appropriate test venues and equipment, support of test implementation, and reporting of test results. Additionally the development of detection technology standards is included in this program to set the goals for the technology performance.

At the core of all DNDO activities is the systems architecture function: determining gaps and vulnerabilities and then formulating recommendations and plans to mitigate the same. By intensively studying the multi-layered structure of the rad/nuc detection architecture, a well-defined and carefully coordinated network of interrelationships is understood and developed.

The Joint Annual Interagency Review of the Global Nuclear Detection Architecture (GNDA) gives rise to critical projects across all DNDO mission areas and the U.S. Government. DNDO Systems Architecture efforts are focused on developing an enhanced GNDA, including both domestic and international components. The global architecture comprises several key elements: a multi-layered structure of rad/nuc detection systems, deployed both domestically and overseas; a well-defined and carefully coordinated network of interrelationships among them; and a set of systems engineering-based principles and guidelines governing the architecture's design and evolution over time.

Near-term priorities for Systems Engineering and Architecture are:

- Develop Technical Capability Standards for handheld, transportable, and mobile rad/nuc detection equipment.
- Participate in the development of national and international standards for rad/nuc detection equipment.
- Complete an overarching strategic plan for the development of the GNDA and continually update the architecture gap and risk analyses.
- Expand architecture studies to a broader range of potential pathways and identify solution options for enduring vulnerabilities in the GNDA.

C – Budget Request Summary:

The Domestic Nuclear Detection Office requests \$207.828 million for FY 2011 Research, Development, and Operations, a decrease of \$116.709 million below the FY 2010 Enacted Appropriation.

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:**
Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Systems Engineering and Architecture	-	25,302	-	25,448	-	38,833	-	13,385	-	13,385	-	-
Systems development	-	92,598	-	100,000	-	69,033	-	(30,967)	-	(30,967)	-	-
Transformational research and development	-	103,985	-	108,537	-	-	-	(108,537)	-	-	-	(108,537)
Assessments	-	34,519	-	32,416	-	43,465	-	11,049	-	11,049	-	-
Operations support	-	40,133	-	38,436	-	33,955	-	(4,481)	-	(4,481)	-	-
National Technical Nuclear Forensics Center	-	17,815	-	19,700	-	22,542	-	2,842	-	2,842	-	-
Subtotal, Enacted Appropriations and Budget Estimates	-	314,352	-	324,537	-	207,828	-	(116,709)	-	(8,172)	-	(108,537)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	-	314,352	-	324,537	-	207,828	-	(116,709)	-	(8,172)	-	(108,537)

III. Current Services Program Description by PPA

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Systems Engineering and Architecture
Program Performance Justification**
(Dollars in Thousands)

PPA: Systems Engineering and Architecture

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	-	-	25,302
2010 Enacted	-	-	25,448
2011 Current Services	-	-	25,448
2011 Program Change	-	-	13,385
2011 Total Request	-	-	38,833
Total Change 2010 to 2011	-	-	13,385

DNDO requests \$38.833 million for this activity. There is an increase of \$13.385 million above the FY 2010 Enacted Appropriation for additional engineering and architectural studies.

CURRENT SERVICES PROGRAM DESCRIPTION:

The DNDO systems engineering and architecture programs are (1) developing, implementing, and supporting a disciplined systems engineering approach throughout DNDO, and (2) enhancing the Global Nuclear Detection Architecture (GNDA), including both domestic and international components.

Systems Engineering Program: DNDO relies on a disciplined systems engineering approach to achieve successful implementation of an integrated and balanced global nuclear detection solution. DNDO's systems engineering program provides integral support to program areas and establishes and documents clear and measurable rad/nuc detection and identification requirements. This function, supporting all of DNDO with crosscutting activities, provides the discipline of the engineering process and ensures integrity of proposed new systems. This crosscutting activity acts as a base for the air, maritime, land-border, and interior pathways, as well as for the GNDA as a whole.

Developing radiation detection standards at the national and international levels is also a key focus area.

Accomplishments in Systems Engineering and Architecture – Systems Engineering:

Significant accomplishments in FY 2009 include:

- Assisted Mission Area Managers in development Mission Need Statements and CONOPs, and identified deployment requirements and critical operational issues for rad/nuc detection systems.
- Assisted the programs by conducting analyses of the operational effectiveness, suitability, and life-cycle cost of numerous conceptual solutions to the rad/nuc detection problem to identify the most promising options.
- Established performance requirements for developmental testing and evaluation (DT&E) of required systems.
- Provided systems engineering support to DNDO product lines.

FY 2010 planned accomplishments:

- Lead the DNDO systems engineering efforts to comply with the Systems Engineering Life Cycle recently established by interim DHS Acquisition Directive 102-01.
- Modify existing systems engineering processes and products as necessary to support the evolving DNDO Solution Development Process in accordance with DHS Acquisition Directive 102-01.
- In support of Mission Area Managers, Lead Analysis of Alternatives (AoA) studies to identify rad/nuc detection requirements in the Land Border, Interior, Aviation, and Maritime Mission Areas.

FY 2011 planned accomplishments:

- Leading an institutionalized DNDO-wide systems engineering process, assist DNDO programs as they progress in a disciplined and documented Systems Engineering Life Cycle.

Standards Program: There are two types of standards: consensus based developed by the technical community including commercial vendors and Technical Capability Standards which are government unique standards. Pursuant to the SAFE Port Act of 2006, DNDO is responsible for developing Technical Capability Standards for non-intrusive imaging and radiation detection systems. The objective of the DNDO Standards Program is to ensure all radiation detection standards are based on the threat, as it is understood. By adopting a threat basis for standards the Standards Program directly or indirectly supports all DNDO programs for acquisition, research and development.

Initial standards will be government-unique and will use classified information on rad/nuc threats as a basis. The intent is to develop a technical capability standard for each category of detection systems. As appropriate, the program will then support the modification of existing consensus standards to include the government-unique standard information. The Technical Capability Standard will also provide a basis for DNDO to work with the Department of Energy's (DOE) National Nuclear Security Administration

(NNSA) to develop unclassified test objects that are consistent with the threat-based requirements. In collaboration with the National Institute of Standards and Technology (NIST), DNDO has formed an interagency working group and commenced work on developing Technical Capability Standards.

In addition to having responsibility for the Technical Capability Standards, DNDO is responsible for supporting the development of national and international rad/nuc detection consensus standards. The DNDO consensus standards program will:

- Review present standards for currency and revision as needed and identify those areas requiring development of new standards.
- Provide the support needed to maintain the current Internet access to rad/nuc American National Standards Institute (ANSI) standards under DNDO responsibility.
- Support U.S. participation at related international standards development meetings to ensure U.S. concerns are represented in the international community, and that U.S. standards reflect existing international efforts.

DNDO also provides systems engineering and evaluation support to specific DNDO programs in areas such as standard systems engineering documentation, adaptation of concepts of operations (CONOPS), systems capabilities matrices, and test campaigns. These systems engineering activities are included in the Systems Development PPA as a part of the programs that receive this support.

Accomplishments in Systems Engineering and Architecture - Standards:

Significant accomplishments in FY 2009 include:

- Achieved interagency concurrence on a Technical Capability Standard for handheld rad/nuc detectors.
- Created a working group to update the ANSI N42 rad/nuc data format standard.

FY 2010 planned accomplishments:

- Achieve interagency concurrence on Technical Capability Standards for transportable and mobile radiation detection systems and for radiation detection portal monitors.
- Publish an interagency threat-based Technical Capability Standard for handheld instruments used for detection.

FY 2011 planned accomplishments:

- Complete interagency coordination and publish a DHS threat-based Technical Capability Standard for transportable and mobile radiation detection systems.
- Develop a draft, threat-based Technical Capability Standard for rad/nuc detection by non-intrusive imaging systems.

Systems Architecture: DNDO develops time-phased strategies and plans for improving the probability of detecting and interdicting rad/nuc attacks. Plans are developed jointly with DNDO's intra- and interagency partners and in close coordination with relevant DNDO offices. These plans are focused on addressing the most important gaps in the existing GNDA. Studies and analyses are performed to characterize the gaps, identify options, evaluate the advantages and disadvantages of alternative solutions, and formulate time-phased plans for reducing risk. The time-phased aspect of the plans is important because it allows for the integration of current and near-term technologies and approaches, as well as longer-term options that may draw upon technologies that are currently in the R&D phase that may not be available for implementation for several years.

The global architecture comprises several key elements: a multi-layered structure of rad/nuc detection systems (deployed both domestically and overseas), a well-defined and carefully coordinated network of interrelationships among them, and a set of systems engineering based principles and guidelines governing the architecture's design and evolution over time. The architecture will continue to assess threats by mission areas.

The principal focus of DNDO's systems architecture efforts since FY 2006, when the initial baseline architecture analysis was completed, has been to identify ways to address the largest gaps in the border layer—namely, air, maritime, and land pathways between designated ports of entry (POEs)—and gaps in the interior layer. These efforts are summarized in the accomplishments by fiscal year. An overarching strategic plan for addressing gaps and monitoring progress across the entire GNDA will be developed in FY 2009 and FY 2010. Architecture work will continue in four areas: International Architecture; Border Layer; Interior; and Modeling, Crosscutting Studies and Analyses. The International Architecture area will support international programs such as the Global Initiative to Combat Nuclear Terrorism (GICNT) and the Security and Prosperity Partnership (SPP) to identify and encourage best practices for rad/nuc detection architectures. In addition, the GICNT will encourage regional architectures and conduct analyses of appropriate CONOPS or particular regions. The Border Layer will continue to support analyses of detection strategies between the POEs and remaining vulnerabilities at POEs, as well as modeling and risk assessments focused on characterizing the threat and identifying opportunities for detection and interdiction at the border. Emphasis will be placed on the land border (to include rail pathways), air pathways, and the maritime border. The Interior area will continue to develop approaches to detection and interdiction appropriate for metropolitan areas, special events, and domestic pathways. In addition, DNDO is leading an interagency effort to increase the public's awareness of the risks, consequences, and appropriate responses related to an attack using a radiological dispersal device (RDD). The Modeling, Crosscutting Studies, and Analyses area will be responsible for the Annual Report to Congress as well as overarching risk analyses and detection modeling such as the bi-annual risk analysis to support medical countermeasure planning and the detection architecture risk assessments. This area will support architecture documentation development and will provide systems architecture support (for items such as the

standardization of data exchange and functional requirements) as necessary. The GNDA strategic plan will continue to be updated and enhanced.

Accomplishments in Systems Engineering and Architecture - Core:

Significant accomplishments in FY 2009 include:

International Architecture:

- Completed and published GNDA model guidelines document (and associated maritime guidelines “annex”) supporting the GI.
- Initiated planning and implementation of an engagement strategy for regional rad/nuc architectures for key international regions.
- Conducted international country and regional studies that outline the characteristics and potential vulnerabilities of a country’s or region’s rad/nuc capabilities. Emphasis was placed on bilateral and multilateral technical workshops and exchanges to help countries and regions develop and implement effective rad/nuc architectures.
- Strengthened neighboring countries’ maritime borders by supporting a bilateral rad/nuc detection capability-building program with Mexican Customs and other Mexican organizations, to include equipment, training, protocols, technical reachback, and exercises.
- Formalized relationship with United States Northern Command (NORTHCOM) to enhance both the domestic architecture as well as leverage NORTHCOM’s relationships with Canada and Mexico.
- Initiated a systematic framework for engagement planning and execution with foreign (e.g., North American, European, Central and South Asian, North Pacific Rim, Wider Caribbean Region, and Southeast Asian) partners on establishing regional rad/nuc detection architectures. Develop international engagement “annexes” for both the maritime and aviation pathways.

Modeling, Crosscutting Studies and Analysis:

- Completed the 2009 Joint Annual Interagency Review of the GNDA, including GNDA Program/Budget Crosscut.
- Developed a framework for overarching strategic plan for the GNDA.
- Began the second edition of risk assessment of architectures based on results from FY 2007 and FY 2008 studies.
- Continued detection modeling research and analysis.
- Continued work on data fusion and analysis in support of various operational programs.
- Developed a rad/nuc Detection Operational Concept and a rad/nuc Detection Capability Document that was prepared in accordance with the general format specified by DoD’s Joint Capabilities Integration Development System (JCIDS).

FY 2010 planned accomplishments:

International Architecture:

- Continue to strengthen United States maritime borders in partnership with Canada and Mexico including joint work on training and exercise plans, reachback, and information sharing agreements.
- Continue to support the bilateral rad/nuc detection capability-building program with Mexican Customs and other Mexican organizations.
- Continue engagement with foreign partners on establishing regional rad/nuc detection architectures.
- Expand relationship with NORTHCOM to enhance both the domestic architecture as well as leverage NORTHCOM's relationships with Canada and Mexico.

Modeling, Crosscutting Studies and Analysis:

- Complete the 2010 Joint Annual interagency review on the GNDA including the Program/Budget Crosscut.
- Work with DHS S&T Directorate to complete the second edition of the HSPD-18 risk analysis for medical countermeasures.
- Complete the GNDA Strategic Plan and supporting analysis.
- Complete the second edition of the risk assessment of the architecture building on results from FY 2007 through FY 2009.
- Continue detector fusion and algorithm development for a range of fixed and mobile detectors.

FY 2011 planned accomplishments:

International Architecture:

- Conducted international outreach of preventive rad/nuc detection (PRND) and the GNDA. Continue work on the Model Guidelines Document and outreach programs as well as continued regional- specific architectural analysis of PRND schemes. (e.g., Pacific Rim, Southeast Asia).

Modeling, Crosscutting Studies and Analysis:

- Commence foundational studies on the application of PRND capabilities, including whether to employ 100% or randomized screening concepts.
- Further develop the risk methodology and investigate risk buy-down for the various inputs to the GNDA.
- Develop the Annual Architecture report and yearly GNDA evaluation.
- Continued Detector Operational Modeling to support detector deployment in various environments.

Guided by the GNDA, DNDO provides support relative to the assessment and mitigation of threats in the land borders, aviation, maritime and interior mission areas, such as the development of specific architecture studies, CONOPS analyses, detector modeling studies, and enterprise architecture support that are specific to each mission area. These studies will typically be focused on specific programs and will directly support DNDO pilot and R&D initiatives. In general, mission areas will commission architecture studies to identify and characterize trade-offs, risks and costs before deciding on a specific implementation paths. These preliminary studies are intended to reduce the technical and programmatic risk of new efforts and enhance their integration and interoperability with the overall GNDA.

Accomplishments in Systems Engineering and Architecture - Land Borders Mission Area:

Significant accomplishments in FY 2009 include:

- Initiated a study of the feasibility of using unattended ground sensors for PRND along the U.S.–Mexico border between POEs.
- Conducted analysis of Pedestrian and Baggage operations to support anticipated future requirements for rad/nuc screening.
- Conducted analysis of Transitory Checkpoint Capabilities to support anticipated future requirements for rad/nuc screening.

FY 2010 Planned Accomplishments:

- Investigate other types of radiation detectors that might be suitable for use at Customs and Border Protection (CBP) Office of Border Patrol (OBP) checkpoints.
- Conduct extended evaluations (3 months in duration) at three OBP checkpoints to assess the efficacy of pedestrian portals and their impact on BP operations.
- Complete an International Rail Threat and Gap study to determine the most promising rad/nuc detection architecture for rail traffic coming into the United States from Canada and Mexico.
- Complete the modeling of the most promising architecture identified in the above Threat and Gap study.
- Conduct top-down analysis of land border POEs to assess the efficacy of existing and proposed rad/nuc detection architectures.
- Conduct an analysis of the technology requirements necessary to achieve optimized rad/nuc detection architecture at land border POEs.

FY 2011 Planned Accomplishments:

- Complete threat and gap analysis for land borders.
- Continue to investigate other types of radiation detectors that might be suitable for use at OBP checkpoints.

Accomplishments in Systems Engineering and Architecture - Aviation Mission Area:

Significant accomplishments in FY 2009 include:

- Performed systems architecture analyses to enable CBP to more effectively perform the rad/nuc screening mission in the International General Aviation (IGA) environment.
- In close coordination with CBP, Transportation Security Administration (TSA), and other operating agencies and stakeholders, perform systems architecture analysis studies of various rad/nuc screening equipment suites and CONOPS variants to introduce rad/nuc screening into the international commercial aviation environment.
- Developed a guidelines document for rad/nuc scanning in the IGA environment for use in international engagements.

FY 2010 Planned Accomplishments:

- Conduct an updated analysis of rad/nuc scanning capabilities for general aviation at overseas points of departure, including CBP pre-clearance locations.
- Conduct an updated analysis of pre-clearance scanning of general aviation at overseas points of departure and domestic aviation architectures.
- Conduct a study of the gaps related to detection capabilities for international aviation traffic transiting into the United States from private or non-commercial airports outside the continental United States.
- Conduct a Risk-based Study of Characteristics of Non-Compliant GA Aircraft to examine the characteristics associated with the same non-compliant aircraft in terms of relative threat likelihoods, behaviors, patterns, and overall operational scenarios.

FY 2011 Planned Accomplishments:

- Initiate study to evaluate the feasibility of pre-clearance sites to include Megaports for Air capability (expanded to include potential enhanced cargo and IGA scanning operations).
- Complete additional studies and gap analyses to inform the overall IGA Security Strategy; including a gap analysis associated with IGA aircraft originating in Caribbean and along the northern U.S. border.
- Conduct a Risk-based Study of Characteristics of Non-Compliant GA Aircraft to examine the characteristics associated with non-compliant aircraft in terms of relative threat likelihoods, behaviors, patterns, and overall operational scenarios.
- Develop interim surveillance options to enhance detection and interdiction of non-compliant IGA aircraft.

Accomplishments in the Systems Engineering and Architecture - Maritime Mission Area:

Significant accomplishments in FY 2009 include:

- Partnered with the USCG to fully develop rad/nuc scenarios into the USCG Maritime Security Risk Analysis Model (MSRAM).
- Analyzed and developed PRND architecture options for various vectors, which included: tug and barge, inland waterways, off-shore secondary screening, passenger/vehicle vessels, and cruise ships.
- Completed an International maritime pathways execution plan.
- Completed a maritime architecture study to analyze and develop options for non-container vectors (bulk, break bulk, roll-on/roll-off, tanker).
- Completed an architectural study of the maritime domain in the Great Lakes region to lay the ground work for enhancing the layered detection capability along this significant maritime border.
- Initiated an architectural study that analyzes solutions for underwater detection against smuggling illicit materials via unconventional submersible, semi-submersible, towed, and parasitic devices.

FY 2010 planned accomplishments:

- Carry out the International maritime pathways execution plan developed in 2009 focusing on implementation of PRND concepts.
- Complete an architectural study that analyzes solutions for underwater detection against smuggling illicit materials via unconventional submersible, semi-submersible, towed, and parasitic devices.
- Continue to enhance the USCG MSRAM to better assess rad/nuc threats, vulnerabilities, and consequences, as well as the risk buy down provided by PRND systems. Refine the methodology such that it is nationally usable nationally to support the development of port-centric strategic security plans and the annual port security grant application process.
- Initiate maritime architecture studies for an inland waterways PRND architecture and offshore secondary screening.
- Begin the organization of the Maritime Domain Awareness (MDA) “community of interest” and analyze options for integrating DNDO into the appropriate level of MDA.
- Conduct top-down analysis of sea POEs to assess the efficacy of existing and proposed rad/nuc detection architectures.
- Complete an architectural study of the maritime domain in Inland Waterways to lay the ground work for enhancing the layered detection capability along this significant maritime interior layer.
- Complete an architectural study to develop options for an inter-agency CONOPS and possibly the capability for inspecting cargo onboard large vessels (particularly containerized cargo) prior to entering port.
- Fully develop rad/nuc scenarios into the USCG MSRAM. Complete understanding of the overarching framework, and develop more specific detection mitigation strategies that are beta-tested at two ports.

- Complete an Analysis of Alternative Technologies that will enhance the ability to encounter illicit smuggling of rad/nuc weapons and materials by sorting anomalies and providing targeted identification of suspect vessels.

FY 2011 planned accomplishments:

- Evaluate strategies and CONOPS required to develop a maritime “defense in depth” strategy for detection/interdiction of radiological and special nuclear material (SNM) as well as how to optimally integrate underwater detectors, mobile/relocatable detection systems, into the overarching maritime PRND architecture.
- Complete analysis of alternatives that will enhance Maritime Domain Awareness and the integration of PRND elements.
- Study and evaluate wide-area detection network of current commercial-off-the-shelf (COTS) and emerging developmental fixed, mobile, and remotely-deployable wireless sensor elements.
- Develop Gap Analyses to describe existing capabilities and elements of the architecture and develop time-phased options to improve the GNDA and close identified gaps through technological advances, policy shifts, and CONOPS, with an examination of a range of threats, weighted appropriately, as well as a range of adversaries, tactics, targets, etc. Areas of exploration include: Underwater detection, Offshore Secondary Inspection, non-container commercial POE, and risk assessment.
- Complete studies on inland waterways PRND architecture and offshore secondary screening.
- Initiate follow-on studies for the underwater detection options building on the underwater study in FY 2010.
- Continue follow-on options for looking at risks in the Maritime Domain as well as how to best fit rad/nuc threats pathway concerns into ongoing MDA activities.

Accomplishments in the Systems Engineering and Architecture - Interior Mission Area:

Significant accomplishments in FY 2009 include:

- Executed DNDO’s component of the multi-agency Radiological Dispersal Device (RDD) Public Education program under the Radiation Source Protection and Security Task Force.

FY 2010 planned accomplishments:

- Conduct three architecture studies to evaluate Interior Mission Area PRND threats and pathways

FY 2011 planned accomplishments:

- Complete Green Border States Architecture Study and develop Green Border States Architecture gap analysis to identify capabilities required in the non-border (interior) States to optimize the effect of PRND at pathway intersections.

PRND Program Assistance (PA): Central to the success of an integrated effort to defend our Nation from the rad/nuc threat is a strong partnership with state and local entities responsible for the PRND mission within their own communities. To facilitate this partnership, DNDO is pursuing targeted engagements with state and local communities to educate and inform them on rad/nuc threats, support available from DNDO and partner agencies, and activities they can undertake to reduce risks.

Initial engagements focus on threat and mission familiarization and are accomplished by State and Urban Area Security Initiative (UASI) PRND awareness visits. DNDO provides guidance and assistance on PRND operations to state, county and municipal agencies, spurring the development of regional PRND programs and preparing their expansion over time. These efforts lead to improved DNDO situational awareness, expanded PRND capabilities for the interior layer and integrated activities into the GNDA.

The PRND PA is intended to help multi-jurisdictional, multi-disciplinary, policy makers, program managers, and operational administrators work together to design and implement PRND programs, using the existing PRND PM Handbook. The PA is delivered through four facilitated sessions over a period of six months, to a State/Urban Area PRND Working Group (established through the PA process). The output of the PRND PA is for stakeholders to develop a PRND implementation strategy, which incorporates multiple threat pathways and is the basis for capability development. The PRND working group also serves as the primary POC for all future DNDO engagement in the State/Urban Area.

Beyond awareness and promotion of the PRND mission, DNDO is addressing the needs of state and local partners that are dedicating resources toward the PRND mission by establishing adaptive tools, strategies, and support systems that will grow over time to meet increasing demands. Seeking long-term partners to assist in our evolving support network thus far, DNDO has identified key members of the state and local PRND community from over 25 states who have been engaged in PRND planning and operations.

Accomplishments in Systems Engineering and Architecture - Program Assistance:

Significant accomplishments in FY 2009 include:

- Conducted 22 situational awareness outreach meetings with UASI Working Groups and the state and local community.
- Completed delivery of statewide PRND Facilitated Handbook Program Assistance package to California.

FY 2010 planned accomplishments:

- Conduct at least eight situational awareness outreach meetings with UASI Working Groups and Joint Terrorism Task Forces.
- Deliver a statewide PRND Facilitated Handbook Program Assistance package to at least three additional states or urban Areas.
- Deliver a PRND Facilitated Handbook Program Assistance package to at least three Urban Areas.
- Develop technical assistance support programs for specific operational capabilities
- Provide specialized technical assistance support to at least five states or Urban Areas to develop specific operational capabilities.

FY 2011 planned accomplishments:

- Conduct at least 14 situational awareness outreach meetings with UASI Working Groups.
- Deliver a statewide PRND Facilitated Handbook Program Assistance package to at least six additional states or Urban Areas.
- Deliver additional Technical Assistance packages.

SUMMARY: The table below assists in illustrating the crosswalk between specific projects and activities and the DNDO mission areas. It is clear that programs and activities have applicability to more than one mission area are represented in a cross-cutting manner.

PPA: SYSTEMS ENGINEERING AND ARCHITECTURE					
	Cross Cutting Functions	Land Borders	Aviation	Maritime	Interior
Systems Engineering and Standards Program	X				
Program Information Technology	X				
Systems Architecture	X	X	X	X	X
PRND Program	X				X

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Systems development
Program Performance Justification**
(Dollars in Thousands)

PPA: Systems development

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	92,598
2010 Enacted	-	-	100,000
2011 Current Services	-	-	100,000
2011 Program Change	-	-	(30,967)
2011 Total Request	-	-	69,033
Total Change 2010 to 2011	-	-	(30,967)

DNDO requests \$69.033 million for this activity. This includes a decrease of \$30.967 million from the FY 2010 Enacted Appropriation because of management and technology efficiencies. This reduction reflects a shift in DNDO priorities to developing a wider range of potential solutions to enduring vulnerabilities in the global nuclear detection architecture. This reallocation of resources will instead result in increased funding for systems studies, as well as testing and piloting existing technologies in new operational environments.

CURRENT SERVICES PROGRAM DESCRIPTION:

DHS is responsible for ensuring that the Nation maintains a preeminent research and development program to address user requirements in radiation detection science and technology. Long range basic research activities will be conducted through the transformational research activities that are being transferred to S&T. Consequently, DNDO has implemented a consistent development methodology to build on these activities and to address technical requirements arising from gaps in operational capabilities and to meet user requirements.

In FY 2011, DNDO Systems Development efforts will include three on-going programs aimed at maturing technologies with potential applications across multiple mission areas: Human Portable Systems, the Cargo Advanced Automated Radiography System (CAARS) follow-on program, and the Stand-off Radiation Detection System (SORDS) follow-on program. Each of these initiatives are, at least in part, the result of transitioning Advanced Technology Demonstrations (ATDs) from the (previously DNDO, now S&T) transformational research and development program. In addition,

DNDO will continue efforts to develop systems to address the challenges of scanning cargo containers that are transported via rail from seaports and begin a new effort to develop boat-mounted radiation detection systems.

Overall, funding levels for Systems Development programs requested in FY 2011 are significantly reduced from the previous request, reflecting a shift in DNDO priorities to developing a wider range of potential solutions to enduring vulnerabilities in the Global Nuclear Detection Architecture. This shift of emphasis will result in increased funding for systems studies, as well as testing and piloting existing technologies in new operational environments.

Human Portable Systems: DNDO has multiple programs that will provide a wide variety of law enforcement and first responders with effective human portable systems for rad/nuc detection: the Handheld program, the Human Portable Wide Area Search (HPWAS) program, and the Human Portable Tripwire (HPT) program. Each of these programs will result in the delivery of detection systems that will be used in all DNDO mission areas. For example, human-portable systems will be targeted for use by CBP Office of Field Operations and Office of Border Patrol in the land borders mission area. In the aviation mission area, systems will aid CBP Officers in scanning aircraft and their contents (passengers and baggage) in the international general aviation environment, as well as passengers and baggage in the international commercial aviation environment. For the maritime mission area, future generations of human-portable systems will augment the capabilities of the U.S. Coast Guard. Interior customers will also benefit from DNDO's development of human-portable systems. Through the State & Local Stakeholder Working Group, South East Transportation Corridor Pilot (SETCP) Regional Task Team users working group, and other state and local engagements, DNDO has gathered user requirements for handheld systems. New and enhanced equipment that results from the handheld program will be available to state and local agencies for purchase through grants and other funding.

Overall, each of the three human-portable system programs seeks to expand the spectrum of detectors available to end users by 1) investigating existing commercially available systems and tailoring them to better meet the needs of operators; 2) developing cutting-edge technology when current systems are inadequate to meet customer requirements; and 3) conducting systems development efforts for maturing technologies that transition from ATDs. Next-generation systems will provide enhanced radiation detection, threat source identification, and notification capabilities to aid end-users in mitigating nuclear threats.

The first human-portable detection technology expected to transition from an ATD to a systems development phase is the Intelligent Personal Radiation Locator (IPRL), a pocket-sized spectroscopic radiation locator that detects radiation, delineates source type, and locates the source. The purpose of the IPRL ATD was to develop and characterize an affordable, pocket-sized spectroscopic radiation locator that detects radiological/nuclear (rad/nuc) emissions, delineates source type, and locates the source. The results of the ATD will be considered as potential solutions for the HPT program.

DNDO plans to engage in an iterative development process to bring IPRL capability to end-users in a timely manner.

Accomplishments in Systems Development Human Portable Systems:

Significant accomplishments in FY 2009 include:

Handheld Program

- Completed the development of base technologies that will be adapted to support mission-specific environments.
- Finalized, with the users, the operational requirements for handheld systems that will be used for small area searches and secondary screenings.
- Continued to improve the associated software utilized within the detectors. Based on additional data collection campaigns in FY 2008 and FY 2009, improvements will be made to the isotope libraries upon which these algorithms are built.

Human Portable Wide Area Search (HPWAS) Program

- Completed the updated mission analysis that identifies the needs for human-portable systems.

HPT Program

- Began the development of operational requirements through user engagement and operational analysis.
- Began the transition assessment for the transformational R&D Intelligent Personal Radiation Locator (IPRL) program, including specific assessments of the unique capabilities that IPRLs are designed to provide.

FY 2010 planned accomplishments include:

Handheld Program

- Initiate low rate initial production (LRIP) for handheld systems that will be used for small area searches and secondary screenings
- Conduct Operational Testing for handheld systems that will be used for small area searches and secondary screenings.
- Enter full rate production for germanium-based handheld detectors that will be used for advanced operations.

HPWAS Program

- No efforts beyond those budgeted for FY 2009 are currently planned for FY 2010.

HPT Program

- Complete the development of operational and functional requirements for an HPT system through user engagement and operational analysis.
- Conduct analysis of alternatives (AOA) for HPT potential material and non-material solutions.
- Initiate the development of a HPT system designed to meet user requirements.

FY 2011 planned accomplishments include:

Handheld Program

- Complete LRIP for handheld systems that will be used for small area searches and secondary screenings in the maritime environment
- Conduct Operational Testing for handheld systems that will be used for small area searches and secondary screenings in the maritime environment.

HPWAS Program

- No efforts beyond those budgeted for FY 2009 are currently planned for FY 2011.

HPT Program

- Continue the development of HPT systems designed to meet user requirements.
- Conduct data collection efforts against Special Nuclear Material (SNM) to improve algorithm performance of HPT systems.
- Conduct an Early Operational Assessment of the HPT system in a simulated operational environment.

Cargo Advanced Automated Radiography System (CAARS) Follow-on Program:

Currently-deployed Non-Intrusive Inspection (NII) radiography systems are primarily designed to provide the capability to address detection of “traditional” contraband such as drugs, currency, guns, and explosives that may be illicitly smuggled in cargo containers. These types of contraband have a relatively low atomic number (low Z), and are generally detectable with standard radiography systems and the use of image analysts for the two-dimensional radiograph. Conversely, nuclear material or shielding material, which has a high atomic number (high Z), will be seen in the radiograph as an opaque or dark object (because the high Z material will attenuate the x-rays more effectively that might be noticed by an image analyst. Current systems are used in this way and provide some degree of rad/nuc detection capability. In FY 2006, DNDO began the development of the Cargo Advanced Automated Radiography System (CAARS), which will provide the capability to automatically detect high-Z materials with high confidence and a low false alarm rate. These CAARS systems will be able to automatically distinguish between low density materials such as aluminum and steel, and higher density materials such as lead, uranium, or plutonium. CAARS systems will also provide CBP operators with the capability to continue to detect traditional contraband, although this function will not be automated and will continue to require manual image analysis.

These development efforts have since been combined with other NII development programs into a revised development and testing program. Systems being tested include the CAARS units, as they become available, in addition to the nearer-term commercial systems that have been developed by industry and possess some capability to manually or automatically detect high-Z materials. Development of the advanced capability (CAARS) will continue. Systems previously deployed will be capable of creating images that will allow CBP image analysts to continue to inspect for low-Z contraband at least as effectively as they can with current systems. System development and testing will be consistent with CBP operational needs.

With regard to the CAARS development, prototype systems were delivered in FY 2009. FY 2009 activities focused on subjecting systems to a test and evaluation (T&E) program necessary to evaluate the technology. The same methods used to characterize existing NII systems were used to characterize the CAARS prototypes. Prior to conducting the formal test, each of the CAARS vendors conducted a rigorous readiness test at their facilities.

The results of the CAARS T&E will be compared to the results of the existing NII system T&E. The result of this study will be a cost-benefit analysis (CBA) to include recommendations with regard to future development and testing options. Pending positive results of the CBA, DNDO plans to release a solicitation for a rapid development prototype followed by a pilot deployment at a POE yet to be determined.

Accomplishments in the Systems Development CAARS Follow-on Program:

Significant accomplishments in FY 2009 include:

- Validated radiographic test objects.
- Completed development of CAARS prototypes.
- Began T&E campaign of the CAARS prototypes.
- Completed test campaign to characterize the ability of near-term commercial NII systems to detect shielded nuclear material through either automated image analysis or manual image interpretation.
- Completed assessment of available methods to upgrade existing NII systems to incrementally improve shielded nuclear material performance.

FY 2010 planned accomplishments include:

- Complete T&E campaign of the CAARS prototypes.
- Perform cost benefit analysis (CBA) to include recommendations with regard to future development and testing options.
- Depending on the CBA recommendation, refine operational requirements and perform an AOA.
- Select the best solution alternative.

FY 2011 planned accomplishments include:

- Refine the operational concept and translate operational requirements to system specifications.
- Develop a prototype system.
- Collect data to characterize the operational environment and determine limits of technical approach.

Stand-off Radiation Detection System (SORDS) Follow-on Program: The purpose of the SORDS ATD is to develop and characterize passive stand off detection technologies that are capable of detecting small sources at extended distances, i.e. one mCi of ¹³⁷Cs at

100 meters. These systems will be integrated and demonstrated on mobile platforms such as trucks or trailers. The SORDS ATD will allow DNDO to develop and evaluate the key technology of gamma-ray imaging for source detection and localization, as well as advanced alarming algorithms and sensor and data fusion techniques that may dramatically improve sensitivity and directional accuracy. These systems will show the operator visual overlays indicating the location and identification of radiation sources.

The SORDS ATD project addresses two of the most problematic constraints for passive detection and classification of radioactive materials in the interior layer; the need to detect rad/nuc materials at a large distance from the source, and with minimum detector exposure time. This is particularly problematic in detecting source vehicles along high speed public highways. Assuming the technology demonstration, projected for FY 2010, produces an acceptable increase in passive standoff detection capability, DNDO will pursue a capability development program.

Accomplishments in the Systems Development SORDS Follow-on Program:

Accomplishments prior to FY 2011 were included under the Transformational Research and Development PPA. FY 2011 planned accomplishments include:

- Develop a SORDS Capabilities Acquisition Plan (CAP).
- Complete an AOA.
- Develop an initial Life Cycle Cost Estimate.

International Rail Program: International rail traffic represents one of the most difficult challenges for radiation detection systems. Over 120 trains with 4,800 loaded rail cars enter the United States from Canada and Mexico each day through 31 rail POEs. Over 2.5 million rail cars pass every year with goods destined for every state in the country. Approximately three times the number of trains cross from Canada compared to Mexico. Additionally, three of the top five northern rail POEs and four of the top five southern rail POEs are situated in or near major urban population centers.

Currently, radiographic imaging systems are installed at the major CBP rail POEs to enable non-intrusive inspections (NII) of rail cargo. Passive radiation detection systems, such as radiation portal monitors, must overcome technical challenges in this environment: increased offset distances between the detector and rail cargo, excessive attenuation of rad/nuc signals due to heavy steel construction of the rail cars and cargo carried therein, and a preponderance of NORM cargo. Next-generation passive detection systems which have identification capabilities also face the same challenges. Furthermore, there are unique operational challenges in this environment due to the length of the trains (up to 2 miles), the distance required to stop moving trains, and the difficulties in separating alarming cars for further examination. This requires detection systems to have exceedingly low false and nuisance alarms.

DNDO has worked with CBP to capture the end-user needs and characterize the rail operational environment. DNDO will address these end user needs based on an analysis

of alternatives with a goal for deployment beginning in FY 2014 pending funds availability, operational constraints, and technology maturity levels.

Accomplishments in Systems Development International Rail:

Significant accomplishments in FY 2009 include:

- Developed a time-phased International Rail Scanning Strategy which addresses near-, mid- and far-term concepts.
- Developed Mission Area Requirements Analysis and Mission Needs Statement documentation for Rail Cargo Screening.
- Initiated bulk/break bulk truck and rail cargo pathway study with Canada to develop a strategy to explore the technical and operational options available to mitigate the risks posed by the rail pathway between the U.S. and Canada, especially including options that would involve U.S.-Canada cooperation.
- Analyzed alternative architectures associated with cargo screening at POEs, as well as Canada and Mexico, and developed a representative high-level systems architecture associated with the preferred alternative.

FY 2010 planned accomplishments include:

- Collecting information on existing and future system capabilities that may support the detection and identification of radiation and nuclear material carried in rail cargo via an industry Request for Information.
- Continue cooperation with Canada to develop a strategy to explore the technical and operational options available to mitigate the risks posed by the rail pathway between the U.S. and Canada, especially including options that would involve U.S.-Canada cooperation. Coordinate with CBP to maximize efficiency of information gathering and avoid duplication of effort in outreach to Canadian counterparts.
- Initiating a Rail Cargo Scanning Project with Mexico, based on lessons learned from Canada.
- Identifying, in cooperation with CBP, candidate domestic rail POE sites for a scanning technology trial targeting FY 2011.

FY 2011 planned accomplishments include:

- Initiating a technology trial at a testbed or operational rail site in the United States to identify technical and operational issues associated with technology alternatives for scanning rail cargo.
- Continuing implementation of the Rail Cargo Scanning projects with Canada and Mexico based on the plans agreed to in 2010 and implementation experience.
- Completing an AoA for the Rail Cargo Scanning project based on lessons learned from activities such as modeling and simulation efforts.
- Updating an initial Acquisition Plan completed in FY2010.

On-Dock Rail Program: On-dock rail accounts for the transfer of approximately 2% of all imported cargo containers to the U.S. This program addresses the challenge of scanning cargo at seaport terminals where containers are transferred from ships to a rail

facility that is within the terminal. These shipments therefore leave on rail cars that bypass the detectors at the terminal exit gate which scan trucks departing with the other 98% of the containers. Pursuant to the requirements of the SAFE Port Act of 2006, DNDO established a Rail Test Center (RTC) at the Port of Tacoma, WA. The on-dock rail terminals at the Port of Tacoma, WA, account for more than half of the aforementioned 2% of import containers.

Typically either mobile or fixed radiation portal monitors are used to scan containers on chassis as they exit a container terminal. However, when straddle carriers are used in this role, these are ineffective methods to scan containers. Efforts are underway to develop the use of a large radiation detector portal to scan the container as a straddle carrier moves it from dockside to a lay-down area prior to being loaded onto a rail. Should a secondary scan be required, a mobile detection system may be developed to scan containers. Also, CBP investigated a radiation detector mounted to the crane-mounted spreader bar that moves the container from ship to shore. On-going tests were conducted at the RTC and at Los Alamos National Laboratory.

FY 2009 funds were provided to support the design a prototype straddle carrier portal. In FY 2009, a straddle carrier portal test article was designed and construction has begun. The testing of this prototype will take place in FY 2010.

Accomplishments in Systems Development On-Dock Rail:

Significant accomplishments in FY 2009 include:

- Developed Mission Area Requirements Analysis (MARA) and Mission Needs Statement documentation for On-Dock (Intermodal) Rail Cargo Screening.
- DOE, DNDO, and CBP conducted additional tests of two crane-mounted detection systems to evaluate the capability of systems to detect special nuclear material sources.
- Completed the design of a straddle carrier portal test prototype for installation at the RTC.
- Developed a straddle carrier portal prototype design and initiated test planning at RTC.

FY 2010 planned accomplishments include:

- Based on modeling and simulation, as well as test results, DNDO, in coordination with CBP, will develop a specification for procurement of technologies to address the requirements of the On-Dock Rail program.
- Construct a prototype straddle carrier portal at RTC and evaluate its performance.
- Evaluate alternative technologies and determine their potential in this environment.

FY 2011 planned accomplishments include:

- Evaluate additional approaches if the concepts evaluated in previous years fail to meet requirements.
- Adopt the most successful approach from earlier trials and begin tailoring it to the specific conditions at ports requiring this capability.
- Perform operational testing of approaches that are deemed acceptable.

Boat-Mounted Sensor Program: A boat-mounted PRND system could pose several advantages for use in maritime PRND missions, such as stand off screening and reduction in the number of small vessel boardings of vessels of interest. Results of the FY 2008 Maritime test campaign (Crawdad) and early deployments of selected systems in the West Coast Maritime Pilot in Puget Sound will lead to the definition of a boat-mounted radiation detection system. If it is demonstrated that operational and technical requirements of the maritime mission area can be met by commercially available boat-mounted systems, systems may be incorporated into DHS acquisition programs. DNDO will develop and test a prototype system if commercially available systems cannot meet the requirements.

Accomplishments in Systems Development Boat-Mounted Sensors:

FY 2010 planned accomplishments include:

- Collect and compile the mission needs of DHS operational components in regards to maritime standoff detection to include boat-mounted, aircraft-mounted, fixed, and mobile.
- Develop operational requirements specific to boat-mounted detection systems from USCG, CBP-Air and Marine and OBP.
- Complete an analysis of alternatives to compare cost effectiveness and probability of detection of boat and aircraft-mounted standoff detection systems with currently fielded detection equipment carried by law-enforcement boarding teams.

FY 2011 planned accomplishments include:

- Finalize the requirements documents for a boat-mounted, stand-off detector.
- Develop an Acquisition Plan to include system specification.
- Begin the development of boat-mounted systems to support evaluation and deployment on selected DHS small boats.
- Procure early developmental systems against the requirements.
- Test Engineering Design Models.

SUMMARY: System Development projects and activities, in conjunction with S&T's transformational research and development activities, maintains the Nation's preeminent research and development program. The table below illustrates the crosswalk between

specific and the DNDO mission areas. It is clear that programs and activities have applicability to more than one mission area and are represented in a cross-cutting manner.

	Land Borders	Aviation	Maritime	Interior	Forensics	Cross Cutting Functions
Human Portable Systems	X	X	X	X		
Cargo Advanced Automated Radiography System	X					
Stand-Off Radiation Detection System	X	X	X	X		
International Rail Program	X					
On-Dock Rail Program			X			
Boat Mounted Sensor Program			X			

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Transformational research and development
Program Performance Justification**
(Dollars in Thousands)

PPA: Transformational research and development

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	103,985
2010 Enacted	-	-	108,537
2011 Adjustments-to-Base	-	-	(108,537)
2011 Current Services	-	-	-
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	(108,537)

DNDO requests no funding for this activity due to the program’s transfer to the DHS Science and Technology Directorate. Funding for 2011 and additional program information can be found in the Congressional Justification for the Science and Technology Directorate. The transfer results in a decrease of \$108.537 million from the FY 2010 Enacted Appropriation.

DNDO established a transformational research and development (R&D) program which seeks to identify, explore, develop, and demonstrate scientific and technological approaches that meet one or more of the following criteria: address gaps in the GNDA, dramatically improve the performance of nuclear detection components and systems, or significantly reduce the operational burden and/or cost of radiological/nuclear detection. Dramatic technological improvements may include improvements in system or component effectiveness and performance characteristics; reduction in cost of acquisition or maintenance; improvement in availability or reduction of operational burden by users in the field. R&D investments are made based on competitive awards, with investigators in all sectors – government laboratories, academia, and private industry – encouraged to participate. This program takes advantage of the qualities and respective advantages of all three sectors to accelerate discovery and develop products, with teaming among them highly encouraged. Transformational R&D is carried out within three major programs: Advanced Technology Demonstrations (ATD), Exploratory Research (ER) and the Academic Research Initiative (ARI).

The DNDO ER program began in 2006, with annual solicitations to industry, academia and national labs. The portfolio contains a mix of approximately 50 projects covering

broad areas such as advanced scintillator development, advanced semiconductor development, photomultiplier tube replacements/photon conversion, gamma-ray imaging, helium-3 replacement technologies and fast neutron detection, novel active detection sources, active detection detectors, system and concepts, algorithms, modeling, and forensics data collection and analyses projects.

Significant accomplishments in FY 2009 include:

- Completed development of new scintillator and semiconductor materials for the ARMD ATD.
- Conducted PoC for fusion of video and directional gamma detector images to allow for screening of vehicles at speed across multiple lanes of traffic.
- Evaluated feasibility of actively detecting SNM at distances greater than 100 meters.
- Demonstrated feasibility for pathway-related and proximity induced technologies for nuclear forensics analysis.
- Accelerated the development of a promising material that could help replace helium-3 detectors in many applications.

FY 2010 planned accomplishments:

- PoC for Compton Imaging device using room temperature semiconductor detector components with supporting reconstruction and ID algorithms which enable more effective source localization.
- PoC for compact accelerator design for portable active interrogation applications.
- PoC for high spatial resolution particle detectors for use with charged particle interrogation systems.
- Demonstration of a compact laser source for nearly monochromatic high energy x-rays for active systems which enable more effective, lower dose systems.
- Accelerate several alternative technologies for neutron detectors which would not be based on helium-3.
- Complete development of several low rate production efforts for scintillators for both gamma and neutron detection.

The DNDO ATD program began in FY09. The ATD program focuses on the accelerated development, characterization and demonstration of leading edge technologies that have a high potential to address the strategic criteria listed above. Technology demonstrated conceptually under Exploratory Research often provides the impetus for ATD efforts. DNDO initiated the Intelligent Personal Radiation Locator (IPRL) ATD in FY 2006, the Standoff Radiation Detection System (SORDS) ATD in FY 2007, the Shielded Nuclear Alarm Resolution (SNAR) ATD in FY 2008 and the Intelligent Radiation Sensing System (IRSS) in FY09.

IPRL has completed fabrication of prototype units as well as completed the demonstration and characterization phase. Initial commercial units are expected in FY10. SORDS has completed fabrication on the mobile systems and is currently undergoing characterization. SNAR and IRSS are in the process of researching and developing the system designs.

The DNDO ARI program began in FY07 and has two goals. The first is to engage the academic community in DNDO research goals, building a community dedicated to solving long-term, high-risk research issues. The second is to develop the next generation of researchers in nuclear detection technology. DNDO has partnered with the National Science Foundation (NSF) for ARI. NSF administers the proposal solicitation, evaluation, and grant award process as well as the first year of the grant. Subsequent years are administered through the DHS Grants Office. Through the FY 2007, FY 2008 and FY09 NSF and DHS grant activity, 39 university teams were selected to begin research programs in areas such as next generation detection systems, nuclear forensics, detection material and detectors, and documenting key nuclear data. By virtue of supporting this research - which includes professors, undergraduates, and graduate students - future nuclear scientists and engineers are being enabled and supported throughout the educational portion of their careers.

Accomplishments in Transformational Research and Development Academic Research Initiative:

Significant accomplishments in FY 2009 include:

- Provided additional grant funding to support a total of approximately 110 undergraduate and graduate students.
- New detectors: completed fabrication of lightweight novel gas chamber neutron detector, completed fabrication of light-weight low-power neutron detector, first design photonics-based radiation sensor.
- New materials: completed first synthesis of enhanced nanophosphor materials, completed synthesis and characterization of high efficiency boron arsenide crystals for neutron detection.
- Other: developed software to fully simulate NRF, measured key NRF emission lines and (n f) cross sections, developed a smuggling interdiction model with deterrence and strategic gaming, designed shielded HEU detection system, developed social models for decision support algorithms, developed software for sensor system management and simulation.

FY 2010 planned accomplishments include:

- Approximately 140 students will be supported.
- Design and construction of a lightweight and portable neutron detector.
- Growth and structural characterization of the first boron phosphide crystals for high efficiency neutron detectors.

- Complete characterization and testing of a novel solid-state self powered neutron detector.
- Development of a web application for studying optimum use of sensor resources by dynamic programming of decision trees.
- Development of an interdiction model for smuggled nuclear materials with deterrence methodologies and strategic gaming aspects incorporated.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Assessments
Program Performance Justification
(Dollars in Thousands)**

PPA: Assessments

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	34,519
2010 Enacted	-	-	32,416
2011 Current Services	-	-	32,416
2011 Program Change	-	-	11,049
2011 Total Request	-	-	43,465
Total Change 2010 to 2011	-	-	11,049

DNDO requests \$43.465 million for this activity. This includes an increase of \$11.049 million above the FY 2010 Enacted Appropriation.

CURRENT SERVICES PROGRAM DESCRIPTION:

The DNDO development and acquisition process is anchored by the assessment of DNDO-mission related programs as they are developed, deployed, and implemented. DNDO continually assesses the global nuclear detection and reporting architecture through a variety of means, including test and evaluation (T&E) campaigns to characterize technologies and systems, execution of pilots with operational agencies to evaluate concepts of operation (CONOPS), red teaming assessments to deepen the understanding of adversary capabilities, and net assessments to identify the effectiveness of the planned and deployed global nuclear detection and reporting architecture.

Test and Evaluation (T&E) Infrastructure and Operations: The testing of detection systems against special nuclear materials (SNM) in significant quantities and in realistic configurations is a key to assessment of rad/nuc systems. This type of testing requires highly specialized and secure testing facilities. The SNM test capability will be improved by the completion of the Rad/Nuc Countermeasures Test and Evaluation Complex (RNCTEC) located at the Nevada Test Site (NTS). This facility is unique in the U.S. Government, enabling the technical community to bridge the gap between “bench-top testing” performed by developers and operational field-testing.

Scanning containers at intermodal seaports presents unique challenges, including marine and surface cargo carriers. The Port of Tacoma was designated as host for the Rail Test

Center (RTC) for DNDO to evaluate operational protocols and various instrument technologies for radiation scanning of import containers that leave the port by rail. The RTC was required by the SAFE Port Act of 2006 and T&E operations began in FY 2008.

DNDO must also continue to develop and maintain supporting infrastructure and materials needed for test campaigns at other test facilities such as the maritime test facility at L-Lake in the DOE Savannah River Site (SRS). The Crawdad test campaign assessed eleven marine-specific detection systems during the summer of 2008. Core testing capabilities have expanded to include mobile data collection systems which are flexible to support multiple test campaigns, expanded GPS and wireless communication systems, an expanded data archival/retrieval data collection system to maintain all DNDO test data, and video tracking systems. To ensure comprehensive, technically defensible test campaigns, statisticians and rad/nuc experts are included in all test planning activities from organizations such as National Institute of Standards and Technology (NIST), DOE national laboratories, and Defense Threat Reduction Agency (DTRA).

Accomplishments in Assessments T&E Infrastructure and Operations:

Significant accomplishments in FY 2009 include:

- Completed construction of RNCTEC, started nuclear operations in June 2009, and completed first test campaign (ELAND) at this facility.
- Enhanced testing capability at the SRS, particularly at the Calibration Laboratory.
- Expanded testing capabilities at RTC to support upcoming ondock rail testing straddle carrier testing.
- Developed and assembled test objects for active interrogation and advanced radiography testing.
- Developed and procured relevant sources and stream-of-commerce NORM (such as “abandoned” or “seized” rad/nuc material at POEs) to support testing. This includes sources needed for Graduated Rad/Nuc Detector Evaluation and Reporting (GRaDER) testing against government-unique Technical Capability Standards.
- Conducted Rapid Response Testing (R2T) scenario to validate process and maintain readiness and proficiency.
- Completed five distinct test and evaluation campaigns, including the PAX/BAG test of equipment suitable for screening passengers and baggage at international commercial airports and the ELAND test campaign of advanced mobile preventive radiation detection systems at RNCTEC.
- Integrated expertise from partner agencies in integrated test campaigns for threat test scenario planning, analytic design, and technical data analyses and modeling.
- Enhanced data acquisition systems to include integrated video tracking, secure wireless data transmission and storage, and enhanced data archival/retrieval systems.

FY 2010 planned accomplishments include:

- Establish Inter-Agency Steering Committee, including DHS, DOE, DOD, and the IC, to integrate and oversight testing needs at RNCTEC on a National priority basis.
- Conduct at least eight major test & evaluation campaigns.
- Active participation with the European Union (EU) and International Atomic Energy Agency (IAEA) on the ITRAP+10 test campaign of COTS rad/nuc detection systems.
- Maintain and enhance testing infrastructure at RNCTEC to support advanced radiography and active interrogation.
- Develop testing capabilities to support aerial rad/nuc detection.
- Integrate expertise from partner agencies to create integrated test campaigns for threat test scenario planning, analytic design, and technical data analyses and modeling.

FY 2011 planned accomplishments include:

- Continued participation in execution of ITRAP+10 test campaign with EU and IAEA.
- Continued integration of National testing needs with inter-agency RNCTEC Steering committee
- Plan and execute 9 distinct test and evaluation campaigns
- In support of International Commercial Aviation Passengers and Baggage pilot program complete the test plan, equipment selection, and test readiness review for the technical evaluation of scanning equipment options for use by CBP to detect and identify potential rad/nuc sources for commercial aviation passenger and baggage radiography screening at the DHS/Science and Technology Transportation Security Laboratory.

Special Nuclear Material (SNM) Sealed Source Development Program: The sealed source design and fabrication effort will provide testing objects for multiple purposes such as: a) universities and manufacturers to develop and test developmental detectors in-house using government-owned SNM sealed sources that simulate much larger masses of SNM; b) DNDO and components to perform post-installation acceptance testing using Government-owned SNM sealed sources; c) enable capability verification assessments at non-Federal operational sites using government-owned SNM sealed sources; and d) accommodate use of SNM sources for training, testing and exercises at non-DOE locations. Building on the existing testing source set, two new source sizes and configurations will be added to the program.

This program was not initiated in FY 2009.

FY 2010 planned accomplishments include:

- 4 SNM Sealed Sources designed/fabricated for selected size categories of HEU sources.
- Sealed reactor grade Pu test source.

- Design of technical capability standards sources.

FY 2011 planned accomplishments:

- 4 SNM Sealed Sources designed/fabricated for additional size categories of HEU sources.
- 1 Special Form weapons grade Pu test source.
- 1 set of Technical Capability Standards.
- 1 set of ANSI N42.34 standards.

Graduated Rad/Nuc Detector Evaluation and Reporting (GRaDER) Program: The rad/nuc detector industry continues to develop new technologies and enhancements to existing technology. Federal, state, and local technology users need accurate, objective, and unbiased performance testing of this equipment to inform their procurement decisions. The pace of innovation and new products in the marketplace makes it prohibitive for the Federal government to continually conduct testing to ensure rad/nuc detection equipment procured to support the mission meets necessary performance standards. DNDO is mandated by Congress (SAFE Port Act of 2006) to implement a test and evaluation program to provide effectiveness information and metrics for evaluating preventive rad/nuc detection technology. The GRaDER program was established to provide objective and reliable performance testing against established standards. As such, partnership and collaboration with the Systems Engineering Standards Program (discussed previously) is a key element of the GRaDER framework. This testing framework can be accessed any time a vendor has a new technology, rather than waiting for a government-sponsored test.

The GRaDER program Phase I establishes independent testing against American National Standards Institute (ANSI) N42 consensus standards established by industry and the government. The law also requires DHS to publish technical capability standards and standard operating procedures for the use of non-intrusive imaging and radiation detection equipment. The GRaDER program integrates these technical capability standards into Phase II of the program. The GRaDER program, working with NIST, uses the National Voluntary Laboratory Accreditation Program (NVLAP) to designate competent laboratories and assure independent and consistent testing of Commercial-Off-The-Shelf (COTS) radiation detection devices. Results of the GRaDER program will be made available to DHS components, other Federal agencies, and state, local and tribal law enforcement and first responder agencies. The ultimate objective is to enable informed procurement decisions and ensure that grant funding provides the best detection capabilities.

Accomplishments in Assessments GRaDER Program:

Significant FY 2009 accomplishments:

- Initiated first Phase I testing of the GRaDER program for vendor-financed testing of COTS rad/nuc detection systems by NVLAP-accredited laboratory.

- Included additional ANSI standards for laboratory testing in support of the GRaDER program.
- Integrated two NVLAP-accredited or DNDO-accepted laboratories to perform testing.
- Increased scope of laboratory testing in terms of additional ANSI N42 standards.
- Continued outreach to the vendor community to inform them of the availability, benefits, and protocols of the program.

FY 2010 planned accomplishments include:

- Begin reporting results of testing against selected ANSI N42 standards to support the Authorized Equipment List from Federal Emergency Management Agency (FEMA) Grant Office.
- Initiate Phase II of GRaDER and begin testing against Technical Capability Standards.
- Integrate additional NVLAP-accredited or DNDO-accepted laboratories.
- Increase scope of laboratory testing in terms of additional ANSI N42 standards, e.g. spectroscopic personal radiation detectors.
- Continue outreach to the vendor community.

FY 2011 planned accomplishments include:

- Update information on previously tested instruments based on the NIST post-market surveillance program.
- Continue Phase I testing of the GRaDER program for manufacturer-financed testing of COTS rad/nuc detection systems by NVLAP-accredited laboratory
- Continue to report results of testing against selected ANSI N25 and N42 standards to support the Authorized Equipment List from the FEMA Grant Program Office
- Conduct Phase II of GRaDER and reporting results of testing against Technical Capability Standards
- With NIST and appropriate lab support, conduct a GRaDER post-market surveillance program to ensure continued detector quality and compliance.
- Complete GRaDER testing against the Technical Capability Standard for handheld rad/nuc detectors.

Directed Test Campaign: DNDO routinely conducts test campaigns to characterize currently available equipment in operationally relevant environments. Such tests provide for the independent assessment of equipment outside of the Developmental Test and Evaluation (DT&E) and Operational Test and Evaluation (OT&E) conducted by the developers of this equipment. State and local entities have repeatedly stated their requirements for these test data to inform their grant requests, to ensure that they develop grant applications that include rad/nuc equipment that is proven to be effective for their unique operational environments.

State and Local law enforcement and other public safety personnel are procuring preventive rad/nuc detection (PRND) technologies that are commercially available. Two

primary issues associated with the use of PRND technologies by law enforcement and public safety personnel are: 1) their effectiveness in detecting various radioactive sources, and 2) their performance (manufacturer and model) in certain operationally relevant environments. DNDO has evaluated off-the-shelf or government available PRND equipment in order to provide unbiased performance evaluation information on models and their potential operational utility. The following classes of detectors have been evaluated in the past under the Directed Test funding: personal radiation detectors, handheld, backpack and mobile nuclear detection systems, radiation detection systems suitable for maritime environments, and aerial platform systems (projected for FY 2010). The class of detection system for evaluation with the highest priority in FY 2011 will be selected in FY 2010.

Accomplishments in Assessments Directed Test Campaigns:

Significant FY 2009 accomplishments include:

- Planned and developed testing protocols for Dolphin maritime test campaign to evaluate boat-mounted stand-off detection systems in an operationally relevant environment that could be further developed to meet DHS operational component requirements for boat-mounted systems.
- Evaluated COTS/GOTS boat-mounted radiation detection systems selected for Dolphin against maritime environmental conditions

FY 2010 planned accomplishments include:

- Execute Dolphin test campaign for boat-mounted stand-off radiation detection systems against SNM in operationally relevant scenarios in San Diego. The results will support West Coast Pilot in San Diego.
- Planning and executing in conjunction with the DOE a test and evaluation campaign for aerial mounted PRND systems to determine current capabilities for helo-mounted systems in the maritime and land environment.

FY 2011 planned accomplishments include:

- Plan and execute a Directed Test campaign on classes of detection systems identified and prioritized based on needs identified by Federal, state and Local partners.

Test Data Management. The activities within this section pertain to the collection, standardization, utilization and archiving of data throughout DNDO programs. This includes Standard Information Exchanges (Data Interfaces) and Communications, and Data Validation and Quality.

Data Architecture: Virtually every DNDO program collects and stores data of some kind. Many programs collect large amounts of complex data from radiation or radiography sensors as well as supporting sensors such as cameras. This data must be

collected, stored, archived and analyzed to support both operational and test missions of DNDO. The Data Architecture program will standardize these data management functions and definitions across DNDO and DHS in order to facilitate analysis of data trends and information sharing. Using this approach at DNDO for advanced algorithm development obviates the need for additional and costly testing.

Support for Test and Evaluation Data: As part of the Test Data Management program, DNDO is developing an important capability that will allow for the archiving and use of technical performance data associated with the instruments DNDO develops, assesses and/or procures. This archived data, called the algorithm development test bed, is a powerful tool capable of improving algorithm and detector performance by using previously collected test data thereby providing substantial cost savings to the government. The algorithm development test bed is a nationwide asset being used by DNDO, DOE, and many national laboratories to perform injection studies, make trade-off decisions, and verify software updates. All activities that comprise the Test Data Management effort will work together to make all data collections interoperable, comparable, and re-useable for different purposes. In FY 2008 and FY 2009, initial systems are being developed to archive, manage and utilize data from DNDO test programs.

Accomplishments in Assessments - Test Data Management:

Significant FY 2009 accomplishments include:

- Created long-term storage design implementation for the Archival and Retrieval Management System (ARMS). Completed conversion of high value data from past tests into the ARMS standardized format.
- Added functionality to the Data Collection System (DCS) and used for an increased number of test campaigns.
- Completed the Report Analysis and Archive System (RAAS) implementation at the Defense Threat Reduction Information Analysis Center (DTRIAC).
- Migrated open and closed data sets generated for Advanced Spectroscopic Portal (ASP) algorithm development and Human Portable Radiation Detection Systems into ARMS.
- Maintained algorithm test bed, continued injection studies, and supported algorithm development and new technology trade studies.
- Performed regression testing of software updates as needed and support DHSIsotopeID (rad/nuc ID software) testing and development.

FY 2010 planned accomplishments include:

- Complete implementation of ARMS long-term data storage design.
- Support algorithm development and new technology trade studies and injection studies.
- Perform regression testing of software updates as needed, and maintain support for DHSIsotopeID testing and development.

- Enhance data acquisition systems to include integrated video tracking, secure wireless data transmission and storage, and enhanced data archival/retrieval systems.
- Continue to expand content of RAAS which will be transferred to DTRIAC in both the unclassified and classified regimes.
- Expand the number of user accounts for the RAAS material stored on DTRIAC.

FY 2011 planned accomplishments include:

- Improve export and search capabilities of ARMS.
- Enhance security classification of individual data elements in ARMS.
- Manage data that will be collected in DNDO test campaigns, and integrate the data into ARMS.
- Continue to expand content of RAAS which will be transferred to DTRIAC in both the unclassified and classified regimes.
- Expand the number of user accounts for the RAAS material stored on DTRIAC.
- Evaluate and add appropriate reports to expand the contents of RAAS.

Red Teaming and Net Assessments (RTNA): RTNA evaluates the overall effectiveness of implemented PRND capabilities using adversary emulation, workshops, expert elicitation, modeling, cooperative assessments, covert testing, open source studies and adversarial red teaming. Over time, these tools can improve the effectiveness of the Nation's capabilities relative to a determined adversary. They are used as part of a coordinated assessments cycle, employing cooperative and adversarial approaches in assessing the effectiveness of implemented programs. Assessments are tailored to meet customers' objectives and capability maturity levels and are designed to provide an actionable set of recommendations for improvement.

The red teaming process tests the GNDA using information available to a variety of potential adversaries. This emulation of the threat increases the probability that DNDO identifies and addresses weaknesses in the Nation's PRND defenses, and more importantly, focuses on the effectiveness of these defenses against a resourceful and adaptive adversary. Open source studies use publicly available information to develop realistic courses of action. Adversarial red teaming acts on these courses of action. Red teaming will contest technologies, concepts, protocols, and approaches to defeat or circumvent defenses based on an adversary's perception and provide insights for achieving a more robust PRND capability. Covert testing, on the other hand, intentionally introduces radiological material to fielded PRND capabilities to assess the performance of technologies and protocols.

The net assessments process examines the overall effectiveness of implemented and planned PRND capabilities and perceived adversary capabilities through cooperative means. It enables DHS and its state and local partners to evaluate its effectiveness against the adversary. This process incorporates findings and recommendations from a variety of assessment methods, including cooperative assessment methods, surveys, probabilistic modeling, and expert elicitation. When these assessment tools are used in coordination,

DNDO benefits by understanding how defensive systems perform against an emerging, adaptive adversary. This continuous process will significantly improve global nuclear detection capabilities.

Accomplishments in Red Teaming and Net Assessments:

Significant accomplishments in FY 2009 included:

- Conducted open source, covert testing, and adversarial red teaming activities, including use of SNM surrogates. Continued assessments of Federal detection capabilities beyond seaports (e.g. land border POEs and aviation). Continued to assess domestic capabilities, aligning support with DNDO outreach programs (e.g. West Coast Maritime Pilot (WCMP) and state engagements).
- Continued assessing the effectiveness of Federal, state, territorial, tribal, local agency, and first responder PRND training.
- Conducted assessments of PRND programs internal to DNDO and programs involving other agencies to determine program effectiveness. Continued assessment of the effectiveness of the Security the Cities engagement model, completed assessment of embedding detection capability with Transportation Security Administration Visible Intermodal Prevention and Response (VIPR) teams, and initiated the PRND data collection effort to baseline state and local detection capabilities.
- Conducted elicitations on potential nuclear and radiological adversaries to enhance portrayal in the probabilistic model under development.
- Completed the first phase of development of a probabilistic model that incorporates an adversary's aspirations coupled with a comprehensive transportation network.

FY 2010 planned accomplishments include:

- Conduct open source, covert testing, and adversarial red teaming activities to include using SNM surrogates and support to the second phase of the WCMP and expanded assessments of land border and aviation pathways.
- Assess the effectiveness of Federal, state, territorial, tribal, local agency, and first responder PRND training.
- Conduct assessments of PRND programs internal to DNDO and programs involving other agencies to determine program effectiveness including continuation of the PRND data collection Effort.
- Refine the probabilistic model by fully incorporating red teaming and net assessment findings and recommendations and conducting analyses that enhance the nation's PRND defenses. Follow on work includes model verification, validation, and accreditation.

FY 2011 planned accomplishments include:

- Conduct open source, covert testing, and adversarial red teaming activities to include using SNM surrogates and possible involvement in DNDO pilot programs as determined by DNDO leadership and expanded assessments of alternate pathways. Continue to assess domestic capabilities, aligning support with DNDO outreach programs.
- Continue assessing the effectiveness of Federal, state, territorial, tribal, local agency, and first responder PRND training.
- Conduct assessments of PRND programs internal to DNDO and programs involving other agencies to determine program effectiveness. Continue the PRND data collection effort to baseline state and local detection capabilities.
- Continue to elicit subject matter experts on potential nuclear and radiological adversaries to enhance portrayal in the probabilistic model under development.
- Continue to refine the probabilistic model by fully incorporating red teaming and net assessment findings and recommendations and conducting analyses that enhance the nation's PRND defenses. Conduct verification, validation, and accreditation of model enhancements.

West Coast Maritime Pilot Program: This pilot program supports the DHS Small Vessel Security Strategy objective to develop a robust layered defense by expanding and enhancing maritime rad/nuc detection capabilities for international, Federal, state, local, tribal and private stakeholders. Consequently, the focus of this effort is to evaluate the effectiveness of a limited, phased deployment of COTS/GOTS rad/nuc detection capabilities against the small vessel threat in the Puget Sound and San Diego regions and gather lessons learned to improve effectiveness of future deployments of maritime capabilities to other priority U.S. ports. The pilot will conclude in calendar year 2010.

Accomplishments in the Assessments - West Coast Maritime Pilot:

Significant accomplishments in FY 2009 included:

- Developed and implemented regional CONOPS and an alarm adjudication process for San Diego.
- Completed a background radiation report for Puget Sound and San Diego.
- Completed the initial design and begin limited employment of boat-mounted rad/nuc detection equipment in Puget Sound.
- Initiated training in San Diego and continued training in the Puget Sound Region to support the deployment of rad/nuc detection equipment.
- Conducted drills and exercises with human portable equipment. These exercises tested the validity of the CONOPS, procedures and protocols that were developed for each region.
- Developed maritime-specific training.

FY 2010 planned accomplishments include:

- If determined feasible, deploy, integrate and assess fixed detectors and associated CONOPS and SOPs.
- Conduct Full Scale Exercises (FSEs) in Puget Sound and San Diego in order to validate training, equipment, CONOPS, procedures and protocols. The exercises will be designed to involve all participants in the West Coast Maritime Pilot, and evaluate the effectiveness of human portable, boat-mounted, and fixed rad/nuc detection equipment in the maritime environment.
- Document lessons learned and identify gaps and assess the operational utility from the pilot to improve future development and deployment of maritime PRND capabilities.
- Develop and document a maritime PRND process that will provide a framework for other Area Maritime Security Committees (AMSC)/ports considering the establishment of a maritime PRND program.
- Identify life-cycle costs associated with maintaining a maritime PRND capability.
- Developed maritime-specific PRND training.
- Identify communications requirements to integrate maritime PRND with intelligence, targeting, reachback and response for future deployment.

FY 2011 planned accomplishments include:

- Release the Pilot Final Report, including recommendations for future deployments.

International Commercial Aviation Passengers and Baggage (Pax/Bag) Pilot

Program: The Passenger and Baggage (Pax/Bag) Pilot Program was initiated in FY 2008 by DNDO and CBP to enhance rad/nuc scanning capability of passengers and baggage in the commercial Air Port of Entry (APOE) environment. The program was initiated in response to Congressional direction in the Explanatory Statement that accompanied the Consolidated Appropriations Act, 2008 (P.L. 110-161), which states:

“DNDO shall work with U.S. Customs and Border Protection (CBP) to initiate two pilots of radiation portal monitors within the air port of entry environment for screening individuals and their baggage for radioactive materials. The pilots should include a detailed concept of operations.”

In FY 2008, DNDO and CBP completed five airport facility site surveys to assess the commercial APOE environment and gather user needs to inform the design of an equipment test campaign and two APOE operational pilots. DNDO then conducted an equipment test campaign in Spring 2009 to evaluate applicable COTS/GOTS rad/nuc detection equipment. COTS/GOTS systems demonstrating the most potential will be further evaluated in two domestic APOE operational pilots, with the possibility of adding one Pre-Clearance airport.

The two domestic APOE pilot sites selected are Seattle-Tacoma (SeaTac) International Airport and Charlotte International Airport. CBP selected SeaTac in order to provide enhanced rad/nuc detection capability prior to the February 2010 Winter Olympics;

Charlotte was selected as an opportunity to evaluate the impact of multiple rad/nuc detection deployments on a single airport environment (Charlotte is also a site for the Air Cargo Radiation Portal Monitor Program (RPMP) deployment).

Upon completion of the operational pilots, DNDO will formulate recommendations based on the results from the test campaign and operational pilots to inform future deployment strategies for APOEs (including Pre-Clearance facilities if a pre-clearance pilot location is added), and provide input for research and development efforts to optimize rad/nuc scanning of passengers and baggage in the international commercial airport environment.

Accomplishments in Assessments – International Commercial Aviation Pax/Bag Program:

Significant accomplishments in FY 2009 include:

- Conducted a test campaign to characterize performance of rad/nuc scanning systems to be carried forward in selected pilots (operational demonstrations) in the domestic APOE Pax/Bag environment.
- In close coordination with CBP and other operating agencies and stakeholders, initiated pilots at Seattle-Tacoma and Charlotte International Airports to study the effectiveness and suitability of various rad/nuc scanning equipment suites and CONOPS for scanning international air passengers and their baggage.

FY 2010 planned accomplishments include:

- Conclude pilots at Seattle-Tacoma and Charlotte International Airports; provide limited initial operational capability to Seattle-Tacoma and Charlotte International Airports.
- With CBP, TSA and other Federal and international partners, conduct at least one pilot in the commercial pre-clearance environment, if the pre-clearance location is available, to evaluate scanning alternatives according to specific pre-clearance requirements.

FY11 planned accomplishments include:

- Complete an equipment test campaign based on the Pax/Bag Pilot Program results to inform acquisition decisions for the commercial aviation pathway; includes class-specific tests and potential minimal modification of COTS.
- Initiate a cooperative test with the Transportation Security Laboratory (TSL) to evaluate non-passive (radiography) systems for scanning international commercial aviation passenger baggage.

Green Border Pilot: The Green Border Initiative will build upon the FY 2009 domestic interior PRND studies for the “Green Border” states along the Mexican and Canadian borders, to identify gaps and develop mitigation strategies. State and local law enforcement officials from the Border States may respond to illegal border incursions between official ports of entry. It is critical that DNDO engage with Border States to

complement Federal operations and fill vulnerable architecture gaps. The architecture study (please see the Systems Engineering and Architecture PPA) will be evaluated and a three year pilot program will be initiated in FY 2011 to develop new PRND capabilities in the Green Border States. At the completion of the pilot, changes to the National PRND Guidance Documents will be made as appropriate, the pilot results will be evaluated, and lessons learned will be disseminated to appropriate stakeholders to improve their PRND programs.

Accomplishments in Assessments -Green Border Pilot Program:

There are no prior year Green Border Pilot activities.

FY 2011 planned accomplishments include:

- Initiate Green Border Pilot to develop PRND capabilities.

SUMMARY: The table below illustrates the crosswalk between specific projects and activities and the DNDO mission areas. Programs and activities have applicability to more than one mission area and are represented in a cross-cutting manner.

	Aviation	Maritime	Interior	Cross cutting Functions
Test and Evaluation (T&E) Infrastructure and Operations				X
Special Nuclear Materials Sealed Source Development Program				X
Graduated Rad/Nuc Detector Evaluation and Reporting Program (GRaDER)				X
Directed Test Campaign		X		
Test Data Management				X
Red Teaming and Net Assessments				X
West Cost Maritime Pilot Program		X		
International Commercial Aviation Passengers and Baggage Pilot Program	X			
Green Border Pilot			X	

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Operations support
Program Performance Justification**
(Dollars in Thousands)

PPA: Operations support

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	40,133
2010 Enacted	-	-	38,436
2011 Current Services	-	-	38,436
2011 Program Change	-	-	(4,481)
2011 Total Request	-	-	33,955
Total Change 2010 to 2011	-	-	(4,481)

DNDO requests \$33.955 million for this program. This is a decrease of \$4.481 million from the FY 2010 Enacted Appropriation.

CURRENT SERVICES PROGRAM DESCRIPTION:

While technology is a critical tool in combating the nuclear threat, the threat cannot be effectively overcome by technology alone. All detection and interdiction efforts must be conducted in coordination with trained Federal, state, local and tribal law enforcement agencies, as well as the larger intelligence and counterterrorism communities. Accordingly, while DNDO has initiated capability enhancement and training and exercise support, it is also responsible for developing the information sharing and analytical tools necessary to create a fully integrated operating environment. Furthermore, DNDO establishes additional protocols and procedures to ensure that the detection of unauthorized nuclear explosive devices, fissile material or radiological material is promptly reported to the Secretaries of Defense, Homeland Security and Energy, the Attorney General, and other appropriate officials for appropriate action by law enforcement, military, emergency response or other authorities. DNDO must have the ability to integrate detection data and intelligence assessments in a near real-time environment to develop information that enables an overall system and situational awareness. This requires DNDO to closely interact with the Intelligence Community (IC) as a developer of intelligence requirements and consumer of intelligence products, not as an intelligence collection agency. Conversely, DNDO does partner directly with the law enforcement community, who are the primary users of preventive radiation detection equipment. This integrated approach to detection and information analysis provide a substantial improvement and efficiency in alarm resolution, threat assessments, data trend

analysis, and, most importantly, overall probability of success in countering the threat of nuclear terrorism.

Joint Analysis Center and Joint Analysis Center Collaborative Information System:

The Joint Analysis Center (JAC) at DNDO provides 24/7 capabilities to meet the NSPD-43/HSPD-14 directed objectives to maintain situational awareness of the GNDA, analyze information from the GNDA and share data with the Communities of Interest (COI) to ensure that detection leads to an appropriate response.

To accomplish this mission the JAC maintains data on all available deployed detectors to include their operational environment and detection histories; assists in establishing and understanding appropriate Federal, state, local and international protocols to ensure detection events lead to an appropriate response; provides 24/7 technical support to PRND operations, including notification to appropriate interagency partners for appropriate response and deployable technical assets; and fuses intelligence, law enforcement and technical data into informational products to better the operators' chances of identifying the threat. While, DNDO does not provide command or control functions over detection and response assets, it provides critical support to those who are doing so.

The JAC program includes:

- Operation and maintenance of the JAC's 24/7 capabilities, including the analytical research and techniques and protocols required to maintain situational awareness and facilitate alarm adjudication.
- The Nuclear Assessment Program (NAP).
- The Technical Reachback (TRB) Program.
- The Joint Analysis Center Collaborative Information System (JACCIS).

Both NAP and TRB are key components of the Presidential Directives NSPD-43 and HSPD 14 (Domestic Nuclear Detection) Annex 1, "U.S. Government Nuclear and Radiological Alarm Technical Adjudication and Resolution Process," and Annex 1 to PDD-41 (U.S. Policy on Improving Nuclear Material Security in Russia and the Other Newly Independent States), 15 May 2007 (C). NAP and TRB also contribute to and utilize the information and communications infrastructure provided by the JAC, and provide the subject matter expertise in support of JAC functions.

The JACCIS provides unique and centralized communication and information technology (IT) support to accomplish the mission of the JAC. Through an adaptive framework by integrating intelligent services and data provisioning capabilities in an open, scalable architecture, the JACCIS also provides the flexibility to adapt to the evolving GNDA, mission areas, business processes, and COI requirements. When fully developed, the JACCIS will fuse and store data obtained by the GNDA, as well as other pertinent data for use by the nuclear technical community, the nuclear policy community, and other members of the nuclear COI. The system will track detection events and provide alerts for events of interest, as well as the relevance to other known events through detailed

trending and analysis. It will make available historical trends to refine protocols and search parameters and better inform the nuclear counterterrorism community.

Accomplishments in Operations Support:

Significant accomplishments in FY 2009 include:

- Completed development, security certification, and operational deployment of the initial JACCIS.
- Maintained the 24/7 capability of the JAC for support to the deployed GNDA.
- Provided automated data collection and analytical tools to fuse and analyze all source information and alert operators of items of interest.
- Coordinated State and local authorities and agencies through the JAC on specific protocols and Standard Operating Procedures (SOPs) for alarm adjudication/resolution and develop the complementary Federal procedures in support thereof.
- Completed the initial rad/nuc information baseline on all states and major urban areas.
- Conducted weekly drills of the alarm adjudication, resolution and notification protocols integrating Federal, state and Local agencies into these drills.

FY 2010 planned accomplishments:

The JAC will continue to maintain situational awareness of the GNDA by updating and consolidating data required to facilitate appropriate architecture development, alarm adjudication and resolution, including detector deployment information and historical data on detection events. As rad/nuc detection technologies are deployed across the Nation and in strategic areas around the world, operational support will need to adapt and expand by adding increased analysis and presence to ensure 24/7 connectivity and capacity to track and handle multiple simultaneous events, and manage and update the unique protocols and interactions with the GNDA stakeholders. It is anticipated that more domestic partners will develop PRND capabilities due to DNDO engagements and outreach initiatives. It is also anticipated that international partners and their detection systems will become more integrated into a cohesive information sharing architecture due to USG initiatives such as the Global Initiative for Combating Nuclear Terrorism (GICNT). This will require the JAC to expand and adapt to ensure continued mission accomplishment.

The JAC will continue to operate and maintain the JACCIS for the effective sharing and use of rad/nuc detection information and intelligence from most detection systems operated by DHS and Federal, state, and local partners. The JACCIS baseline capabilities that will be maintained are:

- A comprehensive, accessible asset database on all deployed GNDA systems.

- Real-time data links to existing networked detection systems communications and situational awareness links to Federal operations and intelligence centers (a total of 48 data systems and 15 communications links).
- Rapid and interactive links to technical reachback via an automated communication and data sharing system, linking first responders to regional and national level technical experts.
- Real-time automated radiation source license data verification and source tracking information to include automating and networking four agreements of state license information under a pilot program with National Regulatory Commission (NRC) and the Organization of Agreement States (OAS).
- Real-time access to intelligence, law enforcement, and detection event information in an integrated and collaborative environment.
- Information, adaptation, transformation, and interoperability services.
- Reachback Event Management support to include: event ticketing and logging, task tracking, complete event and task history accounting, workflow management and collaboration, notification and alerting, technical support knowledgebase and reference material resources.

To maintain the viability and capability of the JACCIS, conservative product improvements will begin in FY 2010. This includes defining and validating updated functional requirements to support the evolution of the JAC concepts of operations and the expanding GNDA and development of upgrades for the JACCIS.

Planned accomplishments in FY2010 are:

- Establish Initial Operating Capability of JACCIS at DHS Data Center
- Improve corporate knowledge and increase the number of technical support requests that can be processed from 12 per day to 20 per day.
- Increase the number of agencies and/or requests for simultaneous support from six to 12.
- Reduce the number of man-hours per alarm adjudication from four to three.
- Increase the number of JAC Memorandums of Understanding (MOUs) with State Fusion Centers by 20% and develop the automated links from these nodes in the COI to JACCIS.
- Complete a review and update of all previous situational reports for the interior layer of the architecture. A planned review cycle of all situational awareness and information documents is required to ensure currency.
- Increase the number of JAC Technical Report disseminations by 20%.

FY 2011 planned accomplishments include:

- Engaging 50 States for DNDO data sharing agreements regarding radiation licensing, and for which data have been recorded.
- Operation of 48 data systems and 15 communication links with existing networked detection systems, communications, and situational awareness links to Federal operations and intelligence centers.

Nuclear Assessment Program: NAP, a DOE weapons laboratory-based capability, was transferred from DOE to DHS per the Homeland Security Act of 2002. It is a unique national capability designed to provide rapid, accurate and actionable assessments of illicit nuclear trafficking events and trends, the credibility of nuclear threat communications, and other nuclear terrorism indicators in order to assist DNDO, DHS and other U.S. Government decision makers. NAP scientists provide technical, operational and behavioral assessments of communicated nuclear threats while giving support and guidance to the U.S. Government efforts to counter nuclear smuggling. Additionally, NAP provides DNDO with significant support via analytical products and threat understanding of the GNDA.

NAP provides rapid technical support to operational elements in the law enforcement, diplomatic and intelligence communities, and reports trends in illicit nuclear trafficking. The NAP program ensures that a sufficient resource pool of subject matter experts to analyze the technical feasibility, operational practicality and behavioral resolve of communicated threats. The highly specialized skills required for this effort necessitate continued training of current and new personnel.

Accomplishments in the Nuclear Assessment Program:

Significant accomplishments in FY 2009 include:

- Maintained the unique national capability designed to provide approximately 140 rapid assessments of nuclear threat communications, illicit nuclear trafficking events, and other nuclear terrorism indicators to operational elements in the law enforcement, diplomatic, and intelligence communities.
- Maintained subject matter experts to analyze the technical feasibility, operational practicality, and behavioral resolve of communicated nuclear threats.
- Continued co-sponsoring the CIA University Nuclear Awareness Course and present the “Nuclear Crimes Overview” at 25 venues to over 600 participants from the International Law Enforcement Academy (ILEA) and CIA University.
- Provided daily reports of all-source information to enhance the situational awareness of the JAC and USG, including ongoing technical, operational and behavioral analysis and evaluations of current cable and open source traffic.
- Developed plan to enhance the archival and retrieval capability of the historical data maintained by the NAP, and in the multi-agency ‘SENTRY’ illicit nuclear trafficking database.

FY 2010 planned accomplishments:

- Maintain the unique national capability designed to provide approximately 120 rapid assessments of nuclear threat communications, illicit nuclear trafficking events, and other nuclear terrorism indicators to operational elements in the law enforcement, diplomatic, and intelligence communities.
- Maintain the Scientific Assessor Pool to meet the needs of state and local agencies in rad/nuc alarm adjudication and resolution.

- Continue co-sponsoring the CIA University Nuclear Awareness Course and present the “Nuclear Crimes Overview” at 25 venues to over 600 participants from the ILEA and CIA University.
- Provide daily reports of all-source information to enhance the situational awareness of the JAC and USG, including ongoing technical, operational, and behavioral analysis and evaluations of current cable and open source traffic.
- Transition the NAP restricted database and library and the SENTRY database into a single community-accessible tool, and collaborate with members of the IC in developing a single repository for all known data on nuclear smuggling.
- Assist DHS Office of Intelligence and Analysis (IA) in producing at least two comprehensive studies regarding illicit trafficking of nuclear material.

FY 2011 planned accomplishments:

- As requested, maintain the unique national capability designed to provide up to 120 rapid assessments of nuclear threat communications, illicit trafficking events and other nuclear terrorism indicators to operational elements in the law enforcement, diplomatic and intelligence communities.
- Continue co-sponsoring the CIA University Nuclear Awareness Course and present the “Nuclear Crimes Overview” at 20 venues to over 400 participants from the ILEA, and CIA University.

Technical Reachback Program: TRB is an essential component of the “U.S. Government Nuclear and Radiological Alarm Technical Adjudication and Resolution Process,” Annex 1 to NSPD-43/HSPD-14 (Domestic Nuclear Detection) and Annex 1 to PDD-41 (U.S. Policy on Improving Nuclear Material Security in Russia and the Other Newly Independent States), 15 May 2007 (C). In coordination with DOE, TRB provides 24/7 technical capability to facilitate radiation detection alarm resolution and effectively transition to response operations. TRB is composed of two elements: an initial reachback component and a national reachback component. The initial reachback component, which currently utilizes spectroscopy expertise at four national labs, supports primary alarm adjudications resulting from domestic detector deployments from state and local PRND programs. DNDO is currently reviewing the restructuring of initial reachback in order to improve efficiency, reduce costs and expand capability. This restructuring is dependent on developing an in-house reachback capability. Presently, initial reachback for DHS Federal agencies is performed by CBP’s Laboratories and Science Services (LSS). In addition to rapidly facilitating radiation detection alarm resolution by providing subject matter expertise to Federal, State, and local detection operators, the TRB national component, which is resident in the DOE weapons laboratories, develops analytic tools and reports to assist, evaluate, and enhance rad/nuc alarm adjudication.

TRB sustains these two reachback components, while enhancing the expertise of the technical personnel who support reachback capability through knowledge of equipment capabilities and limitations, intelligence situational awareness and specific knowledge of end-user CONOPS.

The demands for 24/7 TRB assistance at the Federal, state, local, and international levels are projected to increase continually as more assets are deployed, protocols are established, and awareness of the capability increases. TRB will maintain the Initial Reachback capability in FY 2010. TRB's initial reachback capability will be determined in FY 2010.

Accomplishments in Technical Reachback:

Significant accomplishments in FY 2009 include:

- Sustained operations of the National Reachback capability, supporting the radiation detection community with immediate spectral data analysis and reports for reachback requests from DHS and state and local entities.
- Sustained the existing Initial Reachback capability, while enhancing the expertise of the technical personnel who support scalable capability through knowledge of equipment capabilities and limitations, intelligence situational awareness, and specific knowledge of end-user CONOPS.
- Developed analytical tools and conducted analysis for spectral adjudication, detector performance evaluations, data mining activities, and operational reports.
- Assisted DNDO Training and Exercises in conducting two reachback and spectral analysis courses at the National Laboratories, to provide reachback tools and training to state and local radiation health professionals
- Provided spectral analysis and threat courses to LSS spectroscopists.

FY 2010 planned accomplishments include:

- Continue to analyze technology roadmap studies to keep pace with emerging detection technologies and systems in order to maintain knowledge of deployed systems that result in alarm adjudication requests.
- Continue to design and enhance software and analytical tools to conduct analysis for spectral adjudication, detector performance evaluations, data mining activities, and operational reports. Keep current with existing and emerging data formats to ensure future operability of software and analytical tools.
- Continue to provide reachback tools and training to State and local radiation health professionals, assistance with State and local development of basic reachback capabilities, and help integrating State experts into the national alarm adjudication protocol, as required
- Complete trend and analysis reports for the technical reachback process and operate and enhance DNDO's initial reachback capability through increasing alarm resolution and spectral analysis experience, greater rad/nuc detection situational awareness, improved CONOPS, and increased training and drills/exercises, as required.
- Coordinate with DOE to ensure the appropriate numbers of spectroscopists are available at the National Reachback level. Use the program's training efforts to

replace spectroscopist attrition and to accommodate increased needs due to higher call volumes.

FY 2011 planned accomplishments:

- Support the radiation detection community with rapid spectral data analysis and reports, as requested, up to projected 50 incidents.
- Prepare up to 10 technical reports that inform PRND community on detector performance, detection phenomena trends, triggers that may indicate threat material is present and operational aspects of detector performance.
- Conduct spectroscopy and reachback workshops and seminars for 100 State & local radiation health and rad/nuc detection operations personnel, as requested.

Training and Exercises Program: As national awareness increases and more resources are dedicated by Federal, State, and local governments to the PRND mission, operational programs will expand and create further demand on support services. To meet these needs, DNDO will develop new training, exercise, and other support resources that remain relevant to the full range of operations, technologies, and threats. The Training and Exercises Program develops and implements rad/nuc training courses and exercise support for Federal, State and local law enforcement and public safety professionals to increase PRND operational capabilities. The program's main objectives are to increase operational capabilities at the Federal, State and local levels; develop and exercise protocols and standards for effective use of radiation detection equipment and associated alarm resolution and reporting processes; develop training curricula in support of emerging detection technologies; and foster organic capabilities by assisting Federal, State, and local agencies in institutionalizing training courses in their academies. Additionally, the Training and Exercises Program supports National Security Special Events (NSSE), DHS Special Events and elevated threat conditions, as required.

The Training and Exercises Program is responsible for the development, oversight and administration of the design, delivery, evaluation and continual improvement of the PRND training curriculum and associated exercise support services. This training is directed by DNDO personnel and provided by contracted instructors in the vicinity of the requesting State or local agency utilizing their own equipment. Additionally, the Training and Exercises Program will finalize development of a comprehensive Train-the-Trainer curriculum, including distribution of self-study courseware CDs to a wide spectrum of State and local law enforcement and public safety agencies. This training will significantly increase the number, awareness and capabilities of PRND participants involved with the DNDO mission.

Furthermore, the Training and Exercises Program supports exercise services for rad/nuc detection and prevention in States, Regions and Domains within the Interior layer of the GNDA, as well as providing exercise support and consultation within international rad/nuc prevention missions.

DNDO will also continue close working relationships with FEMA to assist them in developing National planning guidance, including PRND-specific planning scenarios, Target Capability Lists (TCLs), and PRND guidance for Homeland Security grants. Beyond existing partnerships, DNDO will enhance its relationships with other Federal partners inside and outside of DHS (such as TSA, DOE, DoD/National Guard Bureau, NRC, etc.) to leverage their resources, contacts, and expertise and develop more expansive and fully networked PRND communities as we integrate them with State and local agencies at regional and national levels. In response to repeated stakeholder input, DNDO will also reach out to broader CBRNE stakeholders and support stronger coordination and collaboration where mission areas and engagement activities overlap.

Accomplishments in Training and Exercises:

Significant accomplishments in FY 2009 include:

- Directly trained 3,000 persons, and indirectly through Train-the-Trainer instruction, trained an additional 4,000 Federal, state, and local participants in PRND operations.
- Assisted several States (e.g., FL, CA, TX, IL, and WA) in integrating comprehensive PRND capabilities-based training into their State homeland security training infrastructure and expanded this effort to additional states.
- Provided subject matter expertise to FWC and other Southeast region mission partners and continued development of their maritime PRND training programs.
- Evaluated West Coast Maritime Pilot PRND training program and applied lessons learned to next generation maritime training materials.
- Provided training assistance to the Northern Border (Great Lakes) Security Initiative to Ohio in conjunction with the USCG.
- Participated in a National Level Exercise 10 (TOPOFF 5) and two Principal Level Exercises (PLE).
- Provided guidance and oversight for the West Coast Maritime Pilot exercises in Seattle, WA and San Diego, CA.
- Supported National Security Special Events (NSSE), DHS Special Events, and elevated threat conditions, as required.
- Represented DNDO with other USG agencies in designing and executing preventive rad/nuc exercises in conjunction with the U.S. Department of State-led GICNT.

FY 2010 planned accomplishments:

- Directly train 3,500 persons, and indirectly, through Train-the-Trainer instruction, 5,000 additional Federal, State, and local participants in PRND capabilities.
- Develop DVD-ROM and web-based instructional tools for the Personal Radiation Detectors (PRDs) commonly used by law enforcement and first responder agencies.

- Continue to assist additional States (regionally representative) to integrate comprehensive PRND capabilities-based training into their State homeland security training infrastructure and expand this effort.
- Integrate and pilot PRND training curriculum into two to three Federal, State, and local law enforcement and/or fire training academies for current staff and new recruits.
- Provide maritime rad/nuc training detection assistance to additional Great Lakes States participating in the Northern Border Security Initiative.
- Deliver advanced small craft maritime rad/nuc training curriculum to FEMA/NPD.
- Deliver a maritime-specific training module suitable for an integrated port-centric rad/nuc detection plan.
- Conduct workshops, table top exercises, drills and FSEs in support of DNDO regional pilot projects and programs.
- Participate in NLE and PLE, as scheduled.
- Develop and lead two additional regional FSEs within the interior mission area.
- Provide guidance and oversight for discussion-based exercise activities supporting the WCMP project.
- Support NSSEs, DHS Special Events, international rad/nuc detection exercises, e.g. GICNT and elevated threat conditions, as required.

FY 2011 planned accomplishments:

- In partnership with FEMA/NPD, expand DNDO training and exercise support to meet the growing demand from State and local levels.
- Direct and indirectly train 4,500 participants in PRND operations and reduce the cost per trainee by 5%.
- Continue to work with the PRND Training Advisory Committee (TAC)
- Develop targeted PRND training for Next Generation instrumentation and advanced operations.
- Develop and promulgate PRND alternative training products.
- Integrate comprehensive PRND capabilities-based training in two States' homeland security systems.
- Refine PRND Exercise planning guidance and assist States in establishing PRND exercise programs.
- National Federal Exercise Support National Level Exercise
- Provide exercise support to Federal, and State and local exercises, upon request.
- Provide exercise support to International Programs: GICNT, DOD International Counterproliferation Program (ICP) and FBI WMD International Training Program.
- Provide Exercise Support to four operations-based and eight discussion-based exercises within DNDO mission areas.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
National Technical Nuclear Forensics Center
Program Performance Justification**
(Dollars in Thousands)

PPA: National Technical Nuclear Forensics Center

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	17,815
2010 Enacted	-	-	19,700
2011 Current Services	-	-	19,700
2011 Program Change	-	-	2,842
2011 Total Request	-	-	22,542
Total Change 2010 to 2011	-	-	2,842

DNDO requests \$22.542 million for this activity. There is an increase of \$2.842 million above the FY 2010 Enacted Appropriation.

CURRENT SERVICES PROGRAM DESCRIPTION:

In the aftermath of a nuclear detonation in the United States, or following the seizure of a nuclear device or nuclear materials, there will be extreme pressure to rapidly attribute the source, to identify the responsible party, and to ensure that it does not happen again. Nuclear forensics, as one of the three pillars supporting attribution (along with intelligence and law enforcement investigations), is an integral component in ensuring that the U.S. has such a capability. Additionally, nuclear forensics provides essential support to the global nuclear detection architecture by establishing a credible deterrent to risk-averse adversaries who may provide clandestine support (through the offer of nuclear materials or technologies) to those pursuing a nuclear attack against the U.S. or its allies. At the strategic level, nuclear forensics contributes to deterrence and prevention by promoting the concept of “nuclear accountability” for nations that may wittingly or unwittingly enable a terrorist to obtain nuclear devices or materials.

As such, a National Technical Nuclear Forensics (NTNF) capability serves as an integral component and layer of the USG effort to combat nuclear terrorism. Across the whole of the government, this capability provides means for the collection, analysis, and evaluation of rad/nuc materials and devices, and associated evidence, for the purpose of comprehensive and timely forensic analysis to contribute to attribution conclusions. This capability provides the means for the collection, analysis, and evaluation of interdicted material or post-detonation debris. An effective technical forensics capability supporting

intelligence and law enforcement activities will aid the attribution effort and inform national response deliberations as well as help deter a follow-on attack.

DNDO's NTNF mission, as part of this larger governmental effort, has two primary components: 1) to ensure operational readiness as the national "systems integrator" by providing centralized planning, integration, assessment, exercising, and stewardship of USG nuclear forensics capabilities, and 2) to conduct nuclear materials R&D enabling an enduring capability to rapidly, accurately, and credibly identify the origins and history of nuclear and radiological materials. Other departments and agencies, including the Departments of Defense, Energy, and State, the Federal Bureau of Investigation, and the broader Intelligence Community, provide other key capabilities towards this effort.

As the national NTNF "systems integrator", DNDO's NTNF Center (NTNFC) maintains a strong, consistent program to coordinate TNF activities across the USG. This coordination is critical to the success of the mission – ad hoc cooperation in the aftermath of an event will fail to meet intense demands for rapid and effective processes. The NTNFC is meeting its integration responsibility by leading joint planning, reviews, exercises, and assessments of NTNF activities in order to maximize readiness and advance capabilities.

DNDO's pre-detonation nuclear materials R&D program supports its essential mission to serve as the national capability developer for technical nuclear forensics of rad/nuc materials interdicted before a detonation. Within this context, DNDO is striving to advance technical capabilities and at the same time restore an academic "pipeline" to ensure an enduring national capability. This multi-pronged approach seeks to balance the immediate need to deliver improved capabilities, while simultaneously meeting the USG's long-term need to maintain world-leading scientific and technical forensics expertise. The success of the pre-detonation materials program is a crucial contribution to USG efforts to counter the growing threat of nuclear terrorism, which is evidenced by increased instances of global nuclear smuggling and proliferation and the more widespread access to nuclear knowledge since the early 1990s. The program is focused on ensuring and advancing the capability to perform rad/nuc materials analysis, evaluation, and interpretation of all sources of technical information, including isotopic and chemical composition, physical structure, manufacturing processes, and material pathways; developing and sustaining a pre-detonation concept of operations and technical capabilities to handle and analyze rad/nuc materials; and performing research and development to address gaps and shortfalls in the capabilities. This includes the development of Material Reference Standards and validated methodologies for analyzing materials. DNDO is working with the National Laboratories, in addition to international partners, to further progress in this mission area.

At the same time, the NTNFC also leads and stewards USG initiatives to restore and sustain an enduring nuclear forensics expertise pipeline, which is one of the most critical challenges facing the nation's TNF capability. DNDO is leading activities to address pipeline deficiencies on multiple fronts, including fellowships, internships, outreach, university awards, and enhanced multi-year R&D funding. DNDO is increasing the

emphasis it has placed on the nuclear forensics expertise pipeline, which requires continued and enhanced funding across the human capital spectrum from the most junior (e.g., student internships and fellowships, and retaining/recruiting new faculty) to the most senior (e.g., engaging and retaining the laboratory forensic scientists through knowledge capture and a stable and sufficient R&D program). The joint DNDO initiatives in forensics and transformational research academic expertise initiatives have already begun to generate enormous enthusiasm among non-governmental organizations, universities, and the National Laboratories, and are providing a significant “adrenaline boost” to the nuclear expertise pipeline.

Operational Readiness Support -- Integration, Exercises, and Assessment: DNDO’s overarching nuclear forensics role as the national “systems integrator” is focused on ensuring operational readiness in the event that TNF capabilities are called up. This involves providing centralized planning, integration, assessment, exercising, and stewardship of USG nuclear forensics capabilities.

In integrating efforts across interagency partners, DNDO leads the coordination of a comprehensive global TNF capability that weaves together and leverages the six departments and agencies with roles and responsibilities across the TNF mission spectrum, including DHS, DOE, DoD, FBI, DOS, and the Office of the Director of National Intelligence (ODNI). DNDO leads the USG in NTNF planning efforts and achieves full interagency and system integration across departments and labs by producing and maintaining an NTNF Strategic Plan, operational Playbook, and other foundational NTNF community planning documents, annually coordinating an interagency NTNF budget crosscut, and producing and maintaining an NTNF Strategic Communications Plan.

Accomplishments in NTNF Operational Readiness – System Integration and Assessments:

Significant accomplishments in FY 2009 include:

- Completed the interagency NTNF Strategic Plan and the Baseline Capabilities Framework.
- Updated the NTNF Playbook, based on results from two major end-to-end interagency exercises in FY09, Oak Phoenix (post-detonation) and Marble Challenge (pre-detonation device and materials), among other developments..
- Completed the development of an interagency NTNF Strategic Communications Plan, which will inform stakeholders, the media, the public, and adversaries.
- Initiated development of an interagency NTNF Implementation Plan.
- Led interagency assessment and development of Oak Phoenix Exercise “Corrective Action Plans.”
- Conducted two interagency program planning and alignment sessions to coordinate activities and refine the NTNF interagency budget crosscut.

- Led interagency Steering Committee meetings at least every two months, as well as an annual Executive Council meeting, to facilitate issue resolution and document development, coordination, and review.
- Led the development of the first interagency NTNF International Engagement Strategy.
- Initiated the first overarching NTNF Annual Capability Assessment to evaluate how well the NTNF community can accomplish the mission in each phase of the process. Partnered with the FBI and ODNI to plan and lead a major assessment and exercise in the Summer Hard Problem Program (SHARP) entitled “Interdisciplinary Communication of Nuclear Event Attribution: How and Why?” The assessment involved experts from inside and outside government, and examined issues and processes related to time-sensitive decision making and effective formulation and communication of technical conclusions (which may be based on incomplete information) with their associated confidence levels to senior officials
- Facilitated the major National Academy study on nuclear forensics through completion of all information gathering into the final report writing phase.

FY 2010 planned accomplishments include:

- Complete first NTNF Annual Capability Assessment. Summarize as appropriate and submit to the National Preparedness Report.
- Complete the interagency NTNF Implementation Plan.
- Complete annexes to the interagency NTNF Strategic Communications Plan
- Continue to lead the centralized interagency effort to coordinate TNF activities and ensure continued interagency program and resource alignment, including annual refining of the Budget Crosscut.
- Continue to lead joint planning through the interagency Steering Committee and Executive Council.
- Update the NTNF Playbook as necessary to reflect maturing TNF operational processes.
- Complete the National Academy of Sciences (NAS) Study which will provide findings and recommendations to sustain and improve the Nation’s nuclear forensics capabilities.
- In collaboration with State Department and other partners, complete the interagency NTNF International Engagement Strategy.
- Conduct first annual assessment to ensure alignment of interagency budgets with OSTP Nuclear Defense R&D Roadmap gaps and priorities.
- Continue to chair the National Science & Technology Council’s Nuclear Defense R&D Attribution Working Group to evaluate gaps and coordinate interagency long-term R&D priorities.

FY 2011 planned accomplishments include:

- Review the interagency NTNF Implementation Plan and update as necessary.

- Review the interagency NTNF Strategic Communications Plan and update as necessary.
- Continue to lead the centralized interagency effort to coordinate TNF activities and ensure continued interagency program and resource alignment, including annual refining of the Budget Crosscut.
- Continue to lead joint planning through the interagency Steering Committee and Executive Council.
- Update the NTNF Playbook as necessary to reflect maturing TNF operational processes.
- Participate in reviewing the interagency NTNF International Engagement Strategy and updating as necessary.
- Conduct second annual assessment to ensure alignment of interagency budgets with OSTP Roadmap.
- Continue to chair the National Science & Technology Council's Nuclear Defense R&D Attribution Working Group to evaluate gaps and coordinate interagency long-term R&D priorities.
- Update Annual Capability Assessment and submit to the National Preparedness Report.

Exercises: DNDO reviews and assesses NTNF capabilities by conducting exercises and evaluating performance, processes, and protocols. Once an exercise has been conducted, the documented results are appraised and thoroughly examined for areas of needed improvements. Finally, recommended enhancements are proposed to the interagency NTNF Exercise Working Group. All relevant interagency partners participate in the exercise planning and schedule coordination process, including DOJ, DOS, DoD, DHS, ODNI, DOE, and the national laboratories. Exercises assess field sampling techniques, laboratory analysis and coordination, data evaluation and reporting, and strategic communication flow and media output. The major exercises alternate between pre-detonation and post-detonation scenarios involving nuclear and radiological materials.

DNDO will ensure the USG has capability to effectively execute technical nuclear forensics across the full spectrum of missions by executing or ensuring the execution of one large scale end-to-end field exercise every two years and by executing two proficiency tests for pre-detonation materials annually. These exercises and associated training events will focus on the refinement of interactions within the nuclear forensics community. The primary objectives will explore technical and operational shortcomings and interagency gaps, and DNDO and its partners will pursue corrective actions based on After Action Reports and Lessons Learned.

Accomplishments in NTNF Operational Readiness – Exercises:

Significant accomplishments in FY 2009 include:

- Provided planning support and participated in the first large-scale NTNF end-to-end exercise. This DOE-sponsored event, named Oak Phoenix, included players

- from DOE, FBI, DHS, and DoD. The exercise objectives encompassed post-detonation sample collection, lab analysis, and data evaluation.
- Conducted Proficiency Tests in order to validate competencies in TNF pre-detonation materials analysis. These Proficiency Tests are designed to validate a particular TNF analytical capability. End-to-end exercises are designed to demonstrate proficiencies and interfaces for a specific set of TNF analytical capabilities along with data evaluation procedures and information flow.
 - Conducted exercise planning and participated in the DOE and FBI major exercise (Marble Challenge) to assess the flow of information from this scenario into the attribution process and the application of pre-detonation processes. This involved an interdicted pre-detonation device which was recovered by the FBI, rendered-safe by DOE, and analyzed and evaluated by the national laboratories.

FY 2010 planned accomplishments include:

- Lead the NTNF Community through the planning, execution, after action evaluation, and corrective action plan development of NTNF operations as part of National Level Exercise 2010 addressing National Planning Scenario 1 for an Improvised Nuclear Device.
- Review and assess NTNF capabilities by training and exercising all of the processes, targeting the overarching goals of process improvement and technical enhancement.
- Integrate and synchronize exercise events across the TNF community for maximum leverage and benefit to all departments and agencies.
- Conduct two Proficiency Tests in order to validate competencies in nuclear materials analyses. Document the results and capture corrective actions.

FY 2011 planned accomplishments include:

- Update Corrective Actions Plan based on prior year exercises.
- Conduct two Proficiency Tests in order to validate competencies in TNF materials analyses. Document the results and capture corrective actions.
- Integrate and synchronize exercise events across the TNF community for maximum leverage and benefit to all departments and agencies.

Technology Advancement – Pre-Detonation Materials Research & Development (Collections, Analysis, and Evaluations): The pre-detonation rad/nuc materials forensics capability development is the NTNFC's primary R&D mission. This mission is focused on ensuring and advancing the capability to perform rad/nuc materials analysis and evaluation. This involves isotopic and chemical composition and physical structure. This R&D is used to address identified gaps and shortfalls in the capabilities.

In order to improve TNF capabilities for interdicted rad/nuc materials, DNDO will use deployed capabilities in Material and Data Collection to characterize and identify discriminating signatures in pre-detonation special nuclear material (SNM) and

radiological materials from foreign and domestic sources by investigating sample populations and analyzing existing, unique, and available data sets.

The pre-detonation R&D program in Analysis also develops and validates methodologies that will provide quality results with known uncertainties in the exploitation of signatures for nuclear forensics purposes. A Quality Assurance program developed in partnership with, and maintained by the FBI defines the use of standard methods for analyses, articulation of confidence in results, and practice of demonstrated competencies in measurements and evaluations.

Finally, DNDO will enable an enduring national capability for rapid and credible technical conclusions, incorporating all relevant TNF information in support of attribution assessments by developing a Knowledge Management & Assessment System (KMAS). KMAS is comprised of new data evaluation tools designed to assist in formulating technical conclusions based on combining large datasets, disparate data and information, and validated predictions. KMAS enables the nuclear forensics analyst to 1) canvas and link large amounts of disparate data and information, 2) recognize latent patterns and trends in multi-dimensional data, 3) link nuclear material production processes with potential discriminating material signatures throughout the nuclear fuel cycle, and 4) discover potentially new discriminating nuclear forensics signatures. KMAS will enable the nuclear forensics analyst to accelerate the formulation of interpretations that support attribution in a credible and defensible manner.

Funding that was requested under the Systems Development PPA in FY 2010 for the Knowledge Management and Assessment System (KMAS), is being requested under the NTNF PPA in FY 2011. This shift of funding again co-locates all TNF development efforts into a single PPA.

Accomplishments in NTNF Technology Advancement – Materials and Data Collection:

Significant accomplishments in FY 2009 include:

- Examined foreign source materials for radiological dispersal device (RDD) signatures, specifically Am and AmBe sources, to populate a database for comparative signatures as well as have material samples for future analytical methodology development.
- Performed comprehensive forensics material characterization on selected U.S. highly enriched uranium (HEU) samples, based on the high resolution gamma-ray screening results from 2008, to identify potential discriminating signatures in U.S. HEU.
- Collaborated with international partners through the 14th International Technical Working Group on Nuclear Smuggling and Forensics.
- Collaborated with the Canadian government on RDD material signatures and associated databases.

- Partnered with the Department of State (DOS) to support international workshops and related activities under the Preventing Nuclear Smuggling Program (PNSP) and Global Initiative.

FY 2010 planned accomplishments include:

- Continue comprehensive forensics material characterization on selected U.S. HEU samples to identify potential discriminating forensics signatures in U.S. HEU.
- Continue broader international cooperation under the GI and ITWG constructs.
- Develop sealed-source database tools to track foreign and domestic sealed sources coordinated with interdicted material tracking information, in conjunction with DOE Office of Intelligence and FBI.

FY 2011 planned accomplishments include:

- Continue application of validated and accepted methodologies to analyze samples of US-produced SNM and radiological material for the purposes of collecting signature information.
- Continue international cooperation through bi-lateral arrangements (e.g., Canada, UK), intergovernmental cooperation (e.g., IAEA and the Global Initiative), and through scientific and technical collaborations (e.g., ITWG).
- Continue data collection through arrangements with foreign and domestic isotopic sealed source manufacturers and through historical US production documents and archives.

Accomplishments in NTNF Technology Advancement – Analysis:

Significant accomplishments in FY 2009 include:

- In coordination with DOE Office of Nuclear Energy, moved toward rebuilding and restarting a mass separator at Idaho National Laboratory, which will be the only operating mass separator in the U.S. for the production of enriched isotopes for use as standard reference material. Barium is the first material needed for production to support the ^{137}Cs age dating methodology.
- Transitioned quality assurance (QA) oversight and ISO-17025 (certification) maintenance to the FBI. Developed an overall policy for QA needs for the NTNF program.
- Developed a standard validation plan to apply to analysis methodologies in the latter stages of their development. This plan is the basis for validation of specific analyses prior to their availability for operational use.
- Continued development of a standardized, validated methodology for cesium age-dating.

FY 2010 planned accomplishments include:

- For RDD threat material, complete validated methodology for ^{137}Cs age-dating in a CsCl matrix (the first validated methodology for the TNF program) and include the development of a supporting barium reference material.
- Complete standard reference material development which supports ^{137}Cs age-dating method validation.
- Produce priority standard reference materials with the mass separator.
- Begin the development of a comprehensive set of validated analytical methodologies for the forensic analysis of uranium materials. Complete validation of uranium isotopic and chemical composition analyses on specific uranium materials.
- Continue to engage international partners in sharing standard reference materials, best practices and protocols, and participate in an international materials forensics exercise.
- Support the R&D of novel technologies and signature exploitation, which will advance through the hypothesis testing phase and into the initial demonstration phase.

FY 2011 planned accomplishments include:

- Continue development of standard reference materials that will aid in the validation of analytical methodologies to be employed in TNF activities.
- Continue development of validated methodologies to be employed in TNF activities. Specifically, continue development of uranium analysis methodologies
- Support the research and development of novel technologies and signature exploitation, which will advance through the hypothesis testing phase and into the initial demonstration phase.

Accomplishments in NTNF Technology Advancement – Evaluation:

Significant accomplishments in FY 2009 include:

- Initiated plans for controlled uranium production capability to enable development of process-based predictive signatures for HEU.
- Conducted forensic analyses of foreign research reactor spent fuel assemblies to improve modeling in research reactors which will support both special nuclear materials (SNM) and RDD attribution assessments.
- Based on the successful demonstration of group exclusion algorithms, initial feasibility of group inclusion was demonstrated, using the open-source SFCOMPO (spent fuel) database, to mathematically link hypothetical questioned samples with potential signature families.
- Completed a comparative survey of worldwide Plutonium reprocessing plant forensics signatures.
- Facilitated the advancement of international nuclear forensic capabilities -- partnering with the Atomic Weapons Establishment (AWE) in the United

Kingdom, under the existing DOE Joint Working Group collaboration, to identify and determine diagnostic reprocessing signatures in Plutonium material.

FY 2010 planned accomplishments include (funded through the FY 2010 Systems Development request):

- Demonstrate the first production batch of uranium material from controlled bench-scale production capability to enable development of process-based predictive signatures.
- Conduct the first demonstration of KMAS tools for pattern recognition and trend analyses when sifting through substantial banks of nuclear materials data
- Demonstrate the next generation of tools for pattern analysis and methods to articulate whether or not measurements from questioned samples can be included or excluded from specific families of signatures.
- Develop and validate predictive models and techniques to improve understanding of how material production processes throughout the nuclear fuel cycle (from mining raw material to processing, enrichment, and finishing) can affect discriminatory forensics materials signatures (which are created, persist, and, erased throughout the fuel cycle).
- Continue knowledge capture of “hands-on” nuclear and radiological materials production expertise, which is disappearing, to assist in identifying the most potentially discriminating signatures from materials production processes.
- Continue international collaborations on TNF materials signatures analyses and comparative process knowledge with the UK and Canadian governments.

FY 2011 planned accomplishments include:

- Continue to expand the application of KMAS evaluation tools for use in the forensics exercise program and operational case studies.
- Continue to develop and validate predictive models and techniques to improve understanding of how material production processes throughout the nuclear fuel cycle can affect the discriminatory forensics materials signatures.
- Continue knowledge capture of “hands-on” nuclear and radiological materials production expertise, which is disappearing, to assist in identifying the most potentially discriminating signatures from materials production processes.
- Continue development and initial demonstration of temporal analysis tools to reveal trends in US nuclear material production timelines.
- Expand the international collaboration on TNF materials signatures analyses and comparative process knowledge with the UK and Canadian governments.

National Nuclear Forensics Expertise Development Program (“Academic Pipeline”): An enduring nuclear forensics scientific workforce and academic pipeline is critical to ensuring a national capability to provide rapid and accurate technical nuclear forensics analyses and interpretations in support of deterrence and attribution. The nuclear forensics interagency community, academicians, and non-governmental organizations have determined that the Nation’s academic nuclear pipeline capacity has

withered and will not meet the near and long-term needs for qualified nuclear scientists, engineers, and associated faculty for a credible and enduring capability. In its role as steward for the national nuclear forensics capability, DNDO developed plans, and, in FY 2008, launched the first steps to begin immediately restoring the pipeline and to prepare for the FY 2009 academic year. Based on the successful inaugural FY 2008 activities, the FY 2009 and FY 2010 academic pipeline activities will be expanded and enhanced to include undergraduate summer internships, Ph.D. student fellowships, post-doctoral fellowships, faculty awards, and university education awards. This forensics-focused academic strategy is closely integrated with the academic initiatives in DNDO's transformational R&D mission area. These activities are intended to expand at a prudent pace annually, so that results can be measured and evaluated in step with expansion.

Accomplishments in NTNF National Nuclear Forensics Expertise Development Program:

Significant accomplishments in FY 2009 include:

- Continued support to a new cadre of interns at the Seaborg Institute Nuclear Science Summer Internship Programs, which involves the research and education of 10-15 graduate students (and exceptional undergraduates) each at Lawrence Livermore National Laboratory (research) and Los Alamos National Laboratory (technician training).
- Initiated an undergraduate internship program that would fund undergraduate research projects and students.
- Continued a partnership with the American Physical Society (APS) for nuclear forensics outreach programs at undergraduate and top high schools.
- Continued and expanded the Nuclear Forensics Graduate Fellowships for the 2009 – 2010 academic year, funding the initial four students selected in FY 2008 for an additional year and awarding fellowships to six new students.
- Initiated two Post-doctoral Fellowships at the national laboratories in order to bring the best and brightest into the nuclear forensics core team's pipeline.
- Initiated a Nuclear Forensics Education Awards Program (NFEAP) to foster nuclear forensics-related education and research at universities (initially two awards in FY 2009).
- Continued sponsorship of outreach to universities, war colleges, and other institutions.

FY 2010 planned accomplishments include:

- Build upon the success of programs initiated in FY 2008-2009, and expand them in a controlled and measured fashion to achieve a steady-state goal in FY 2012.
- Continue support to a new cadre of interns at the Seaborg Institute Nuclear Science Summer Internship Programs.
- Continue support for undergraduate internship programs through two technical nuclear forensics summer programs: nuclear forensics summer internships at the national laboratories and a nuclear forensics summer school at a university (partnered with a National Laboratory).

- Increase graduate fellowships to 14 in FY 2010 (from 10 in FY 2009).
- Expand NFEAP to include seven awards in FY 2010 (from two in FY 2009).
- Initiate Junior Faculty Award Program to address the academic faculty deficiencies in the pipeline (initially two awards).
- Expand the nuclear forensics outreach program.

FY 2011 planned accomplishments include:

- Perform a census of the TNF workforce to collect information on experience and expertise available to the TNF community.
- Perform an analysis of the census of the TNF workforce and produce a report identifying any trends or gaps.
- Perform an assessment of the impact of NTNF requirements on the TNF workforce, as requirements and technologies change, and produce a report.
- Continue support to a new cadre of interns at the Seaborg Institute Nuclear Science Summer Internship Programs.
- Continue support for undergraduate internship programs through two technical nuclear forensics summer programs: nuclear forensics summer internships at the national laboratories and a nuclear forensics summer school at a university (partnered with a National Laboratory).
- Maintain the Nuclear Forensics Graduate Fellowship Program at 14 fellows in FY2011.
- Expand Post-doctoral Fellowships to six in FY 2011 (from five in FY 2010)
- Expand NFEAP to include eight awards in FY2011 (from seven in FY 2010).
- Continue to fund Junior Faculty Awards at universities with three awards in FY 2011 (from two in FY 2010).

IV. Program Justification Changes

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Systems Engineering and Architecture
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Systems Engineering and Architecture
PPA: Systems Engineering and Architecture
Program Increase: Positions 0.0, FTE 0.0, Dollars \$13385.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	25,448
Program Increase							-	-	13,385
Total Request	-	-	25,302	-	-	25,448	-	-	38,833

Justification:

An increase is realized in Systems Engineering and Architecture as a result of an ongoing shift in DNDO priorities to developing a wider range of potential solutions to enduring vulnerabilities in other Mission Pathways identified in the GNDA. This reallocation of resources will result in increased funding for systems studies to identify efficient methods to address those vulnerabilities.

Directive / Mandate:

In the National Security Presidential Directive (NSPD) 43 / Homeland Security Presidential Directive (HSPD) 14, DNDO is mandated to “[s]erve as the primary entity in the United States Government to further develop, acquire, and support the deployment of an enhanced domestic system to detect and report on attempts to import, possess, store, transport, develop or use an unauthorized nuclear device, fissile material or radiological material in the United States.”

Impact on Performance

This effort to address potential solutions to enduring vulnerabilities in additional areas within the GNDA aligns with the Secretary’s priority of Preventing Terrorism and Enhancing Security.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Systems development
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Systems Development
PPA: Systems development
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-30,967.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	100,000
Program Decrease							-	-	(30,967)
Total Request	-	-	92,598	-	-	100,000	-	-	69,033

Justification:

Systems Development funding is decreased due to a programmatic reassessment focusing on solutions beyond passive scanning of rad/nuc materials in containerized cargo. DNOD's internal planning and the need to address vulnerabilities in other pathways, prioritizes the funding requirements for DNDO that results in a decrease in Systems Development for FY 2011. As potential solutions are realized the requirements and necessary resources for Systems Development in future years may be required.

The shift to other PPAs results in the need to reduce the development of Post Advanced Technology Demonstrations(ATDs) Post-ATDs are program actives resulting from the discover of new material or techniques initiated by Transformational Research Directorate that have graduated from the stage. In prior years DNDO has managed 3 Post-ATD Development efforts at various stages of in their development lifecycle in a fiscal year. The focus in FY 2011 is on the need to address vulnerabilities in other pathways, which results in a decrease in requirements for program management and systems engineering support integral to systems development.

Directive / Mandate:

In the National Security Presidential Directive (NSPD) 43 / Homeland Security Presidential Directive (HSPD) 14, DNDO is mandated to “[s]erve as the primary entity in the United States Government to further develop, acquire, and support the deployment of an enhanced domestic system to detect and report on attempts to import, possess, store, transport, develop or use an unauthorized nuclear device, fissile material or radiological material in the United States.”

Impact on Performance

This funding reduction in FY 2011 will not impact the Department's performance goals. The focus on addressing vulnerabilities in mission areas beyond containerized cargo will enable DNDO to find solution to improve rad/nuc detection capabilities. The reductions have been targeted to minimize the impact on overall performance goals.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Assessments
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: Assessments
PPA: Assessments
Program Increase: Positions 0.0, FTE 0.0, Dollars \$11,049.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	32,416
Program Increase							-	-	11,049
Total Request	-	-	34,519	-	-	32,416	-	-	43,465

Justification:

An increase for Assessments is needed as DNDO conducts a broader range of test and evaluation campaigns, grows the SNM detection campaigns, and continues to implement the GRaDER Program for the testing of rad/nuc detection technologies. The GRaDER and PRND Directed test campaigns are expected to result in tangible improvements to COTS Products available in the marketplace.

The mission areas are impacted by a wide range of tests and evaluations and the various pilot programs managed under Assessments. For instance, while a couple of pilot programs (recently completed West Coast Pilot Program and the on-going tests at the Rail Test Center) expands the maritime rad/nuc detection capabilities for international, Federal, State, local, tribal and private stakeholders, another type of testing will enable the technical community to bridge the gap between “bench-top testing” performed by developers and operational field-testing.

Directive / Mandate:

In the National Security Presidential Directive (NSPD) 43 / Homeland Security Presidential Directive (HSPD) 14, DNDO is mandated to “[s]erve as the primary entity in the United States Government to further develop, acquire, and support the deployment of an enhanced domestic system to detect and report on attempts to import, possess, store, transport, develop or use an unauthorized nuclear device, fissile material or radiological material in the United States.”

Impact on Performance

This increase will enable the Domestic Nuclear Detection Office to more effectively meet the Secretary's priority of Preventing Terrorism and Enhancing Security

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Operations support
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Operations
PPA: Operations support
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-4,481.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	38,436
Program Decrease							-	-	(4,481)
Total Request	-	-	40,133	-	-	38,436	-	-	33,955

Justification:

In a fiscally constrained environment, a programmatic reassessment focusing on engineering and architectural solutions results in a prioritization of DNDO projects. The identification of efficiencies to meeting objectives, such as the Technical Reachback Program, results in lower funding requirements for the Operations PPA.

Directive / Mandate:

In the National Security Presidential Directive (NSPD) 43 / Homeland Security Presidential Directive (HSPD) 14, DNDO is mandated to “[s]erve as the primary entity in the United States Government to further develop, acquire, and support the deployment of an enhanced domestic system to detect and report on attempts to import, possess, store, transport, develop or use an unauthorized nuclear device, fissile material or radiological material in the United States.”

Impact on Performance

This funding reduction will not impact the Department’s performance goals and aligns with the Secretary’s priority of Preventing Terrorism and Enhancing Security. The focus on addressing vulnerabilities in mission areas beyond containerized cargo will enable DNDO to find solution to improve rad/nuc detection capabilities. The reductions have been targeted to minimize the impact on overall performance goals.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
National Technical Nuclear Forensics Center
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Forensics
PPA: National Technical Nuclear Forensics Center
Program Increase: Positions 0.0, FTE 0.0, Dollars \$2,842.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	19,700
Program Increase							-	-	2,842
Total Request	-	-	-	-	-	19,700	-	-	22,542

Justification:

Forensics is increased in a realignment of the resources that had been targeted for the development of the Knowledge Management and Assessment System (KMAS) Tool that was previously funded in the Systems Development PPA.

Directive / Mandate:

In the National Security Presidential Directive (NSPD) 43 / Homeland Security Presidential Directive (HSPD) 14, DNDO is mandated to “[s]erve as the primary entity in the United States Government to further develop, acquire, and support the deployment of an enhanced domestic system to detect and report on attempts to import, possess, store, transport, develop or use an unauthorized nuclear device, fissile material or radiological material in the United States.”

Impact on Performance

This realignment will allow DNDO to continue to fund the Knowledge Management and Assessment System, a program that will further the Secretary’s priority of Preventing Terrorism and Enhancing Security.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

For necessary expenses for radiological and nuclear research, development, testing, evaluation and operations, [\$324,537,000] \$207,828,000 to remain available until September 30, 2013. (*Department of Homeland Security Appropriations Act, [2010] 2011*)

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	-	-	314,352
FY 2010 Enacted	-	-	324,537
Adjustments-to-Base	-	-	-
Increases	-	-	-
Decreases	-	-	-
Transfer of Transformational R&D to S&T Directorate	-	-	(108,537)
Total Decreases	-	-	(108,537)
Total, Adjustments-to-Base	-	-	(108,537)
FY 2011 Current Services	-	-	216,000
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Systems Engineering and Architecture	-	-	13,385
Systems Development	-	-	(30,967)
Assessments	-	-	11,049
Operations	-	-	(4,481)
Forensics	-	-	2,842
Total, Program Changes	-	-	(8,172)
FY 2011 Request	-	-	207,828
FY 2010 to FY 2011 Total Change	-	-	(116,709)

C. Summary of Requirements

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	-	-	314,352
FY 2010 Enacted	-	-	324,537
Transfers	-	-	-
Total, Transfers	-	-	(108,537)
Adjustments-to-Base	-	-	-
FY 2011 Current Services	-	-	216,000
Program Changes	-	-	-
Total, Program Changes	-	-	(8,172)
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	-	-	207,828
Total Change 2010 to 2011	-	-	(116,709)

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Systems Engineering and Architecture	-	-	25,448	-	-	38,833	-	-	13,385	-	-	13,385	-	-	-
Systems development	-	-	100,000	-	-	69,033	-	-	(30,967)	-	-	(30,967)	-	-	-
Transformational research and development	-	-	108,537	-	-	-	-	-	(108,537)	-	-	-	-	-	(108,537)
Assessments	-	-	32,416	-	-	43,465	-	-	11,049	-	-	11,049	-	-	-
Operations support	-	-	38,436	-	-	33,955	-	-	(4,481)	-	-	(4,481)	-	-	-
National Technical Nuclear Forensics Center	-	-	19,700	-	-	22,542	-	-	2,842	-	-	2,842	-	-	-
Subtotal, Estimates Program Project Activity	-	-	324,537	-	-	207,828	-	-	(116,709)	-	-	(8,172)	-	-	(108,537)
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	-	-	324,537	-	-	207,828	-	-	(116,709)	-	-	(8,172)	-	-	(108,537)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	2,000	2,538	2,122	(416)
25.1 Advisory and assistance services	42,993	26,864	23,793	(3,071)
25.2 Other services	9,000	-	-	-
25.3 Purchases from Gov't accts.	196,363	95,033	57,985	(37,048)
25.4 O&M of facilities	1,000	8,682	10,300	1,618
25.5 R&D of contracts	-	170,644	103,880	(66,764)
25.7 Operation and maintenance of equipment	-	390	550	160
31.0 Equipment	31,998	-	-	-
41.0 Grants/Subsidies/Contributions	30,998	20,386	9,198	(11,188)
Total, Object Class	314,352	324,537	207,828	(116,709)
Unobligated Balance, start of year	(51,233)	(60,081)	-	60,081
Unobligated Balance, end of year	60,081	60,081	-	(60,081)
Permanent Recession	-	(8,000)	-	8,000
Total, Adjustments	8,848	(8,000)	-	8,000
Total, Direct Obligations	323,200	316,537	207,828	(108,709)

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Systems Engineering and Architecture
Funding Schedule
(Dollars in Thousands)**

PPA: Systems Engineering and Architecture	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	209	405	500	95
25.1 Advisory and assistance services	5,591	3,311	5,843	2,532
25.3 Purchases from Gov't accts.	19,502	7,500	10,770	3,270
25.5 R&D of contracts	-	14,232	21,720	7,488
Total, Object Class	25,302	25,448	38,833	13,385
Total, Systems Engineering and Architecture	25,302	25,448	38,833	13,385
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Systems Engineering and Architecture: DNDO Systems Engineering and Architecture programs are (1) developing an enhanced global nuclear detection architecture, including both domestic and international components, and (2) maintaining and supporting a disciplined systems engineering approach throughout DNDO. The global architecture is comprised of several key elements: a multi-layered structure of radiological/nuclear detection systems, deployed both domestically and overseas; a well-defined and carefully coordinated network of interrelationships among them; and a set of systems engineering-based principles and guidelines governing the architecture's design and evolution over time. From its initial stand-up, DNDO recognized the importance and need for the application of a systems engineering approach in achieving an integrated and balanced global nuclear detection system solution. Effective implementation and operation of detection systems begins with the design and development of reliable and maintainable systems, built to rigorous, established performance standards and specifications, while assessing total system performance and total ownership costs within the family of radiological/nuclear detection systems.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	209	405	500	95

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request of 0.500 million is an increase of 0.095 million above the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	5,591	3,311	5,843	2,532

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request is \$5.843 million which is an increase of \$2.532 million above the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	19,502	7,500	10,770	3,270

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request of \$10.770 million is an increase of \$3.270 million above the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	-	14,232	21,720	7,488

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2011 request is \$21.720 million which is an increase of \$7.488 million above the FY 2010 Enacted Appropriation. DNDO develops time-phased strategies and plans for improving the probability of detecting and interdicting rad/nuc attacks. Studies and analyses are performed to characterize GNDA gaps, identify options, evaluate the advantages and disadvantages of alternative solutions, and formulate time-phased plans for reducing risk. The time-phased aspect of the plans is important because it allows for the integration of current and near-term technologies and approaches, as well as longer-term options that may draw upon technologies that are currently in the R&D phase that may not be available for implementation for several years.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Systems development
Funding Schedule
(Dollars in Thousands)**

PPA: Systems development	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	252	450	270	(180)
25.1 Advisory and assistance services	4,296	3,000	2,500	(500)
25.2 Other services	2,682	-	-	-
25.3 Purchases from Gov't accts.	53,370	5,150	3,015	(2,135)
25.5 R&D of contracts	-	90,000	62,000	(28,000)
31.0 Equipment	31,998	-	-	-
41.0 Grants/Subsidies/Contributions	-	1,400	1,248	(152)
Total, Object Class	92,598	100,000	69,033	(30,967)
Total, Systems development	92,598	100,000	69,033	(30,967)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Systems Development: DNDO Systems Development and Acquisition (SDA) programs serve as the radiological/nuclear detection systems research, development and acquisition component within DNDO. SDA is responsible for the engineering development, production, and all developmental logistics products associated with the current and next generation of nuclear detection systems. Product lines include radiation portal monitors (and associated materials development and facilitation), radiography (which includes non-intrusive inspection, or NII, systems such as the CAARS), human-portable systems, and integration programs to address the needs of our operational customers (Federal, State, local, and tribal authorities).

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	252	450	270	(180)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request of \$0.270 million is a decrease of \$0.180 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	4,296	3,000	2,500	(500)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request is \$2.500 million which is a decrease of \$0.500 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	2,682	-	-	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request is \$0 which is not a change from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	53,370	5,150	3,015	(2,135)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request of \$3.015 million is a decrease of \$2.135 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	-	90,000	62,000	(28,000)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2011 request is \$62.0 million which is a decrease of \$28.0 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	31,998	-	-	-

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request is \$0 which is not a change from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	1,400	1,248	(152)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request is \$1.248 million which is a decrease of \$0.152 million from the FY 2010 Enacted Appropriation.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Transformational research and development
Funding Schedule
(Dollars in Thousands)**

PPA: Transformational research and development	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	435	423	-	(423)
25.1 Advisory and assistance services	24,990	6,396	-	(6,396)
25.2 Other services	6,318	-	-	-
25.3 Purchases from Gov't accts.	71,242	37,298	-	(37,298)
25.4 O&M of facilities	1,000	-	-	-
25.5 R&D of contracts	-	50,676	-	(50,676)
41.0 Grants/Subsidies/Contributions	-	13,744	-	(13,744)
Total, Object Class	103,985	108,537	-	(108,537)
Total, Transformational research and development	103,985	108,537	-	(108,537)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The FY 2011 Request includes the transfer of the DNDO Transformational Research and Development program to the Science and Technology Directorate. DNDO's transformational and applied R&D program seeks to identify, explore, develop, and demonstrate scientific and technological approaches that meet one or more of the following criteria: address gaps in the GNDA, dramatically improve the performance of nuclear detection components and systems, or significantly reduce the operational burden of rad/nuc detection. Dramatic technological improvements may include improvements in system or component effectiveness and performance characteristics; reduction in cost of acquisition or maintenance; or reduction of operational burden by users in the field. R&D investments are made based on competitive awards, with investigators in all sectors – government laboratories, academia, and private industry – encouraged to participate. This program takes advantage of the qualities and respective advantages of all three sectors to develop products, and teaming among them is encouraged. Transformational and applied R&D is carried out within three major programs: Exploratory Research (ER), Academic Research Initiative (ARI), and Advanced Technology Demonstrations (ATD).

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	435	423	-	(423)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request is \$0 which is a decrease of \$0.423 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	24,990	6,396	-	(6,396)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request is \$0 which is a decrease of \$6.396 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	6,318	-	-	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request is \$0 which is no change from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	71,242	37,298	-	(37,298)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request is \$0 which is a decrease of \$37.298 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	1,000	-	-	-

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request is \$0 which is no change from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	-	50,676	-	(50,676)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2011 request is \$0 which is a decrease of \$50.676 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	13,744	-	(13,744)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request is \$0 which is no change from the FY 2010 Enacted Appropriation.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Assessments
Funding Schedule
(Dollars in Thousands)**

PPA: Assessments	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	120	545	655	110
25.1 Advisory and assistance services	3,509	5,670	7,800	2,130
25.3 Purchases from Gov't accts.	30,890	1,026	2,500	1,474
25.4 O&M of facilities	-	8,682	10,300	1,618
25.5 R&D of contracts	-	10,861	13,710	2,849
25.7 Operation and maintenance of equipment	-	390	550	160
41.0 Grants/Subsidies/Contributions	-	5,242	7,950	2,708
Total, Object Class	34,519	32,416	43,465	11,049
Total, Assessments	34,519	32,416	43,465	11,049
Full Time Equivalents	-	-	-	-

PPA Mission Statement

Assessments: The DNDO research, development, and acquisition process is anchored by an independent assessment of DNDO-mission related programs as they are developed, deployed, and implemented, as well as a continual assessment of the global nuclear detection and reporting architecture, through a variety of means. Assessments programs include test and evaluation (T&E) campaigns to characterize technologies and systems, execution of pilots with operational agencies to evaluate concepts of operation, red teaming assessments to deepen our understanding of adversary capabilities, and net assessments to identify the effectiveness of the planned and deployed global nuclear detection and reporting architecture.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	120	545	655	110

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request of \$0.655 million is an increase of \$0.110 million above the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	3,509	5,670	7,800	2,130

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request is \$7.800 million which is an increase of \$2.13 million above the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	30,890	1,026	2,500	1,474

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request of \$2.50 million is an increase of \$1.474 million above the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.4 Operation and maintenance of facilities	-	8,682	10,300	1,618

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2011 request is \$10.30 million which is an increase of \$1.618 million above the FY 2010 Enacted Appropriation. The testing of detection systems against special nuclear materials (SNM) in significant quantities and in realistic configurations is a key to assessment of rad/nuc systems. This type of testing requires highly specialized and secure testing facilities such as the Nevada Test Site (NTS). This facility is unique in the U.S. Government, enabling the technical community to bridge the gap between “bench-top testing” performed by developers and operational field-testing.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	-	10,861	13,710	2,849

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2011 request is \$13.710 million which is an increase of \$2.849 million above the FY 2010 Enacted Appropriation. The DNDO research, development, and acquisition process is anchored by the assessment of DNDO-mission related programs as they are developed, deployed, and implemented.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	-	390	550	160

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request is \$0.550 million which is an increase of \$0.160 million above the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	-	5,242	7,950	2,708

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request is \$7.950 million which is an increase of \$2.708 million above the FY 2010 Enacted Appropriation.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
Operations support
Funding Schedule
(Dollars in Thousands)**

PPA: Operations support	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	281	510	455	(55)
25.1 Advisory and assistance services	2,330	7,382	6,500	(882)
25.3 Purchases from Gov't accts.	6,524	26,684	24,000	(2,684)
25.5 R&D of contracts	-	3,860	3,000	(860)
41.0 Grants/Subsidies/Contributions	30,998	-	-	-
Total, Object Class	40,133	38,436	33,955	(4,481)
Total, Operations support	40,133	38,436	33,955	(4,481)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

DNDO Operations Support is responsible for supporting the situational awareness of the nuclear and radiological landscape and the global nuclear detection architecture, while directly facilitating the technical adjudication of rad/nuc incidents. The capability of the JAC is the 24/7 DNDO information hub, and the essence of DNDO's rapid information reporting. Additionally, Operations Support develops training, exercises, information sharing capabilities, and analytical tools necessary to create a fully integrated operating environment to be used by Federal, State, tribal, and local law enforcement agencies, as well as the larger intelligence and counterterrorism communities.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	281	510	455	(55)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request of \$0.455 million is a decrease of \$0.055 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	2,330	7,382	6,500	(882)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other

units within the Federal Government. The FY 2011 request is \$6.50 million which is a decrease of \$0.882 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	6,524	26,684	24,000	(2,684)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request of \$24.0 million is a decrease of \$2.684 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	-	3,860	3,000	(860)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2011 request is \$3.0 million which is a decrease of \$0.860 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
41.0 Grants/Subsidies/Contributions	30,998	-	-	-

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2011 request is \$0 which is no change from the FY 2010 Enacted Appropriation.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations:
National Technical Nuclear Forensics Center
Funding Schedule
(Dollars in Thousands)**

PPA: National Technical Nuclear Forensics Center	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel	703	205	242	37
25.1 Advisory and assistance services	2,277	1,105	1,150	45
25.3 Purchases from Gov't accts.	14,835	17,375	17,700	325
25.5 R&D of contracts	-	1,015	3,450	2,435
Total, Object Class	17,815	19,700	22,542	2,842
Total, National Technical Nuclear Forensics Center	17,815	19,700	22,542	2,842
Full Time Equivalents	-	-	-	-

PPA Mission Statement

DNDO's National Technical Nuclear Forensics (NTNF) capability serves as an integral component and layer of the United States Government (USG) effort to combat nuclear terrorism. This capability provides means for the collection, analysis, and evaluation of rad/nuc materials and associated evidence for the purpose of comprehensive and timely forensic analysis to contribute to attribution conclusions. An effective forensics and attribution capability will inform national response deliberations and can also help to prevent a follow-on attack. At the strategic level, nuclear forensics can contribute to deterrence and prevention by promoting the concept of "nuclear accountability" for nations that may wittingly or unwittingly enable a terrorist to obtain nuclear devices or materials.

A strong, consistent effort to coordinate NTNF activities across the USG is critical to the success of the mission. DNDO's NTNF Center (NTNFC) has the leading role to ensure this coordinated success as national systems integrator for USG nuclear forensics. NTNFC is fulfilling its mandate to steward the national-level planning, integration, advancement, and readiness of an enduring national nuclear forensics capability. DNDO has begun planning and leading the interagency effort to address pipeline issues on multiple fronts, including fellowships, internships, scholarships, outreach, university awards, and enhanced multi-year R&D funding. DNDO's joint forensics and transformational research academic expertise initiatives have generated enormous enthusiasm among non-governmental organizations, universities, and national labs. These new initiatives are providing a significant adrenaline boost to the nuclear pipeline.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
21.0 Travel and transportation of persons	703	205	242	37

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2011 request of \$0.242 million is an increase of \$0.037 million above the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and Assistance Services	2,277	1,105	1,150	45

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request is \$1.150 million which is an increase of \$0.045 million from the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	14,835	17,375	17,700	325

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request of \$17.700 million which is an increase of \$0.325 million above the FY 2010 Enacted Appropriation.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.5 Research and development of contracts	-	1,015	3,450	2,435

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request of \$3.450 million is an increase of \$2.435 million above the FY 2010 Enacted Appropriation. The pre-detonation rad/nuc materials forensics capability development is the NTNFC's primary R&D mission. Forensics is focused on ensuring and advancing the capability to perform rad/nuc materials analysis and evaluation. This involves isotopic and chemical composition and physical structure. This R&D is used to address identified gaps and shortfalls in the capabilities.

I. Changes in Full Time Equivalent

Not Applicable.

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition:



Fiscal Year 2011
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Systems Acquisition:

I. Appropriation Overview

A – Mission Statement for Systems Acquisition:

The Domestic Nuclear Detection Office (DNDO) acquires rad/nuc detection equipment for other DHS components, including the United States Coast Guard (USCG), multiple offices within Customs and Border Protection (CBP), and the Transportation Security Administration (TSA). In addition, the DNDO acquisition program provides robust systems engineering and test and evaluation programs in support of fielded systems. DNDO aims to ensure that all deployed systems are evaluated prior to any acquisition decisions, so that the performance capabilities of these systems were well understood. All deployed technologies are accompanied by the appropriate training, exercises, and alarm response protocols. This ensures that systems are operated properly, and alarms are adjudicated according to established protocols.

B – Budget Activities:

Radiation Portal Monitor Program: The United States border is the first layer within the Global Nuclear Detection Architecture (GNDA) where the United States has full control over detection and interdiction. As such, considerable effort and resources have been placed at this layer to provide comprehensive rad/nuc detection capabilities, particularly at ports of entry (POEs). After 9/11, considerable concern was raised about the possibility that terrorists could use the enormous volume of cargo flowing into the United States as a pathway for bringing in nuclear material or a nuclear weapon. By far, the largest mode for incoming cargo is maritime shipping containers, with approximately 11 million containers coming into the country every year, so it was with a sense of urgency that this pathway was addressed. The Radiation Portal Monitor (RPM) Program (RPMP) was established by CBP, and later transferred to DNDO, with the objectives of deploying monitoring equipment at the United States POEs and providing the scientific and technical expertise to design, acquire, deploy, operate, and maintain these systems. Additionally, in the Safety and Accountability for Every Port Act of 2006 (SAFE Port Act of 2006), Congress mandated that all containers coming in through the top 22 ports, by volume, be scanned for radiation. DNDO has acquired and deployed commercial-off-the-shelf (COTS) first-generation polyvinyl toluene (PVT) RPMs in accordance with the GNDA and CBP priorities, as defined in a joint DNDO/CBP deployment strategy. A key consideration in rad/nuc detection is the ability to effectively detect threats without impeding the flow of legitimate trade and travel across the border. CBP currently scans cargo entering at the Nation's POEs using PVT-based RPMs that can detect radiation, but cannot distinguish between threat materials and naturally-occurring radioactive material (NORM), such as kitty litter and ceramic tiles. To address this limitation, DNDO has been developing next generation technology to automatically detect and distinguish threats from non-threat materials, reducing unwanted referrals while also reducing false alarms. Narrowing down alarms to just those for dangerous materials is especially

important for POEs that have a high volume of containers, or those that see a high rate of NORM traffic.

Human Portable Radiation Detection Systems: DNDO has multiple programs that provide a variety of law enforcement and first responders with effective human portable systems for rad/nuc detection: the Handheld program, the Human Portable Wide Area Search (HPWAS) program, and the Human Portable Tripwire (HPT) program. The Handheld program is developing technologies that detect the source of radiation and reliably discriminate between normally-occurring radioactive materials, background, and potential threats. The HPT program is intended for small area searches. These systems, used for detecting, localizing, and identifying rad/nuc materials, must be relatively light, easy to use, and of sufficiently low cost to support widespread deployment. Conversely, wide area searches are purposeful searches performed to find rad/nuc material in larger areas, such as a large aircraft or in passenger, baggage, and cargo conveyance pathways. HPWAS detection systems range in size, maximizing detection capability, and may include an isotope identification function. Until HPWAS, HPT, and Handheld program systems are available for acquisition, currently available systems will be procured to most effectively support user needs

C – Budget Request Summary:

The Domestic Nuclear Detection Office requests \$61.0 million in FY 2011 funding for the Systems Acquisition appropriation, an increase of \$41.0 million from the FY 2010 Enacted Appropriation

II. Summary of FY 2011 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security Domestic Nuclear Detection Office Systems Acquisition:

Summary of FY 2011 Budget Estimates by Program Project Activity

FY 2011 Request
(Dollars in Thousands)

Program Project Activity	FY 2009		FY 2010		FY 2011		Increase(+) or Decrease(-) for FY 2011					
	Actuals		Enacted		Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Radiation Portal Monitor Program	-	93,021	-	-	-	8,000	-	8,000	-	8,000	-	-
Securing the Cities	-	14,906	-	20,000	-	-	-	(20,000)	-	(20,000)	-	-
Human Portable Radiation Detection Systems Program	-	4,615	-	-	-	53,000	-	53,000	-	53,000	-	-
Subtotal, Enacted Appropriations and Budget Estimates	-	112,542	-	20,000	-	61,000	-	41,000	-	41,000	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	-	112,542	-	20,000	-	61,000	-	41,000	-	41,000	-	-

III. Current Services Program Description by PPA

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition:
Radiation Portal Monitor Program
Program Performance Justification
(Dollars in Thousands)**

PPA: Radiation Portal Monitor Program

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
2009 Actuals	-	-	93,021
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Program Change	-	-	8,000
2011 Total Request	-	-	8,000
Total Change 2010 to 2011	-	-	8,000

DNDO requests \$8.0 million in FY 2011 for this activity. This is an increase of \$8.0 million above FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

Radiation Portal Monitoring Program:

Since the program's inception there has been a focus on the acquisition of solutions to provide detection capability to scan containerized cargo. Early in the history of DHS roughly 2% of cargo containers were being scanned for rad/nuc material. Considering the volume of containerized cargo that is received by the United States, this pathway received significant attention. As the deployment of portal monitors progressed to the nations seaports and land board crossings approached the 100% screening objectives, attention to the vulnerabilities in other rad/nuc paths began to receive attention.

Presently, the priorities are to develop a wider range of solutions to enduring vulnerabilities in other Mission Pathways as identified in the GNDA. Vulnerabilities in the aviation pathway and maritime pathways beyond the major ports of entry are of critical importance. These solutions must be adaptive to the varying operating conditions, and environments that are present in these pathways often require a mix of fixed and mobile solutions.

Funding supports the Joint Acquisition Strategies to provide Rad/Nuc Detection equipment to the U.S. Coast Guard, the Transportation Security Administration as well as several elements of the Customs and Border Protection (CBP) in accordance with operational priorities.

In order to address technological and operations needs at the ports of entry, DNDO initiated the Advanced Spectroscopic Portal (ASP) program in 2006, building on previous work within CBP and the DHS Science and Technology Directorate. In addition to the ability to identify and distinguish rad/nuc threats from non-threats, ASP systems have higher sensitivity to some rad/nuc threat materials than PVT systems. Thus, the introduction of ASP systems will reduce the probability of missing a threat as well reducing the number of unnecessary referrals and false positives. ASP units are now being developed with two separate vendors.

Both systems will complete several rounds of performance testing and field validation at POEs. Following these performance tests, both systems will complete independent operational testing and evaluation conducted by the DHS Science and Technology Directorate's Operational Testing Authority. Test data will be analyzed and provided in support of the Secretary's Certification decision

Advanced Spectroscopic Portal (ASP) Certification continues to be delayed to ensure that all operational concerns have been resolved. The Field Validation testing is a critical component of the Operational Test Plan and must be completed in order for a final operational configuration to be arrived at. Once this happens the rest of the schedule can be estimated. Until then DHS cannot provide a timeframe with certainty when the system will be ready for S1 certification.

In FY 2010 no funding was requested for the RPMP, reflecting unobligated carryover balances from prior appropriations and delays in final Secretarial certification of ASP systems. DNDO will continue to acquire non-ASP radiological/nuclear detection equipment as it draws down unobligated balances remaining for this activity.

Accomplishments in the Radiation Portal Monitor Program:

Significant accomplishments in FY 2009 include (all accomplishments listed below will be met with FY 2009 funding, though some activities may be completed in FY 2010):

- Procured and deployed RPMs to continue to progress towards the DHS goal of 100% screening of containerized cargo and personal vehicles entering the U.S. at designated POEs.
- Procured and deployed RPMs to continue to work toward the goal of scanning 100% of cargo at seaports. Continued the deployment of PVT RPMs to a large number of smaller capacity seaports that account for a smaller volume of cargo being screened.

FY 2010 planned accomplishments include:

- Completion of the multi-year Northern Border Initiative using prior year funding. To achieve this goal, DNDO deployed PVT systems to over 100 northern land border crossings to ensure 100% screening of cargo and personal conveyances.
- Contingent upon the decisions coming out of the Helium-3 IPT, DNDO plans to continue deploying up to approximately 180 PVT systems already procured.

FY 2011 planned accomplishments include:

- Pending successful ASP certification, procure and deploy a mix of PVT and ASP systems based on the approved deployment strategy. Initial ASP deployments will focus on the locations where improved performance is most needed, across land border crossings and seaports.
- Procure and deploy RPMs in support of CBP's American Recovery and Reinvestment Act (ARRA) funding for new and expanded POEs. Activity will maintain the achieved 100% screening for cargo and personal conveyances at land border POEs.
- As the GNDA and operational priorities dictate, remaining funding will provide for deployments of RPMs to other pathways. Potential sites include air cargo terminals; passenger preclearance sites; international rail border crossings; mail facilities; on-dock rail terminals, or other cargo conveyances such as roll-on/roll-off, break-bulk, and bulk.

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition:
Securing the Cities
Program Performance Justification
(Dollars in Thousands)**

PPA: Securing the Cities

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	14,906
2010 Enacted	-	-	20,000
2011 Current Services	-	-	20,000
2011 Program Change	-	-	(20,000)
2011 Total Request	-	-	-
Total Change 2010 to 2011	-	-	(20,000)

DNDO does not request any funding for this activity due to the completion of the three-year pilot project in New York City.

CURRENT SERVICES PROGRAM DESCRIPTION:

Securing the Cities Initiative: The objective of the Securing the Cities (STC) initiative was to prevent a rad/nuc attack on high-risk metropolitan areas by enhancing regional capabilities to detect and interdict radiological threats. A total of \$20.0 million was appropriated for STC in FY 2010; however, no funding is requested in FY 2011.

Significant accomplishments for FY 2009 include:

- Implemented the means to calibrate and maintain equipment purchased through the STC initiative.
- Deployed over 4,000 Personal Radiation Detectors, 50 Radioisotope Identifiers (with communication equipment & computers), 100 backpack-based detectors, and 30 mobile detection systems. Deployment includes delivery of uniformly configured equipment and associated training on the use of the equipment.

FY 2010 planned accomplishments include:

- Continue to support the STC pilot's goal of facilitating the implementation of an architecture for the interdiction of illicit radiological materials within the New York City region.

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition:
Human Portable Radiation Detection Systems Program
Program Performance Justification**
(Dollars in Thousands)

PPA: Human Portable Radiation Detection Systems Program

	Perm. Pos	FTE	Amount
2009 Actuals	-	-	4,615
2010 Enacted	-	-	-
2011 Current Services	-	-	-
2011 Program Change	-	-	53,000
2011 Total Request	-	-	53,000
Total Change 2010 to 2011	-	-	53,000

DNDO requests \$53.0 million in FY 2011 for this activity. This is an increase of \$53.0 million above FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

Human Portable Systems: DNDO procures multiple types of equipment that provide DHS Components and in some cases law enforcement and first responders with effective human portable systems for rad/nuc detection and identification. These solutions are used for detecting, localizing, and identifying rad/nuc materials and are relatively light, easy to use, and of sufficiently low cost to support widespread deployment. The objectives of this program are an effort to expand the range of activities and address different types of conveyances and cargo to be scanned for rad/nuc material.

Visible Intermodal Prevention and Response Teams: An increased layer of preventive rad/nuc detection (PRND) capabilities poised at domestic transportation modes provides both a deterrent to terrorist activities and increases the odds of detecting rad/nuc material in transit to a target. The coupling of PRND capabilities with the Transportation Security Administration's (TSA's) Visible Intermodal Prevention and Response (VIPR) team operations provides greater detection capability, rapid response, and additional PRND trained and equipped law enforcement personnel in support of the Global Nuclear Detection Architecture (GNDA). Through the delivery of tailored training and suites of PRND equipment, TSA VIPR teams have become another Federal asset that may be called upon during times of heightened rad/nuc alert.

A fully equipped VIPR team consists of a supervisor and six team members who are equipped with seven Personal Radiation Detectors (PRDs), four handheld Radio-Isotope Identification Devices (RIIDs), and four Radiation Detection Backpacks per team, including spares.

Accomplishments in Systems Acquisition for VIPR teams:

Accomplishments in FY 2009 include:

- Procured and deployed rad/nuc detection equipment and operational spares for eight national VIPR teams.
- Procured and deployed rad/nuc detection equipment and spares for the TSA training facility to allow TSA to develop and conduct its PRND “train the trainer” program.

FY 2010 planned accomplishments:

- No funding was requested nor provided for this activity in FY 2010.

FY 2011 planned accomplishments:

- Complete outfitting an additional 7 VIPR Teams.

Mobile Detection Deployment Program: In FY 2007, DNDO began the procurement of a rapidly-deployable national nuclear detection capability, a suite of mobile (man-portable) and re-locatable (vehicle-mounted) detection systems and accompanying communications and information infrastructure deployable to varying locations based upon heightened threat and security alert levels. This Federal asset will increase limited existing capacity for domestic deployments of radiation detection equipment to support special events, allow for wide-area detection in response to non-specific threats, and serve as a force multiplier for DOE Radiological Assistance Program (RAP) teams and Nuclear Incident Response Teams (NIRT). The system package will be Federally-owned and maintained, but operated in conjunction with State and local agencies.

The initial MDDP asset (delivered and fielded in FY 2008) was modeled after a RAP response system; a vehicle (SUV/truck/van) towing a trailer loaded with enhanced radiation detection instruments and command and control capabilities. The MDDP consists of: six large response systems, and three small response systems. The large response system will consist of a truck and trailer configured to safely transport radiation detection and radionuclide identification instruments sufficient to field a 40-member team. The system will also include certain command and control-related equipment and support equipment. The small system is identical to the large system, but configured instead to field a 20-member team. Location of systems will be rolled out according to concentration and priority of identified National Security Special Events (NSSE) and other Special Events.

Accomplishments in Systems Acquisition for the MDDP:

Accomplishments in FY 2009 include:

- Deployed existing MDDP unit and developed a strategy to expand the program to the necessary operational capability.
- Completed build-out of two additional MDDP units and initial deployment of one of the additional systems.

FY 2010 planned accomplishments:

- No funding was requested nor provided for this activity in FY 2010.

FY 2011 planned accomplishments:

- No funding is requested for this activity in FY 2011.

CBP Office of Field Operations: DNDO coordinates with CBP-OFO for the deployment of handheld systems for Customs Officers to scan cargo and privately owned vehicles (POV) at CBP ports of entry. Current or next-generation systems will be procured based upon availability.

Accomplishments in Systems Acquisition for the CBP-OFO:

Accomplishments in FY 2009 include:

- Procured and deployed 349 handheld systems.

FY 2010 planned accomplishments:

- No funding was requested nor provided for this activity in FY 2010.

FY 2011 planned accomplishments:

- Procure 350 (RIIDS) Handheld detection systems.

Phased Deployment Implementation Plan: The Phased Deployment Implementation Plan (PDIP) is a joint effort between DNDO, the CBP Office of Intelligence and Operations Coordination (OIOC), the CBP Office of Border Patrol (OBP), and Laboratory and Scientific Services (LSS) to upgrade the effectiveness of detecting illicit radioactive material being smuggled into the United States across our borders with Canada and Mexico without passing through official POEs.

A PDIP Working Group has been formed with the user (CBP-OBP) that considered all Border Patrol sectors (including HQ in Washington, DC) and developed a prioritized

schedule for system deployment. Handheld detection units and personal radiation detectors (PRDs) will be procured for CBP-OBP in FY 2011 based upon the deployment schedule. Current or next-generation systems will be procured based upon availability.

Accomplishments in Systems Acquisition for the PDIP:

Accomplishments in FY 2009 include:

- Procured and deployed 169 handheld systems.

FY 2010 planned accomplishments:

- No funding was requested nor provided for this activity in FY 2010.

FY 2011 planned accomplishments:

- Procure 6669 PRDs for CBP-OBP Intelligent Personal Radiation Locators (IRPL), if available to equip approximately 18 OBP sectors. (If IPRL units are not available, current-generation PRDs will be procured.)
- Procure 269 (RIIDS) Handheld detection systems for CBP-OBP.

United States Coast Guard Joint Acquisition Strategy: DNDO and the USCG have collaborated on a Joint Acquisition Strategy (JAS) to leverage resources to assist the USCG with achieving the DHS Secretary's goal that all USCG boarding/inspection teams have radiation detection equipment by the end of 2007. The JAS identifies the USCG radiation detection requirements and delineates responsibilities for developing and providing equipment to meet this requirement. In addition, the JAS provides for recapitalization of currently deployed systems, and for the acquisition of advanced detection systems. In FY 2008, DNDO supported: 1) the recapitalization of 10% of the USCG Personal Radiation Detectors (PRDs); 2) the acquisition of the additional HPRDS Communications Packages (HCPs) required to complete the USCG's requirement for wireless spectra transmission of gamma spectra for alarm adjudication; and 3) the provision of an advanced radiation detection capability for deployable, specialized forces. Beginning in FY 2009, DNDO budgeted funds for efforts to recapitalize existing USCG equipment at a rate of approximately 20% annually as well as to acquire, in low rates, newly developed rad/nuc detection systems. As newly developed equipment becomes available, cost benefit analyses will be conducted to determine if this next-generation radiation equipment should be used for recapitalizing instead of being replaced with older systems.

Acquisition of advanced rad/nuc detection systems (such as boat-mounted systems) will be required to enhance the radiation detection capability of the USCG, which presently is predominantly comprised of human portable systems. As currently envisioned, boat-mounted systems do not require the boarding of a vessel to screen it for rad/nuc devices. The Boat-Mounted Sensor Program description in the Research, Development, and

Operations (RD&O) appropriation provides further information about these advanced detection systems.

Accomplishments in Systems Acquisition for the USCG JAS:

Significant accomplishments in FY 2009 include:

- Began recapitalization of existing USCG equipment at an approximate rate of 20%.
- Procured rad/nuc detection systems to satisfy USCG requirements, including 788 PRDs, 118 RIIDs and 33 backpack systems. Purchased an additional 4 High Purity Germanium (HPGe) RIIDs to support future standup of an additional deployable, specialized unit.
- Utilizing multi-year funds appropriated in FY 2009 during FY 2010, deliver an additional 788 PRDs and 118 RIIDs to satisfy USCG requirements.

FY 2010 planned accomplishments:

- No funding was requested nor provided for this activity in FY 2010.

FY 2011 planned accomplishments:

- Procure rad/nuc detection systems to satisfy USCG requirements. Current planning figures for the USCG JAS in FY 2011 include approximately 800 PRDs (current and next generation, as available), 100 RIIDs and 30 backpack systems depending on the availability of He3 gas or other approved neutron detectors for the backpacks. Following the Dolphin on-the-water testing (see the RD&O appropriation justification for additional details), DNDO will begin the initial purchase of boat-mounted detection equipment for the USCG.

West Coast Maritime Pilot Program: This pilot program supports the DHS Small Vessel Security Strategy specific objective to develop a robust layered defense by expanding and enhancing maritime radiological/nuclear detection capabilities for international, Federal, State, local, tribal, and private stakeholders. Consequently, the focus of this effort is to evaluate the effectiveness of a limited-phased deployment of commercially available and Government-Off-The-Shelf rad/nuc detection capabilities against the small vessel threat in the Puget Sound and San Diego regions and gather lessons learned to support a wider deployment of maritime capabilities to other priority U.S. ports.

Accomplishments in Systems Acquisition for the West Coast Maritime Pilot Program:

Significant accomplishments in FY 2009 include:

- Procured 224 PRDs, 12RIIDs, and one HPGe RIID backpacks for Federal, State, and local entities participating in the West Coast Maritime pilot in Puget Sound and San Diego.
- Acquired and deployed (on a limited basis) boat-mounted detectors for the Federal, State and local stakeholders that will develop and evaluate CONOPs, protocols and alarm adjudication.
- Utilizing prior year funding, procure PRDs, RIIDs, and backpacks for Federal, State, and local entities participating in the West Coast Maritime pilot, in Puget Sound and San Diego, to augment pilot program capabilities (to be accomplished in FY 2010).

FY 2010 planned accomplishments:

- No funding was requested nor provided for this activity in FY 2010.

FY 2011 planned accomplishments:

- This activity will be finalizing its efforts and no further acquisition of equipment is planned. No further accomplishments; pilot efforts are to be completed in December 2010.

IV. Program Justification Changes

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition:
Radiation Portal Monitor Program
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Radiation Portal Monitoring Program
PPA: Radiation Portal Monitor Program
Program Increase: Positions 0.0, FTE 0.0, Dollars \$8,000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	8,000
Total Request	-	-	93,021	-	-	0-	-	-	8,000

Description:

The request for the Radiation Portal Monitor Program is an \$8.0 million increase above FY 2010.

Justification:

The request includes an increase of \$8 million to support the objective of the RPM Program. This program procures equipment to meet the needs of end-users, in accordance with the Global Nuclear Detection Architecture. Resumption of this funding will support the vital acquisition of a full range of equipment and technology. The Radiation Portal Monitor Program (RPMP) was established with the objectives of deploying RPMs at the United States POEs and providing the scientific and technical expertise to design, acquire, deploy, operate, and maintain these systems. Due to Congress' mandate that all containers coming in through the top 22 ports, by volume, be scanned for radiation by the end of 2007, this program must have the resources necessary to acquire and deploy commercial-off-the-shelf (COTS) first-generation polyvinyl toluene (PVT) RPMs. As DHS completes the "closure" of the Northern and Southwest Borders with rad/nuc detection capabilities, DNDO continues to address the vulnerabilities in other locations and pathways. This focus evaluates the capabilities and benefits of mobile detection solutions to better able to meet the mission requirements than the deployment of fixed solutions.

Directive / Mandate: In the National Security Presidential Directive (NSPD) 43 / Homeland Security Presidential Directive (HSPD) 14, DNDO is mandated to “[s]erve as the primary entity in the United States Government to further develop, acquire, and support the deployment of an enhanced domestic system to detect and report on attempts to import, possess, store, transport, develop or use an unauthorized nuclear device, fissile material or radiological material in the United States.”

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition:
Securing the Cities
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Securing the Cities
PPA: Securing the Cities,
Program Decrease: Positions 0.0, FTE 0.0, Dollars \$-20,000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	20,000
Program Decrease							-	-	(20,000)
Total Request	-	-	14,906	-	-	0	-	-	0

Description:

No additional funds are requested for the Securing the Cities Initiative.

Justification:

The Securing the Cities Initiative is a pilot program that was designed to explore the feasibility of implementing architecture for coordinated detection and interdiction of illicit radiological materials within the New York City metropolitan region. This program deployed over 4,000 Personal Radiation Detectors and provided associated training to end users such as the NYPD. An assessment measuring the program’s effectiveness is planned for 2011. With the conclusion of the pilot program, New York City (NYC) regional stakeholders can continue to fund additional capabilities through other DHS programs such as the Homeland Security Grant Program if the initiative is shown to enhance capabilities and reduce the risk from a rad/nuc attack.

Directive / Mandate:

In the National Security Presidential Directive (NSPD) 43 / Homeland Security Presidential Directive (HSPD) 14, DNDO is mandated to “[s]erve as the primary entity in the United States Government to further develop, acquire, and support the deployment of an enhanced domestic system to detect and report on attempts to import, possess, store, transport, develop or use an unauthorized nuclear device, fissile material or radiological material in the United States.”

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition:
Human Portable Radiation Detection Systems Program
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: Human Portable Radiation Detection Systems
PPA: Human Portable Radiation Detection Systems Program
Program Increase: Positions 0.0, FTE 0.0, Dollars \$53,000.0

Funding Profile

	FY 2009 Actuals			FY 2010 Enacted			FY 2011 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	20,000
Program Increase							-	-	53,000
Total Request	-	-	5,912	-	-	0	-	-	73,000

Description:

The request for the Human Portable Radiation Detection Systems Program is a \$53.0 million increase above FY 2010.

Justification:

The Human Portable Radiation Detection Program has several programs under which it executes the critical responsibility of procuring multiple types of equipment that provide law enforcement and first responders with effective equipment for rad/nuc detection and identification. Collaborating with other DHS components and Federal agencies, DNDO has led the development of the Visible Intermodal Prevention and Response (VIPR) Teams, the Mobile Detection Deployment Program, and the USCG Joint Acquisition Strategy (JAS). The USCG JAS leverages resources to assist the USCG with achieving the DHS Secretary's goal that all USCG boarding/inspection teams have radiation detection equipment by the end of 2007, and the Phased Deployment Implementation Plan (PDIP), an effort that has developed a prioritized schedule for system deployment. Handheld detection units and PRDs will be procured for CBP-OBP in FY 2011 based upon the deployment schedule. Current or next-generation systems will be procured based upon availability. These efforts, and associated resources, are vital to the continuity and effectiveness of the mission of deploying rad/nuc detection equipment.

Directive / Mandate:

In the National Security Presidential Directive (NSPD) 43 / Homeland Security Presidential Directive (HSPD) 14, DNDO is mandated to "[s]erve as the primary entity in the United States Government to further develop, acquire, and support the deployment of an enhanced domestic system to detect and report on attempts to import, possess, store,

transport, develop or use an unauthorized nuclear device, fissile material or radiological material in the United States.”

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

For expenses for the Domestic Nuclear Detection Office acquisition and deployment of detection systems in accordance with the global nuclear detection architecture, [~~\$20,000,000~~] *\$61,000,000*, to remain available until September 30, 2013. (*Department of Homeland Security Appropriations Act, [2010] 2011*)

B. FY 2010 to 2011 Budget Change

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition:
FY2010 to FY2011 Budget Change
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2009 Actuals	-	-	112,542
FY 2010 Enacted	-	-	20,000
Adjustments-to-Base	-	-	-
FY 2011 Current Services	-	-	20,000
Program Changes	-	-	-
Increases/(Decreases)	-	-	-
Radiation Portal Monitoring Program	-	-	8,000
Human Portable Radiation Detection Systems	-	-	53,000
Securing the Cities	-	-	(20,000)
Total, Program Changes	-	-	41,000
FY 2011 Request	-	-	61,000
FY 2010 to FY 2011 Total Change	-	-	41,000

C. Summary of Requirements

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition:
Summary of Requirements
(Dollars in Thousands)**

	FY 2011		
	Pos.	FTE	Amount
FY 2009 Actuals	-	-	112,542
FY 2010 Enacted	-	-	20,000
Transfers	-	-	-
Total, Transfers	-	-	-
Adjustments-to-Base	-	-	-
FY 2011 Current Services	-	-	20,000
Program Changes	-	-	-
Total, Program Changes	-	-	41,000
Other Adjustments	-	-	-
Total, Other Adjustments	-	-	-
FY 2011 Total Request	-	-	61,000
Total Change 2010 to 2011	-	-	41,000

Program Project Activity	FY 2010			FY 2011			Increase(+) or Decrease(-) for FY 2011								
	Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Radiation Portal Monitor Program	-	-	-	-	-	8,000	-	-	8,000	-	-	8,000	-	-	-
Securing the Cities	-	-	20,000	-	-	-	-	-	(20,000)	-	-	(20,000)	-	-	-
Human Portable Radiation Detection Systems Program	-	-	-	-	-	53,000	-	-	53,000	-	-	53,000	-	-	-
Subtotal, Estimates Program Project Activity	-	-	20,000	-	-	61,000	-	-	41,000	-	-	41,000	-	-	-
Adjustments from Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Estimates Program Project Activity:	-	-	20,000	-	-	61,000	-	-	41,000	-	-	41,000	-	-	-

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition:
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	4,570	1,500	-	(1,500)
25.2 Other services	1,000	-	-	-
25.3 Purchases from Gov't accts.	46,430	62,184	-	(62,184)
25.7 Operation and maintenance of equipment	27,500	-	-	-
31.0 Equipment	33,042	51,984	61,000	9,016
Total, Object Class	112,542	115,668	61,000	(54,668)
Unobligated Balance, start of year	(54,719)	(95,668)	-	95,668
Unobligated Balance, end of year	95,668	-	-	-
Total, Adjustments	40,949	(95,668)	-	95,668
Total, Direct Obligations	153,491	20,000	61,000	41,000

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications (object class summary)

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition:
Radiation Portal Monitor Program
Funding Schedule
(Dollars in Thousands)**

PPA: Radiation Portal Monitor Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	2,631	-	-	-
25.3 Purchases from Gov't accts.	43,269	49,684	-	(49,684)
25.7 Operation and maintenance of equipment	15,950	-	-	-
31.0 Equipment	31,171	31,984	8,000	(23,984)
Total, Object Class	93,021	81,668	8,000	(73,668)
Total, Radiation Portal Monitor Program	93,021	81,668	8,000	(73,668)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Radiation Portal Monitor (RPM) Program was established at CBP in January 2002 with the objective of deploying RPMs at ports of entry (POEs) and providing the scientific and technical expertise to design, acquire, deploy, operate and maintain these systems. In 2005, DNDO assumed the responsibility of designing, acquiring and deploying the systems, and it has established a Ports of Entry program to work with CBP to bring the latest technology to bear on the threat of illicit nuclear materials crossing our borders. A detector based on Polyvinyl-Toluene technology (PVT) has been developed and is being deployed. These efforts are part of the multi-layered strategy to keep U.S. ports safe and secure by interdicting rad/nuc materials in five transport vectors: international mail and express consignment courier facilities (ECCFs), seaport terminals, international airports, land crossings, and rail crossings.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	2,631	-	-	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request is \$0 which is no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	43,269	49,684	-	(49,684)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request is \$0 which is a decrease of \$49.684 million from the expected expenditure of carryover funds during FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	15,950	-	-	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request is \$0 which is no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	31,171	31,984	8,000	(23,984)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2011 request is \$8.0 million which is a decrease of \$23.984 million from the expected expenditure of carryover funds during FY 2010.

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition:
Securing the Cities
Funding Schedule
(Dollars in Thousands)**

PPA: Securing the Cities	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	1,243	1,500	-	(1,500)
25.2 Other services	1,000	-	-	-
25.3 Purchases from Gov't accts.	1,043	6,588	-	(6,588)
25.7 Operation and maintenance of equipment	11,550	-	-	-
31.0 Equipment	70	20,000	-	(20,000)
Total, Object Class	14,906	28,088	-	(28,088)
Total, Securing the Cities	14,906	28,088	-	(28,088)
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The Securing the Cities Initiative was set up to design and implement detection architecture to prevent illicit radiological materials from being used as a weapon within a major urban area. This initial engagement of this initiative concluded at the end of FY2009. The initial STC engagement was conducted with the New York City (NYC) region, defined as within 45 miles of the NYC city limits. STC stakeholders include NYC (especially the New York Police Department), the counties proximate to NYC, the State of New York, the State of New Jersey, the State of Connecticut, the Port Authority of New York/New Jersey (PANY/NJ) and the Metropolitan Transportation Authority (MTA).

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	1,243	1,500	-	(1,500)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request is \$0 which is a decrease of \$1.500 million from the expected expenditure of carryover funds in FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	1,000	-	-	-

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.2 Other services	1,000	-	-	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2011 request is \$0 which is no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	1,043	6,588	-	(6,588)

Purchases from government accounts include costs for purchases from other Federal government agencies or accounts that are not otherwise classified. Funds will be used for installation, integration, and deployment activities at ports of entry and other domestic locations, as outlined in the current services section. The FY 2011 request is \$0 which is a decrease of \$6.588 million from the planned expenditure of carryover funds during FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.7 Operation and maintenance of equipment	11,550	-	-	-

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2011 request is \$0 which is no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	70	20,000	-	(20,000)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Equipment purchased will be deployed to ports of entry and other domestic locations, as outlined in the current services section. The FY 2011 request is \$0 which is a decrease of \$20.0 million from the planned expenditures of carryover funding during FY 2010.

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition:
Human Portable Radiation Detection Systems Program
Funding Schedule
(Dollars in Thousands)**

PPA: Human Portable Radiation Detection Systems Program	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	696	-	-	-
25.3 Purchases from Gov't accts.	2,118	5,912	-	(5,912)
31.0 Equipment	1,801	-	53,000	53,000
Total, Object Class	4,615	5,912	53,000	47,088
Total, Human Portable Radiation Detection Systems Program	4,615	5,912	53,000	47,088
Full Time Equivalents	-	-	-	-

PPA Mission Statement

The HPRDS program is structured to provide a wide variety of law enforcement and first-responder services with the capability to detect and identify terrorist nuclear explosive devices or radiation dispersal devices (RDDs). HPRDS provides key radiation detection, threat source identification, and notification capabilities to aid law enforcement officers in mitigating terrorist nuclear threats in both POE and non-POE locations. HPRDS fills existing shortfalls through either commercial-off-the-shelf (COTS) solutions tailored to existing concepts of operations (CONOPs) and operating environments or, in instance where COTS systems are demonstrated to be inadequate, the development of cutting edge technology, which are used as primary detection tools by Customs officers, Border Patrol agents, and USCG personnel. State and local law enforcement agencies and first responders use this equipment for queued search and secondary identification operations.

Summary Justification and Explanation of Changes

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.1 Advisory and assistance services	696	-	-	-

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2011 request is \$0 which is no change from FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
25.3 Purchases of goods & svcs. from Gov't accounts	2,118	5,912	-	(5,912)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2011 request is \$0 which is a decrease of \$5.912 million from the expected expenditure of carryover funds during FY 2010.

	FY 2009 Actuals	FY 2010 Enacted	FY 2011 Request	FY 2010 to FY 2011 Change
31.0 Equipment	1,801	-	53,000	53,000

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Equipment purchased will be deployed to ports of entry and other domestic locations, as outlined in the current services section. The FY 2011 request is \$53.000 million which is an increase of \$53.000 million above FY 2010.

I. Changes in Full Time Equivalent

Not Applicable.

J. FY 2011 Schedule of Working Capital Fund by Program/ Project Activity

Not Applicable

Department of Homeland Security

Domestic Nuclear Detection Office



Fiscal Year 2011
Strategic Context
Congressional Justification

FY 2011 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

DOMESTIC NUCLEAR DETECTION OFFICE

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A. Mission and Description of Component

Key to the success of the Department of Homeland Security is improving the Department's ability to mitigate risks across the entire threat spectrum. In recognition of the catastrophic risk posed by the use of a nuclear weapon within the United States, the Domestic Nuclear Detection Office (DNDO) was chartered on April 15, 2005, through National Security Presidential Directive 43/Homeland Security Presidential Directive 14 (NSPD-43/HSPD-14). DNDO's primary focus is on the radiological/nuclear (rad/nuc) threat posed by non-state actors. DNDO is the lead Federal agency to develop a Global Nuclear Detection Architecture (GNDA) that will contribute to a robust, layered rad/nuc defense of the United States; enhance and coordinate rad/nuc detection efforts across Federal agencies, as well as state and local governments; coordinate rad/nuc detection technology research and development (R&D) programs; lead the effort to develop advanced nuclear forensics capabilities for pre-detonation materials and coordinating the USG National Technical Nuclear Forensics (NTNF) capability; and build the core technical expertise and conduct the R&D needed to support rad/nuc response and recovery efforts.

The DNDO has the primary responsibility within the Department of Homeland Security to integrate efforts across the Department in combating the threat of nuclear attack. The DNDO is the lead Departmental representative for all interagency activities to coordinate the U.S. Government (USG) nuclear defense posture. To meet this diverse mission, the DNDO is jointly-staffed with representatives from the Department of Defense, Department of Energy, Department of Justice's Federal Bureau of Investigation, the State Department, and the Nuclear Regulatory Commission, as well as DHS components, including the Science and Technology Directorate, U.S. Customs and Border Protection, the Transportation Security Administration, and the U.S. Coast Guard. DNDO leverages an interagency approach to improve nuclear detection capabilities across the mission space as defined in the GNDA.

DNDO's principal offices are in the Washington, D.C. area with program functions being performed around the Nation at National laboratories and other Federal facilities.

B. Major Programs and Key Strategic Goals

DNDO's primary focus is on activities such as developing the GNDA, enhancing deterrence, enabling detection of rad/nuc material, testing and evaluating rad/nuc detection systems, and determining the source of nuclear material through nuclear forensics. Specifically, DNDO supports, assists, and encourages R&D that has a nexus to rad/nuc detection. Further, DNDO tests and evaluates these new technologies as well as commercial-off-the-shelf detection systems. DNDO also provides training, exercises, situational awareness, and other operational support activities to the user communities.

The FY 2011 President's Budget transfers DNDO's Transformational Research and Development program from DNDO to the DHS Science and Technology Directorate.

The goals of DNDO are:

- Goal 1: Lead USG efforts to further develop an enhanced GNDA through a layered defense-in-depth approach to the detection and interdiction of illicit rad/nuc materials.

- Goal 2: Strengthen the GNDA beyond U.S. borders through strategic collaboration with international partners.
- Goal 3: Strengthen the Nation's ability to detect and report rad/nuc threats at the border in conjunction with Federal, state, and local partners.
- Goal 4: Strengthen interior preventive detection and reporting capabilities to reduce the risk to large cities and critical infrastructure in coordination with state and local partners.
- Goal 5: Strengthen NTNF capabilities to enable deterrence and attribution of rad/nuc threats and attacks.
- Goal 6: Strengthen the foundation and infrastructure of the GNDA through continuously improving operational support and situational awareness.
- Goal 7: Continuously improve DNDO personnel, processes, and Enterprise Architecture, while optimizing the organizational structure.

C. Resources Requested and Performance Impact

In FY 2011, the President's Budget Request includes \$305.820 million for the activities of DNDO. Requested funds provide for the continuation of DNDO's support of the Department's strategic mission and goals by serving as the primary organization within the Department to integrate efforts across DHS in combating the threat of nuclear attack, including all test and evaluation of nuclear detection systems. Specific emphasis has been placed on systems studies, as well as testing and piloting existing technologies in new operational environments, while less funding has been requested for the development of technical solutions. This emphasis reflects a shift in DNDO priorities to developing a wider range of potential solutions to enduring vulnerabilities in the global nuclear detection architecture.

To ensure that all technologies developed through these activities are fully characterized prior to deployment, the President's Budget Request includes \$43.465 million to develop and maintain a robust assessment capability, including developmental and operational test and evaluation, pilots, red teaming, and net assessments. As part of this effort, DNDO will conduct high-fidelity test campaigns in FY 2011 to assess the effectiveness of currently available handheld, mobile, and vehicle-based detection systems.

The Budget also requests \$61.0 million in new funding for acquisition of equipment for FY 2011.

D. Performance Highlights, Resources, and Alignment to Strategic Goals

For each mission-oriented program, the program performance goal, total dollars and FTE, and Government Performance and Results Act (GPRA) performance plan measure/s are shown below. Additional measures are also displayed, as appropriate, to provide a more thorough context of expected performance results.

Performance Budget Highlights by Program

DNDO
2011 OMB

Program: Domestic Nuclear Detection						
Performance Goal: Improve the Nations capability to detect and report unauthorized attempts to import, possess, store, develop, or transport radiological or nuclear material for use against the Nation.						
Secretary's Priority: Preventing Terrorism and Enhancing Security; Mission Support						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
\$ Thousands	\$317,392	\$615,968	\$484,750	\$514,191	\$383,037	\$305,820
FTE	14	112	121	130	130	122

Performance Plan Measures

Measure: Percent of containerized cargo conveyances that pass through fixed radiation portal monitors at sea ports of entry.						
Description of Measure: This measure gauges the amount of containerized cargo scanned by the radiation detection equipment deployed to the Nation's sea ports of entry. It is expressed in terms of the percent that is scanned by fixed radiation portal monitors of the total number of containerized cargo conveyances entering the nation through sea ports of entry. The percent of cargo scanned is affected by the number of fixed radiation portal monitors deployed at all possible sea points of entry.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	FOUO	FOUO	FOUO
Actual:	None	None	None	FOUO	N/A	N/A

Measure: Percent of cargo conveyances that pass through radiation detection systems upon entering the nation via land border and international rail ports of entry.						
Description of Measure: This measure gauges the amount of cargo conveyances scanned by radiation detection equipment deployed to the Nation's land border crossing ports of entry and international rail ports of entry. It is expressed in terms of the percent that is scanned by fixed, mobile, and hand-held radiation detection equipment of the total number of cargo conveyances entering the nation through land ports of entry and by international rail. The percent of cargo scanned is affected by the amount of radiation detection equipment deployed at all possible such points of entry.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	FOUO	FOUO	FOUO
Actual:	None	None	None	FOUO	N/A	N/A

Measure: Percent of international air cargo that passes through radiation detection systems before entering the nation.						
Description of Measure: This measure gauges the amount of international air cargo scanned by radiation detection equipment deployed to the Nation's international cargo aviation airports (U.S. air ports of entry). It is expressed in terms of the percent of the total amount of air cargo entering the Nation through the aviation pathway that is scanned using fixed and non-fixed radiation detection equipment. The percent of cargo scanned is affected by the amount of fixed and non-						

fixed radiation detection equipment deployed at all possible air ports of entry.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	None	FOUO	FOUO	FOUO
Actual:	None	None	None	FOUO	N/A	N/A

Measure: Number of graduate fellowships, university education awards, and academic research awards in nuclear forensics and detection-related specialties.						
Description of Measure: This measure gauges the total number of graduate student fellowships in nuclear forensics-related specialties, education awards to universities to support nuclear forensics-related academic programs, and academic research grants awarded in nuclear detection and forensics per fiscal year. Recipients for the Nuclear Forensics Graduate Fellowship Program, the Nuclear Forensics Education Award Program, and the Academic Research Initiative are selected from a competitive, merit-based application process. These awards ensure that appropriately trained technical personnel will continue to be available, maintaining and enhancing the Nation's "nuclear expertise pipeline" and increasing the deterrent effect of a robust nuclear defense capability. The Domestic Nuclear Detection Office (DNDO) oversees all three of these initiatives.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	4	15	28	29
Actual:	None	None	13	18	N/A	N/A

Measure: Number of states, urban areas, and other vulnerable urban localities with a basic Preventive Radiological and Nuclear Detection program.						
Description of Measure: This measure identifies the number of states, Urban Area Security Initiative (UASI) urban areas, and other vulnerable urban localities having a basic Preventive Radiological and Nuclear Detection (PRND) program. A basic PRND program is defined as having radiation detection equipment in place, the requisite training of relevant stakeholders, appropriate procedures implemented, technical support, and the programmatic structure to maintain this capability.						
Fiscal Year:	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target:	None	None	8	10	16	20
Actual:	None	None	8	10	N/A	N/A

E. High Priority Performance Goals

Not applicable to DNDO.

F. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Digest of FY 2011 Budget Estimates by Activity and FYHSP Program (dollars in thousands)						
FYHSP Program	FY2009 Revised Enacted*		FY2010 Enacted		FY2011 Request	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Management and Administration	130	37500.000	130	38500.000	122	36992.000
M&A	130	37500.000	130	38500.000	122	36992.000
Research, Development and Operations	0	323200.000	0	324537.000	0	207828.000
Systems Engineering and Architecture	0	25147.000	0	25448.000	0	38833.000
Systems Development	0	108100.000	0	100000.000	0	69033.000
Transformational Research and Development	0	103300.000	0	108537.000	0	0
Assessments	0	32000.000	0	32416.000	0	43465.000
Operations	0	37753.000	0	38436.000	0	33955.000
Forensics	0	16900.000	0	19700.000	0	22542.000
Systems Acquisition	0	153491.000	0	20000.000	0	61000.000
Radiation Portal Monitors Program	0	120491.000	0	0	0	8000.000
Securing the Cities	0	20000.000	0	20000.000	0	0
Human Portable Radiation Detection Systems	0	13000.000	0	0	0	53000.000
Total Budget Authority	130	514191.000	130	383037.000	122	305820.000

**The FY09 column indicates revised enacted levels including supplemental appropriations such as Recovery Act funding. This differs from the other sections of the CJ and is intended to align with the resource levels contained in the Future Years Homeland Security Program (FYHSP) which captures total budget authority.*

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Proposal to Delete Language from Section 503:

SEC. 503. (a) None of the funds provided by this Act, provided by previous appropriations Acts to the agencies in or transferred to the Department of Homeland Security that remain available for obligation or expenditure in fiscal year [2010] *2011*, or provided from any accounts in the Treasury of the United States derived by the collection of fees available to the agencies funded by this Act, shall be available for obligation or expenditure through a reprogramming of funds that: (1) creates a new program, project, or activity; (2) eliminates a program, project, office, or activity; *or* (3) increases funds for any program, project, or activity for which funds have been denied or restricted by the Congress[; **(4) proposes to use funds directed for a specific activity by either of the Committees on Appropriations of the Senate or the House of Representatives for a different purpose; or (5) contracts out any function or activity for which funding levels were requested for Federal full-time equivalents in the object classification tables contained in the fiscal year] 2010 [Budget Appendix for the Department of Homeland Security, as modified by the explanatory statement accompanying this Act], unless the Committees on Appropriations of the Senate and the House of Representatives are notified 15 days in advance of such reprogramming of funds.**

(b) None of the funds provided by this Act, provided by previous appropriations Acts to the agencies in or transferred to the Department of Homeland Security that remain available for obligation or expenditure in fiscal year [2010] *2011*, or provided from any accounts in the Treasury of the United States derived by the collection of fees or proceeds available to the agencies funded by this Act, shall be available for obligation or expenditure for programs, projects, or activities through a reprogramming of funds in excess of \$5,000,000 or 10 percent, whichever is less, that: (1) augments existing programs, projects, or activities; (2) reduces by 10 percent funding for any existing program, project, or activity, or numbers of personnel by 10 percent [as approved by the Congress]; or (3) results from any general savings from a reduction in personnel that would result in a change in existing programs, projects, or activities as [approved by the Congress], unless the Committees on Appropriations of the Senate and the House of Representatives are notified 15 days in advance of such reprogramming of funds.

(c) Not to exceed 5 percent of any appropriation made available for the current fiscal year for the Department of Homeland Security by this Act or provided by previous appropriations Acts may be transferred between such appropriations, but no such appropriation, except as otherwise specifically provided, shall be increased by more than 10 percent by such transfers: *Provided*, That any transfer under this section shall be treated as a reprogramming of funds under subsection (b) and shall not be available for obligation unless the Committees on Appropriations of the Senate and the House of Representatives are notified 15 days in advance of such transfer.

[(d) Notwithstanding subsections (a), (b), and (c) of this section, no funds shall be reprogrammed within or transferred between appropriations after June 30, except in extraordinary circumstances that imminently threaten the safety of human life or the protection of property.]

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Explanation: For item (4), language is proposed for deletion to eliminate potential inconsistencies in reconciling House Reports, Senate Reports and the Joint Explanatory Statement. For item (5), language is proposed for deletion to eliminate the restrictions on contracting out functions for which funds have been appropriated for Federal FTEs. Circumstances may warrant from time to time that contracting out functions can be prudent and judicious use of federal funding resources. Item (d) is proposed for deletion to provide the Department with greater flexibility with respect to timing of potential reprogrammings.

Proposal to Delete Language from Section 510:

SEC. 510. Sections [519,] 520, [522,] 528, [530,] and 531 of the Department of Homeland Security Appropriations Act, 2008 (division E of Public Law 110-161; 121 Stat. 2072, 2073, 2074, 2082) shall apply with respect to funds made available in this Act in the same manner as such sections applied to funds made available in that Act.

The sections proposed for deletion are outlined below:

SEC. 519. None of the funds made available in this Act may be used by any person other than the Privacy Officer appointed under section 222 of the Homeland Security Act of 2002 (6 U.S.C. 142) to alter, direct that changes be made to, delay, or prohibit the transmission to Congress of any report prepared under paragraph (6) of such section.

Explanation: This provision is proposed for deletion as it is inconsistent with the President's constitutional authority to coordinate and supervise all replies and comments from the Executive Branch to Congress.

SEC. 522. Section 525(d) of the Department of Homeland Security Appropriations Act, 2007 (Public Law 109-295; 120 Stat. 1382) shall apply to fiscal year 2008.

Explanation: This provision is proposed for deletion because the management directive has been modified.

SEC. 530. None of the funds made available in this Act maybe used in contravention of section 303 of the Energy Policy Act of 1992 (42 U.S.C. 13212).

Explanation: This provision is proposed for deletion because it is already required by codified law.

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Proposal to Delete *Old* Section 513:

[SEC. 512. None of the funds made available in this Act may be used to amend the oath of allegiance required by section 337 of the Immigration and Nationality Act (8 U.S.C. 1448).

Explanation: DHS has stated in the past that the Executive Branch should continue to be responsible for the actual language of the Oath of Renunciation and Allegiance. Through the Immigration and Nationality Act, Congress has already provided a clear mandate on the necessary content and substance of the Oath.

Proposal to Delete old Section 514

[SEC. 514. (a) The Assistant Secretary of Homeland Security (Transportation Security Administration) shall work with air carriers and airports to ensure that the screening of cargo carried on passenger aircraft, as defined in section 44901(g)(5) of title 49, United States Code, increases incrementally each quarter until the requirement of section 44901(g)(2)(B) of title 49 is met.

(b) Not later than 45 days after the end of each quarter, the Assistant Secretary shall submit to the Committees on Appropriations of the Senate and the House of Representatives a report on air cargo inspection statistics by airport and air carrier detailing the incremental progress being made to meet the requirement of section 44901(g)(2)(B) of title 49, United States Code.

(c) Not later than 180 days after the date of the enactment of this Act, the Assistant Secretary shall submit to the Committees on Appropriations of the Senate and the House of Representatives, a report on how the Transportation Security Administration plans to meet the requirement for screening all air cargo on passenger aircraft by the deadline under section 44901(g) of title 49, United States Code. The report shall identify the elements of the system to screen 100 percent of cargo transported between domestic airports at a level of security commensurate with the level of security for the screening of passenger checked baggage.]

Explanation: This provision is proposed for deletion because screening air cargo is already a high priority for the Department. The Department will provide the required information regardless of this provision.

Proposal to Delete *Old* Section 516:

[SEC. 516. Except as provided in section 44945 of title 49, United States Code, funds appropriated or transferred to Transportation Security Administration "Aviation Security", "Administration" and "Transportation Security Support" for fiscal years 2004, 2005, 2006, and 2007 that are recovered or deobligated shall be available only for the procurement or installation of explosives detection systems, for air cargo, baggage, and checkpoint screening systems, subject to notification: *Provided,*

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That quarterly reports shall be submitted to the Committees on Appropriations of the Senate and the House of Representatives on any funds that are recovered or deobligated.]

Explanation: This provision is proposed for deletion in an effort to provide greater flexibility in the use of appropriated resources and to consider the most pressing needs in the Department's efforts to protect the Homeland.

Proposal to Delete Old Section 517:

[SEC. 517. Any funds appropriated to United States Coast Guard, "Acquisition, Construction, and Improvements" for fiscal years 2002, 2003, 2004, 2005, and 2006 for the 110-123 foot patrol boat conversion that are recovered, collected, or otherwise received as the result of negotiation, mediation, or litigation, shall be available until expended for the Replacement Patrol Boat (FRC-B) program.]

Explanation: This provision has appeared in the last several appropriations acts and previous appropriations acts provide sufficient authority to extend funds for the Replacement Patrol Boat program.

Proposal to Delete Old Section 518:

[SEC. 518. (a) None of the funds provided by this or any other Act may be obligated for the development, testing, deployment, or operation of any portion of a human resources management system authorized by section 9701(a) of title 5, United States Code, or by regulations prescribed pursuant to such section, for an employee, as that term is defined in section 7103(a)(2) of such title.

(b) The Secretary of Homeland Security shall collaborate with employee representatives in the manner prescribed in section 9701(e) of title 5, United States Code, in the planning, testing, and development of any portion of a human resources management system that is developed, tested, or deployed for persons excluded from the definition of employee as that term is defined in section 7103(a)(2) of such title.]

Explanation: The department has withdrawn its coverage under 5 U.S.C. 9701 and therefore this provision is unnecessary.

Proposal to Delete Old Section 522:

[SEC. 522. Except as provided in paragraphs (1) and (2) of this section, none of the funds provided by this or previous appropriations Acts shall be used to fund any position designated as a Principal Federal Official, or any successor position, for any Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.) declared disasters or emergencies—

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(1) The Secretary of Homeland Security may waive the application of this section provided that any field position appointed pursuant to this waiver shall not hold the title of Principal Federal Official, shall functionally report through the Federal Coordinating Officer appointed under section 302 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5143), and shall be subject to the provisions of subsection (c) of section 319 of title 6, United States Code. The Secretary may not delegate the authority to grant such a waiver.

(2) Not later than 10 business days after the date on which the Secretary of Homeland Security issues a waiver under this section, the Secretary shall submit notification of that waiver to the Committees on Appropriations of the Senate and the House of Representatives, the Transportation and Infrastructure Committee of the House of Representatives, and the Homeland Security and Governmental Affairs Committee of the Senate explaining the circumstances necessitating the waiver, describing the specific role of any officials appointed pursuant to the waiver, and outlining measures taken to ensure compliance with subsection (c) of section 319 and subsections (c)(3) and (c)(4)(A) of section 313 of title 6, United States Code.]

Explanation: While the Department appreciates the modification of this provision from previous year's appropriation act, this provision is still overly restrictive and creates an additional administrative burden on the Department, during a Stafford Act event.

Proposal to Delete *Old* Section 524:

[SEC. 524. Funds made available in this Act may be used to alter operations within the Civil Engineering Program of the Coast Guard nationwide, including civil engineering units, facilities design and construction centers, maintenance and logistics commands, and the Coast Guard Academy, except that none of the funds provided in this Act may be used to reduce operations within any Civil Engineering Unit unless specifically authorized by a statute enacted after the date of the enactment of this Act.]

Explanation: This provision is proposed for deletion in an effort to provide greater flexibility in the use of appropriated resources and to consider the most pressing needs in the Department's efforts to protect the Homeland.

Proposal to Delete *Old* Section 525:

[SEC. 525. None of the funds provided in this Act shall be available to carry out section 872 of Public Law 107-296.]

Explanation: This provision is proposed for deletion to provide the Department with greater flexibility in carrying out its requirements for protecting the Homeland and responding to contingency operations.

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Proposal to Delete *Old* Section 528:

[SEC. 528. None of the funds provided in this Act under the heading "Office of the Chief Information Officer" shall be used for data center development other than for the National Center for Critical Information Processing and Storage until the Chief Information Officer certifies that the National Center for Critical Information Processing and Storage is fully utilized as the Department's primary data storage center at the highest capacity throughout the fiscal year.]

Explanation: This provision is proposed for deletion because it was a one-time directive.

Proposal to Delete *Old* Section 529:

[SEC. 529. None of the funds in this Act shall be used to reduce the United States Coast Guard's Operations Systems Center mission or its government-employed or contract staff levels.]

Explanation: This provision is proposed for deletion to provide the Department with greater flexibility in carrying out its requirements for protecting the Homeland and in the use of appropriated resources.

Proposal to Delete *Old* Section 530:

[SEC. 530. None of the funds appropriated by this Act may be used to conduct, or to implement the results of, a competition under Office of Management and Budget Circular A-76 for activities performed with respect to the Coast Guard National Vessel Documentation Center.]

Explanation: There is already an annual Government-wide general provision, most recently contained in Section 737 of the FY 2010 Omnibus Appropriation Act, P.L. 111-8.

Proposal to Delete Language from *Old* Section 538:

[SEC. 538. If the Assistant Secretary of Homeland Security (Transportation Security Administration) determines that an airport does not need to participate in the basic pilot program (E-Verify Program) under section 402 of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1324a note), the Assistant Secretary shall certify to the Committees on Appropriations of the Senate and the House of Representatives that no security risks will result from such non-participation.]

Explanation: Existing TSA requirements imposed by TSA through Security Directives are an effective alternative to determine lawful presence in the United States. TSA's

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ability to require participation in the E-Verify Program is limited; the program is primarily voluntary in nature. Certifying that non-participation constitutes "no security risk" is a difficult standard to quantify and far more rigorous than the "no significant risk" standard employed by Congress for the butane lighter provision.

Proposal to Delete Old Section 539:

[SEC. 539. (a) Notwithstanding any other provision of this Act, except as provided in subsection (b), and 30 days after the date that the President determines whether to declare a major disaster because of an event and any appeal is completed, the Administrator shall submit to the Committee on Homeland Security and Governmental Affairs of the Senate, the Committee on Homeland Security of the House of Representatives, the Committee on Transportation and Infrastructure of the House of Representatives, the Committees on Appropriations of the Senate and the House of Representatives, and publish on the website of the Federal Emergency Management Agency, a report regarding that decision, which shall summarize damage assessment information used to determine whether to declare a major disaster.(b) The Administrator may redact from a report under subsection (a) any data that the Administrator determines would compromise national security. (c) In this section— (1) the term "Administrator" means the Administrator of the Federal Emergency Management Agency; and (2) the term "major disaster" has the meaning given that term in section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5122).]

Explanation: This provision is proposed for deletion because it was a one-time directive.

Proposal to Delete Old Section 540:

SEC. [540]. Notwithstanding any other provision of law, *in the current fiscal year or a subsequent fiscal year*, should the Secretary of Homeland Security determine that the National Bio and Agro-defense Facility be located at a site other than Plum Island, New York, the Secretary shall liquidate the Plum Island asset by directing the Administrator of General Services to sell through public sale all real and related personal property and transportation assets which support Plum Island operations, subject to such terms and conditions as necessary to protect government interests and meet program requirements: *Provided*, That the [gross] proceeds of such sale shall be deposited as offsetting collections into the Department of Homeland Security Science and Technology "Research, Development, Acquisition, and Operations" account and, subject to appropriation, shall be available until expended, for site acquisition, construction, and costs related to the construction of the National Bio and Agro-defense Facility, including the costs associated with the sale, including due diligence requirements, necessary environmental remediation at Plum Island, and reimbursement of expenses incurred by the General Services Administration [which shall not exceed 1 percent of the sale price]: *Provided further*,

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That after the completion of construction and environmental remediation, the unexpended balances of funds appropriated for costs in the preceding proviso shall be available for transfer to the appropriate account for design and construction of a consolidated Department of Homeland Security Headquarters project, excluding daily operations and maintenance costs, notwithstanding section 503 of this Act, and the Committees on Appropriations of the Senate and the House of Representatives shall be notified 15 days prior to such transfer.

Explanation: Proposed deletions alleviate fiscal law concerns and allow GSA to operate in advance of determining the actual price for of the proposed sale. In addition, words of futurity (in the current fiscal year or a subsequent fiscal year) make this a permanent provision.

Proposal to Delete *Old Section 541:*

[SEC. 541. The explanatory statement referenced in section 4 of Public Law 110–161 for "National Predisaster Mitigation Fund" under Federal Emergency Management Agency is deemed to be amended—

- (1) by striking "Dalton Fire District" and all that follows through "750,000" and inserting the following: "Franklin Regional Council of Governments, MA 250,000 Town of Lanesborough, MA 175,000 University of Massachusetts, MA 175,000";**
- (2) by striking "Santee and";**
- (3) by striking "3,000,000" and inserting "1,500,000";**
- (4) by inserting after the item relating to Adjutant General's Office of Emergency Preparedness the following: "Town of Branchville, SC 1,500,000"; and**
- (5) by striking "Public Works Department of the City of Santa Cruz, CA" and inserting "Monterey County Water Resources Agency, CA".]**

Explanation: This was a one time change to P.L. 110-161 and does not need to be repeated.

Proposal to Delete *Old Section 542:*

[SEC. 542. Any official that is required by this Act to report or certify to the Committees on Appropriations of the Senate and the House of Representatives may not delegate such authority to perform that act unless specifically authorized herein.]

Explanation: This provision is proposed for deletion to provide the Department with greater flexibility on the use of its appropriated resources

Proposal to Delete *Old Section 544:*

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[SEC. 544. (a) Not later than 3 months after the date of enactment of this Act, the Secretary of Homeland Security shall consult with the Secretaries of Defense and Transportation and develop a concept of operations for unmanned aircraft systems in the United States national airspace system for the purposes of border and maritime security operations.

(b) The Secretary of Homeland Security shall report to the Committees on Appropriations of the Senate and the House of Representatives not later than 30 days after the date of enactment of this Act on any foreseeable challenges to complying with subsection (a).]

Explanation: This provision is proposed for deletion because it was a one-time directive.

Proposal to Delete *Old Section 545:*

[SEC. 545. From unobligated amounts that are available to the Coast Guard for fiscal year 2008 or 2009 for "Acquisition, Construction, and Improvements" for shore side facilities and aids to navigation at Coast Guard Sector Buffalo, the Secretary of Homeland Security shall use such sums as may be necessary to make improvements to the land along the northern portion of Sector Buffalo to enhance public access to the Buffalo Lighthouse and the waterfront.]

Explanation: This provision is proposed for deletion because it was a one-time directive.

Proposal to Delete *Old Section 546:*

[SEC. 546. For fiscal year 2010 and thereafter, the Secretary may provide to personnel appointed or assigned to serve abroad, allowances and benefits similar to those provided under chapter 9 of title I of the Foreign Service Act of 1990 (22 U.S.C. 4081 et seq.).]

Explanation: This provision is proposed for deletion because it is now a permanent provision due to the word of futurity.

Proposal to Delete *Old Section 547:*

[SEC. 547. Section 401(b) of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1324a note) is amended by striking "at the end of the 11-year period beginning on the first day the pilot program is in effect." and inserting "on September 30, 2012.".]

Explanation: This provision is proposed for deletion because it was a one-time amendment.

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Proposal to Delete *Old* Section 548:

[SEC. 548. Section 610(b) of the Departments of Commerce, Justice, and State, the Judiciary, and Related Agencies Appropriations Act, 1993 (8 U.S.C. 1153 note) is amended by striking "for 15 years" and inserting "until September 30, 2012".]

Explanation: This provision is proposed for deletion because it was a one-time amendment.

Proposal to Delete *Old* Section 549:

[SEC. 549. (a) In addition to collection of registration fees described in section 244(c)(1)(B) of the Immigration and Nationality Act (8 U.S.C. 1254a(c)(1)(B)), fees for fingerprinting services, biometric services, and other necessary services may be collected when administering the program described in section 244 of such Act. (b) Subsection (a) shall be construed to apply for fiscal year 1998 and each fiscal year thereafter.]

Explanation: This provision is proposed for deletion because it has permanently amended the U.S. Code.

Proposal to Delete *Old* Section 551:

[SEC. 551. (a)(1) Sections 401(c)(1), 403(a), 403(b)(1), 403(c)(1), and 405(b)(2) of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (division C of Public Law 104–208; 8 U.S.C. 1324a note) are amended by striking "basic pilot program "each place that term appears and inserting "E-Verify Program". (2) The heading of section 403(a) of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 is amended by striking "Basic Pilot "and inserting "E-Verify". (b) Section 404(h)(1) of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (Public Law 104–208; 8 U.S.C. 1324a note) is amended by striking "under a pilot program "and inserting "under this subtitle".]

Explanation: This provision is proposed for deletion because it has permanently amended the U.S. Code.

Proposal to Delete *Old* Section 552:

[SEC. 552. (a) None of the funds made available in this or any other Act may be used to release an individual who is detained, as of June 24, 2009, at Naval Station, Guantanamo Bay, Cuba, into the continental United States, Alaska, Hawaii, or the

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District of Columbia, into any of the United States territories of Guam, American Samoa (AS), the United States Virgin Islands (USVI), the Commonwealth of Puerto Rico and the Commonwealth of the Northern Mariana Islands (CNMI).

(b) None of the funds made available in this or any other Act may be used to transfer an individual who is detained, as of June 24, 2009, at Naval Station, Guantanamo Bay, Cuba, into the continental United States, Alaska, Hawaii, or the District of Columbia, into any of the United States territories of Guam, American Samoa (AS), the United States Virgin Islands (USVI), the Commonwealth of Puerto Rico and the Commonwealth of the Northern Mariana Islands (CNMI), for the purpose of detention, except as provided in subsection (c).

(c) None of the funds made available in this or any other Act may be used to transfer an individual who is detained, as of June 24, 2009, at Naval Station, Guantanamo Bay, Cuba, into the continental United States, Alaska, Hawaii, or the District of Columbia, into any of the United States territories of Guam, American Samoa (AS), the United States Virgin Islands (USVI), the Commonwealth of Puerto Rico and the Commonwealth of the Northern Mariana Islands (CNMI), for the purposes of prosecuting such individual, or detaining such individual during legal proceedings, until 45 days after the plan described in subsection (d) is received.

(d) The President shall submit to Congress, in classified form, a plan regarding the proposed disposition of any individual covered by subsection (c) who is detained as of June 24, 2009. Such plan shall include, at a minimum, each of the following for each such individual:

(1) A determination of the risk that the individual might instigate an act of terrorism within the continental United States, Alaska, Hawaii, the District of Columbia, or the United States territories if the individual were so transferred.

(2) A determination of the risk that the individual might advocate, coerce, or incite violent extremism, ideologically motivated criminal activity, or acts of terrorism, among inmate populations at incarceration facilities within the continental United States, Alaska, Hawaii, the District of Columbia, or the United States territories if the individual were transferred to such a facility.

(3) The costs associated with transferring the individual in question.

(4) The legal rationale and associated court demands for transfer.

(5) A plan for mitigation of any risks described in paragraphs (1), (2), and (7).

(6) A copy of a notification to the Governor of the State to which the individual will be transferred, to the Mayor of the District of Columbia if the individual will be transferred to the District of Columbia, or to any United States territories with a certification by the Attorney General of the United States in classified form at least 14 days prior to such transfer (together with supporting documentation and justification) that the individual poses little or no security risk to the United States.

(7) An assessment of any risk to the national security of the United States or its citizens, including members of the Armed Services of the United States, that is posed by such transfer and the actions taken to mitigate such risk.

(e) None of the funds made available in this or any other Act may be used to transfer or release an individual detained at Naval Station, Guantanamo Bay, Cuba, as of June 24, 2009, to the country of such individual's nationality or last habitual

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residence or to any other country other than the United States or to a freely associated State, unless the President submits to the Congress, in classified form, at least 15 days prior to such transfer or release, the following information:

(1) The name of any individual to be transferred or released and the country or the freely associated State to which such individual is to be transferred or released.

(2) An assessment of any risk to the national security of the United States or its citizens, including members of the Armed Services of the United States, that is posed by such transfer or release and the actions taken to mitigate such risk.

(3) The terms of any agreement with the country or the freely associated State for the acceptance of such individual, including the amount of any financial assistance related to such agreement.

(f) None of the funds made available in this Act may be used to provide any immigration benefit (including a visa, admission into the United States or any of the United States territories, parole into the United States or any of the United States territories (other than parole for the purposes of prosecution and related detention), or classification as a refugee or applicant for asylum) to any individual who is detained, as of June 24, 2009, at Naval Station, Guantanamo Bay, Cuba.

(g) In this section, the term "freely associated States" means the Federated States of Micronesia (FSM), the Republic of the Marshall Islands (RMI), and the Republic of Palau.

(h) Prior to the termination of detention operations at Naval Station, Guantanamo Bay, Cuba, the President shall submit to the Congress a report in classified form describing the disposition or legal status of each individual detained at the facility as of the date of enactment of this Act.]

Explanation: This provision permanently amended the U.S. Code.

Proposal to Delete *Old* Section 553:

[SEC. 553. Section 44903(j)(2)(C) of title 49, United States Code, is amended by adding at the end the following new clause:] "(v) INCLUSION OF DETAINEES ON NO FLY LIST.—The Assistant Secretary, in coordination with the Terrorist Screening Center, shall include on the No Fly List any individual who was a detainee held at the Naval Station, Guantanamo Bay, Cuba, unless the President certifies in writing to Congress that the detainee poses no threat to the United States, its citizens, or its allies. For purposes of this clause, the term 'detainee' means an individual in the custody or under the physical control of the United States as a result of armed conflict."

Explanation: This provision modified the US. Code permanently.

Proposal to Delete *Old* Section 554:

[SEC. 554. For fiscal year 2010 and thereafter, the Secretary of Homeland Security may collect fees from any non-Federal participant in a conference, seminar,

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exhibition, symposium, or similar meeting conducted by the Department of Homeland Security in advance of the conference, either directly or by contract, and those fees shall be credited to the appropriation or account from which the costs of the conference, seminar, exhibition, symposium, or similar meeting are paid and shall be available to pay the costs of the Department of Homeland Security with respect to the conference or to reimburse the Department for costs incurred with respect to the conference: *Provided*, That in the event the total amount of fees collected with respect to a conference exceeds the actual costs of the Department of Homeland Security with respect to the conference, the amount of such excess shall be deposited into the Treasury as miscellaneous receipts: *Provided further*, That the Secretary shall provide a report to the Committees on Appropriations of the Senate and the House of Representatives not later than January 5, 2011, providing the level of collections and a summary by agency of the purposes and levels of expenditures for the prior fiscal year, and shall report annually thereafter.]

Explanation: This provision is permanent and does not need to be included.

Proposal to Delete *Old Section 555*:

[SEC. 555. For purposes of section 210C of the Homeland Security Act of 2002 (6 U.S.C. 124j) a rural area shall also include any area that is located in a metropolitan statistical area and a county, borough, parish, or area under the jurisdiction of an Indian tribe with a population of not more than 50,000.]

Explanation: This provision modified the US. Code permanently.

Proposal to Delete *Old Section 559*:

[SEC. 559. (a) Subject to subsection (b), none of the funds appropriated or otherwise made available by this Act may be available to operate the Loran-C signal after January 4, 2010.

(b) The limitation in subsection (a) shall take effect only if:

- (1) the Commandant of the Coast Guard certifies that the termination of the operation of the Loran-C signal as of the date specified in subsection (a) will not adversely impact the safety of maritime navigation; and**
- (2) the Secretary of Homeland Security certifies that the Loran-C system infrastructure is not needed as a backup to the Global Positioning System or to meet any other Federal navigation requirement.**

(c) If the certifications described in subsection (b) are made, the Coast Guard shall, commencing January 4, 2010, terminate the operation of the Loran-C signal and commence a phased decommissioning of the Loran-C system infrastructure.

(d) Not later than 30 days after such certifications pursuant to subsection (b), the Commandant shall submit to the Committees on Appropriations of the Senate and House of Representatives a report setting forth a proposed schedule for

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the phased decommissioning of the Loran-C system infrastructure in the event of the decommissioning of such infrastructure in accordance with subsection (c). (e) If the certifications described in subsection (b) are made, the Secretary of Homeland Security, acting through the Commandant of the Coast Guard, may, notwithstanding any other provision of law, sell any real and personal property under the administrative control of the Coast Guard and used for the Loran-C system, by directing the Administrator of General Services to sell such real and personal property, subject to such terms and conditions that the Secretary believes to be necessary to protect government interests and program requirements of the Coast Guard: *Provided*, That the proceeds, less the costs of sale incurred by the General Services Administration, shall be deposited as offsetting collections into the Coast Guard "Environmental Compliance and Restoration" account and, subject to appropriation, shall be available until expended for environmental compliance and restoration purposes associated with the Loran-C system, for the costs of securing and maintaining equipment that may be used as a backup to the Global Positioning System or to meet any other Federal navigation requirement, for the demolition of improvements on such real property, and for the costs associated with the sale of such real and personal property, including due diligence requirements, necessary environmental remediation, and reimbursement of expenses incurred by the General Services Administration: *Provided further*, That after the completion of such activities, the unexpended balances shall be available for any other environmental compliance and restoration activities of the Coast Guard.]

Explanation: This provision has already been implemented by the Department and the Coast Guard.

Proposal to Delete Old Section 560:

[SEC. 560. (a) None of the funds made available by this Act may be obligated for construction of the National Bio- and Agro-defense Facility on the United States mainland until 30 days after the later of:
(1) the date on which the Secretary of Homeland Security submits to the Committee on Appropriations of the Senate and the House of Representatives a site-specific bio-safety and bio-security mitigation risk assessment, which includes an integrated set of analyses using plume modeling and epidemiologic impact modeling, to determine the requirements necessary to ensure safe operation of the National Bio and Agro-defense Facility at the approved Manhattan, Kansas, site identified in the January 16, 2009, record of decision published in Federal Register Vol. 74, Number 11, and the results of the National Academy of Sciences' review of the risk assessment as described in paragraph (b): *Provided*, That the integrated set of analyses is to determine the extent of the dispersion of the foot-and-mouth virus following a potential laboratory spill, the potential spread of foot-and-mouth disease in the surrounding susceptible animal population, and its economic impact:

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Provided further, That the integrated set of analyses should also take into account specific local, State, and national risk mitigation strategies; or
(2) the date on which the Secretary of Homeland Security, in coordination with the Secretary of Agriculture, submits to the Committees on Appropriations of the Senate and the House of Representatives a report that:
(A) describes the procedure that will be used to issue the permit to conduct foot-and-mouth disease live virus research under section 7524 of the Food, Conservation, and Energy Act of 2008 (21 U.S.C. 113a note; Public Law 110–246); and
(B) includes plans to establish an emergency response plan with city, regional, and State officials in the event of an accidental release of foot-and-mouth disease or another hazardous pathogen.
(b) With regard to the integrated set of analyses included in the mitigation risk assessment required under paragraph (a)(1), the Secretary of Homeland Security shall enter into a contract with the National Academy of Sciences to evaluate the mitigation risk assessment required by subsection (a)(1) of this section and to submit a Letter Report: *Provided*, That such contract shall be entered into within 90 days from the date of enactment of this Act, and the National Academy of Sciences shall complete its assessment and submit its Letter Report within four months after the date the Department of Homeland Security concludes the risk assessment.]

Explanation: This provision permanently amended the U.S. Code.

Proposal to Delete Old Section 561:

[SEC. 561. (a) SHORT TITLE.—This section may be cited as the "American Communities' Right to Public Information Act".
(b) IN GENERAL.—Section 70103(d) of title 46, United States Code, is amended to read as follows:]
"(d)NONDISCLOSURE OF INFORMATION.—
"(1)IN GENERAL.—Information developed under this section or sections 70102, 70104, and 70108 is not required to be disclosed to the public, including—
"(A) facility security plans, vessel security plans, and port vulnerability assessments; and
"(B) other information related to security plans, procedures, or programs for vessels or facilities authorized under this section or sections 70102, 70104, and 70108.
"(2)LIMITATIONS.—Nothing in paragraph (1) shall be construed to authorize the designation of information as sensitive security information (as defined in section 1520.5 of title 49, Code of Federal Regulations)—
"(A) to conceal a violation of law, inefficiency, or administrative error;
"(B) to prevent embarrassment to a person, organization, or agency;
"(C) to restrain competition; or
"(D) to prevent or delay the release of information that does not require protection in the interest of transportation security, including basic scientific research information not clearly related to transportation security.'".

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(c) CONFORMING AMENDMENTS.—

(1) Section 114(r) of title 49, United States Code, is amended by adding at the end thereof the following:

"(4)LIMITATIONS.—Nothing in this subsection, or any other provision of law, shall be construed to authorize the designation of information as sensitive security information (as defined in section 1520.5 of title 49, Code of Federal Regulations)—

"(A) to conceal a violation of law, inefficiency, or administrative error;

"(B) to prevent embarrassment to a person, organization, or agency;

"(C) to restrain competition; or

"(D) to prevent or delay the release of information that does not require protection in the interest of transportation security, including basic scientific research information not clearly related to transportation security."

(2) Section 40119(b) of title 49, United States Code, is amended by adding at the end thereof the following:

"(3) Nothing in paragraph (1) shall be construed to authorize the designation of information as sensitive security information (as defined in section 15.5 of title 49, Code of Federal Regulations)—

"(A) to conceal a violation of law, inefficiency, or administrative error;

"(B) to prevent embarrassment to a person, organization, or agency;

"(C) to restrain competition; or

"(D) to prevent or delay the release of information that does not require protection in the interest of transportation security, including basic scientific research information not clearly related to transportation security."

Explanation: This provision permanently amended the U.S. Code.

Proposal to Delete *Old* Section 562:

[SEC. 562. Section 4 of the Act entitled "An Act to prohibit the introduction, or manufacture for introduction, into interstate commerce of switchblade knives, and for other purposes" (commonly known as the Federal Switchblade Act) (15 U.S.C. 1244) is amended—

(1) by striking "or" at the end of paragraph (3);

(2) by striking the period at the end of paragraph (4) and inserting"; or" and

(3) by adding at the end the following:

"(5) a knife that contains a spring, detent, or other mechanism designed to create a bias toward closure of the blade and that requires exertion applied to the blade by hand, wrist, or arm to overcome the bias toward closure to assist in opening the knife.".]

Explanation: This provision permanently amended the U.S. Code.

Proposal to Delete *Old* Section 563:

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[SEC. 563. (a) APPLICABLE ANNUAL PERCENTAGE RATE OF INTEREST.—Section 44(f)(1) of the Federal Deposit Insurance Act (12 U.S.C. 1831u(f)(1)) is amended—

(1) in the matter preceding subparagraph (A), by inserting "(or in the case of a governmental entity located in such State, paid)" after "received, or reserved"; and

(2) in subparagraph (B)—

(A) in the matter preceding clause (i), by striking "nondepository institution operating in such State" and inserting "governmental entity located in such State or any person that is not a depository institution described in subparagraph (A) doing business in such State";

(B) by redesignating clause (ii) as clause (iii);

(C) in clause (i)—]

(i) in subclause (III)—

(I) in item (aa), by adding "and" at the end;

(II) in item (bb), by striking ", to facilitate" and all that follows through "2009"; and

(III) by striking item (cc); and

(ii) by adding after subclause (III) the following:

"(IV) the uniform accessibility of bonds and obligations issued under the American Recovery and Reinvestment Act of 2009;"; and

(D) by inserting after clause (i) the following:

"(ii) to facilitate interstate commerce through the issuance of bonds and obligations under any provision of State law, including bonds and obligations for the purpose of economic development, education, and improvements to infrastructure; and".

(b) RULE OF CONSTRUCTION.—Section 44(f)(2) of the Federal Deposit Insurance Act (12 U.S.C. 1831u(f)(2)) is amended—

(1) by redesignating subparagraphs (A) and (B) as clauses (i) and (ii), respectively, and moving the margins 2 ems to the right;

(2) by striking "No provision" and inserting the following:

"(A)IN GENERAL.—No provision"; and

(3) by adding at the end the following:

"(B)APPLICABILITY.—This subsection shall be construed to apply to any loan or discount made, or note, bill of exchange, financing transaction, or other evidence of debt, originated by an insured depository institution, a governmental entity located in such State, or a person that is not a depository institution described in subparagraph (A) doing business in such State.".

(c) EFFECTIVE PERIOD.—The amendments made by this section shall apply with respect to contracts consummated during the period beginning on the date of enactment of this Act and ending on December 31, 2010.

Explanation: This provision permanently amended the U.S. Code.

Proposal to Delete Old Section 564:

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[SEC. 564. (a) SHORT TITLE.—This section may be cited as the "OPEN FOIA Act of 2009".

(b) SPECIFIC CITATIONS IN STATUTORY EXEMPTIONS.—Section 552(b) of title 5, United States Code, is amended by striking paragraph (3) and inserting the following:

"(3) specifically exempted from disclosure by statute (other than section 552b of this title), if that statute—

"(A)(i) requires that the matters be withheld from the public in such a manner as to leave no discretion on the issue; or

"(ii) establishes particular criteria for withholding or refers to particular types of matters to be withheld; and

"(B) if enacted after the date of enactment of the OPEN FOIA Act of 2009, specifically cites to this paragraph.".]

Explanation: This provision permanently amended the U.S. Code.

Proposal to Delete *Old* Section 565:

[SEC. 565. (a) SHORT TITLE.—This section may be cited as the "Protected National Security Documents Act of 2009".

(b) Notwithstanding any other provision of the law to the contrary, no protected document, as defined in subsection (c), shall be subject to disclosure under section 552 of title 5, United States Code or any proceeding under that section.

(c) DEFINITIONS.—In this section:

(1) PROTECTED DOCUMENT.—The term "protected document" means any record—

(A) for which the Secretary of Defense has issued a certification, as described in subsection (d), stating that disclosure of that record would endanger citizens of the United States, members of the United States Armed Forces, or employees of the United States Government deployed outside the United States; and

(B) that is a photograph that—]

(i) was taken during the period beginning on September 11, 2001, through January 22, 2009; and

(ii) relates to the treatment of individuals engaged, captured, or detained after September 11, 2001, by the Armed Forces of the United States in operations outside of the United States.

(2) PHOTOGRAPH.—The term "photograph" encompasses all photographic images, whether originals or copies, including still photographs, negatives, digital images, films, video tapes, and motion pictures.

(d) CERTIFICATION.—

(1) IN GENERAL.—For any photograph described under subsection (c)(1), the Secretary of Defense shall issue a certification if the Secretary of Defense determines that disclosure of that photograph would endanger citizens of the United States, members of the United States Armed Forces, or employees of the United States Government deployed outside the United States.

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- (2) CERTIFICATION EXPIRATION.**—A certification and a renewal of a certification issued pursuant to subsection (d)(3) shall expire 3 years after the date on which the certification or renewal, is issued by the Secretary of Defense.
- (3) CERTIFICATION RENEWAL.**—The Secretary of Defense may issue—
- (A) a renewal of a certification at any time; and**
 - (B) more than 1 renewal of a certification.**
- (4) NOTICE TO CONGRESS.**—The Secretary of Defense shall provide Congress a timely notice of the Secretary's issuance of a certification and of a renewal of a certification.
- (e) RULE OF CONSTRUCTION.**—Nothing in this section shall be construed to preclude the voluntary disclosure of a protected document.
- (f) EFFECTIVE DATE.**—This section shall take effect on the date of enactment of this Act and apply to any protected document.

Explanation: This provision permanently amended the U.S. Code.

Proposal to Delete *Old* Section 566:

[SEC. 566. The administrative law judge annuitants participating in the Senior Administrative Law Judge Program managed by the Director of the Office of Personnel Management under section 3323 of title 5, United States Code, shall be available on a temporary reemployment basis to conduct arbitrations of disputes as part of the arbitration panel established by the President under section 601 of division A of the American Recovery and Reinvestment Act of 2009 (Public Law 111-5; 123 Stat. 164).

Explanation: This provision permanently amended the U.S. Code.

Proposal to Delete *Old* Section 568:

[SEC. 568. (a) SPECIAL IMMIGRANT NONMINISTER RELIGIOUS WORKER PROGRAM AND OTHER IMMIGRATION PROGRAMS.—

- (1) EXTENSION.**—Subclauses (II) and (III) of section 101(a)(27)(C)(ii) of the Immigration and Nationality Act (8 U.S.C. 1101(a)(27)(C)(ii)) are amended by striking "September 30, 2009," each place such term appears and inserting "September 30, 2012,".
- (2) STUDY AND PLAN.**—Not later than 180 days after the date of the enactment of this Act, the Director of United States Citizenship and Immigration Services shall submit a report to the Committee on the Judiciary of the Senate and the Committee on the Judiciary of the House of Representatives that includes—
- (A) the results of a study conducted under the supervision of the Director to evaluate the Special Immigrant Nonminister Religious Worker Program to identify the risks of fraud and noncompliance by program participants; and**

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(B) a detailed plan that describes the actions to be taken by United States Citizenship and Immigration Services to improve the integrity of the program.

(3) PROGRESS REPORT.—Not later than 240 days after the submission of the report under paragraph (2), the Director of United States Citizenship and Immigration Services shall submit a report to the Committee on the Judiciary of the Senate and the Committee on the Judiciary of the House of Representatives that describes the progress made in implementing the plan described in clause (a)(2)(B) of this section.

(b) CONRAD STATE 30 J-1 VISA WAIVER PROGRAM.—Section 220(c) of the Immigration and Nationality Technical Corrections Act of 1994 (8 U.S.C. 1182 note) is amended by striking "September 30, 2009" and inserting "September 30, 2012".

(c) RELIEF FOR SURVIVING SPOUSES.—

(1) IN GENERAL.—The second sentence of section 201(b)(2)(A)(i) of the Immigration and Nationality Act (8 U.S.C. 1151(b)(2)(A)(i)) is amended by striking "for at least 2 years at the time of the citizen's death".

(2) APPLICABILITY.—

(A) IN GENERAL.—The amendment made by paragraph (1) shall apply to all applications and petitions relating to immediate relative status under section 201(b)(2)(A)(i) of the Immigration and Nationality Act (8 U.S.C. 1151(b)(2)(A)(i)) pending on or after the date of the enactment of this Act.

(B) TRANSITION CASES.—]

(i) IN GENERAL.—Notwithstanding any other provision of law, an alien described in clause (ii) who seeks immediate relative status pursuant to the amendment made by paragraph (1) shall file a petition under section 204(a)(1)(A)(ii) of the Immigration and Nationality Act (8 U.S.C. 1154(a)(1)(A)(ii)) not later than the date that is 2 years after the date of the enactment of this Act.

(ii) ALIENS DESCRIBED.—An alien is described in this clause if—

(I) the alien's United States citizen spouse died before the date of the enactment of this Act;

(II) the alien and the citizen spouse were married for less than 2 years at the time of the citizen spouse's death; and

(III) the alien has not remarried.

(d) SURVIVING RELATIVE CONSIDERATION FOR CERTAIN PETITIONS AND APPLICATIONS.—

(1) AMENDMENT.—Section 204 of the Immigration and Nationality Act (8 U.S.C. 1154) is amended by adding at the end the following:

"(1) SURVIVING RELATIVE CONSIDERATION FOR CERTAIN PETITIONS AND APPLICATIONS.—

"(1) IN GENERAL.—An alien described in paragraph (2) who resided in the United States at the time of the death of the qualifying relative and who continues to reside in the United States shall have such petition described in paragraph (2), or an application for adjustment of status to that of a person admitted for lawful permanent residence based upon the family relationship described in paragraph (2), and any related applications, adjudicated notwithstanding the death of the qualifying relative, unless the Secretary of Homeland Security determines, in the

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unreviewable discretion of the Secretary, that approval would not be in the public interest.

"(2)ALIEN DESCRIBED.—An alien described in this paragraph is an alien who, immediately prior to the death of his or her qualifying relative, was—

"(A) the beneficiary of a pending or approved petition for classification as an immediate relative (as described in section 201(b)(2)(A)(i));

"(B) the beneficiary of a pending or approved petition for classification under section 203 (a) or (d);

"(C) a derivative beneficiary of a pending or approved petition for classification under section 203(b) (as described in section 203(d));

"(D) the beneficiary of a pending or approved refugee/asylee relative petition under section 207 or 208;

"(E) an alien admitted in 'T' nonimmigrant status as described in section 101(a)(15)(T)(ii) or in 'U' nonimmigrant status as described in section 101(a)(15)(U)(ii); or

"(F) an asylee (as described in section 208(b)(3))."

(2) CONSTRUCTION.—Nothing in the amendment made by paragraph (1) may be construed to limit or waive any ground of removal, basis for denial of petition or application, or other criteria for adjudicating petitions or applications as otherwise provided under the immigration laws of the United States other than ineligibility based solely on the lack of a qualifying family relationship as specifically provided by such amendment.

(e) CONFORMING AMENDMENT TO AFFIDAVIT OF SUPPORT REQUIREMENT.—Section 213A(f)(5) of the Immigration and Nationality Act (8 U.S.C. 1183a(5)) is amended by striking clauses (i) and (ii) and inserting:

"(i) the individual petitioning under section 204 of this Act for the classification of such alien died after the approval of such petition, and the Secretary of Homeland Security has determined for humanitarian reasons that revocation of such petition under section 205 would be inappropriate; or

"(ii) the alien's petition is being adjudicated pursuant to section 204(l) (surviving relative consideration)."

Explanation: This provision permanently amended the U.S. Code.

Proposal to Delete Old Section 573:

[SEC. 573. From unobligated balances for fiscal year 2009 made available for Federal Emergency Management Agency "Trucking Industry Security Grants", \$5,572,000 are rescinded.]

Explanation: This was a one-time rescission.

Proposal to Delete Old Section 574:

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[SEC. 574. From the unobligated balances of prior year appropriations made available for "Analysis and Operations", \$2,358,000 are rescinded.]

Explanation: This was a one-time rescission.

Proposal to Delete Old Section 575:

[SEC. 575. From the unobligated balances of prior year appropriations made available for National Protection and Programs Directorate "Infrastructure Protection and Information Security", \$8,000,000 are rescinded.]

Explanation: This was a one-time rescission.

Proposal to Delete Old Section 576:

[SEC. 576. From the unobligated balances of prior year appropriations made available for Science and Technology "Research, Development, Acquisition, and Operations", \$6,944,148 are rescinded.]

Explanation: This was a one-time rescission.

Proposal to Delete Old Section 577:

[SEC. 577. From the unobligated balances of prior year appropriations made available for Domestic Nuclear Detection Office "Research, Development, and Operations", \$8,000,000 are rescinded.]

Explanation: This was a one-time rescission.

Proposal to Delete Old Section 578:

[SEC. 578. From the unobligated balances of prior year appropriations made available for Transportation Security Administration "Research and Development", \$4,000,000 are rescinded.]

Explanation: This was a one-time rescission.

Proposal to Delete Old Section 579:

[SEC. 579. From the unobligated balances of prior year appropriations made available for Coast Guard "Acquisition, Construction, and Improvements",

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\$800,000 are rescinded: *Provided, That these rescissions shall be taken from completed projects.*]

Explanation: This was a one-time rescission.

Proposal to Delete *Old Section 580:*

[SEC. 580. Of the amounts available under the heading "Counterterrorism Fund", \$5,600,000 are rescinded.]

Explanation: This was a one-time rescission.

Proposal to Add New Section 538:

SEC. 538. For an additional amount for the "Office of the Under Secretary for Management" account, \$24,235,700, to increase the Department's acquisition workforce capacity and capabilities: Provided, That such funds may be transferred by the Secretary to any other account in the Department to carry out the purposes provided herein: Provided further, That such transfer authority is in addition to any other transfer authority provided in this Act: Provided further, That such funds shall be available only to supplement and not to supplant existing acquisition workforce activities: Provided further, That such funds shall be available for training, recruitment, retention, and hiring additional members of the acquisition workforce as defined by the Office of Federal Procurement Policy Act, as amended (41 U.S.C. 401 et seq.): Provided further, That such funds shall be available for information technology in support of acquisition workforce effectiveness or for management solutions to improve acquisition management.

Explanation: This proposal is part of the DHS acquisition workforce initiative for which funds are requested through the Office of the Under Secretary for Management.

Proposal to Add New Section 539:

***SEC. 539. Section 559(e) of Public Law 111-83 is amended—
(a) in the matter preceding the first proviso, by striking "law, sell" and inserting "law, hereafter sell"; and
(b) in the first proviso—
(1) by striking "shall be deposited" and inserting "shall hereafter be deposited"; and
(2) by striking "subject to appropriations," and inserting "without further appropriations,".***

Explanation: This a technical change to ensure no legal ambiguity regarding final disposition of the LORAN-C program.

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FY 2011 Explanation of Changes - General Provisions**

Proposal to Add New Section 540:

SEC. 540. Notwithstanding any other provision of law, should the Secretary of Homeland Security determine that specific Immigration and Customs Enforcement Service Processing Centers, or other ICE-owned detention facilities, no longer meet the mission need, the Secretary is authorized to dispose of individual Service Processing Centers, or other ICE owned detention facilities, by directing the Administrator of General Services to sell all real and related personal property which support Service Processing Center, or other ICE-owned detention facilities, operations, subject to such terms and conditions as necessary to protect government interests and meet program requirements: Provided, That the proceeds, net of the costs of sale incurred by the General Services Administration and Immigration and Customs Enforcement shall be deposited as offsetting collections into a separate account that shall be available, subject to appropriation, until expended for other real property capital asset needs of existing Immigration and Customs Enforcement assets, excluding daily operations and maintenance costs, as the Secretary deems appropriate.

Explanation: This allows the department to sell its ICE owned detention centers and retain the net proceeds.